

## Compliance plan for Eastland Network Distributor– 2020

Timeliness of Provision of ICP Information to the registry manage		
Non-compliance	Description	
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1 From: 19-Aug-19 To: 23-Sep-19	Late update to ready for two ICPs electrically connected during the audit period. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as strong, as the processes in place ensure that the information is provided to the registry prior to electricity being traded and the two late incidents were exceptions. The actual impact is none but low is the only option available.	
Actions taken to resolve the issue		Completion date
ENL will continue processes of monitoring & review already maintained as part of BAU. Those exceptions identified in this audit period to be followed up.		1/9/2020
Preventative actions taken to ensure no further issues will occur		Completion date
ENL will investigate toward potential further control measures, to mitigate exceptions such as those identified in this audit period.		1/9/2020
		Investigating

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
<p>Audit Ref: 3.5</p> <p>With: Clause 7(2A) of Schedule 11.1</p> <p>From: 16-Oct-17</p> <p>To: 24-Mar-20</p>	<p>Late population of the initial electrical connection date for some ICPs.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Three</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>Controls are rated as strong, as they are sufficient to ensure that the timeliness of initial electrical connection dates are at an acceptable level.</p> <p>The audit risk rating is assessed to be low as this has no direct impact on reconciliation.</p>	
Actions taken to resolve the issue		Completion date
Improvement: The frequency of requests to ENL livening agents to submit this data will be implemented as part current processes and BAU.		31/7/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Improvement: The frequency of requests to ENL livening agents to submit this data will be implemented as part current processes and BAU.		31/7/2020

Changes to registry information			
Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: Clause 8 Schedule 11.1</p> <p>From: 01-Jun-19 To: 30-Apr-20</p>	<p>Some price, network, status, and address changes were backdated.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>Controls are rated as moderate as the controls will mitigate risk most of the time.</p> <p>The audit risk rating is low as the updates have little to no impact on reconciliation.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Plans to undertake an Education program for Electrical workers and Approved Contractors in the Region is being discussed. This is a project planned for this coming year		In progress, July 2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Daily checking of NOT files for changes notified via registry for decommission and metering are followed up with checks with the Engineer and Approved Contractors if paperwork has been received.</p> <p>Where metering has gone in but Solar is not yet active or approved for injection the Engineer is flagged to check with the installer and the Electricity High Risk Register is also checked. See 4.6.</p>		July 2020	

ICP location address		
Non-compliance	Description	
<p>Audit Ref: 4.4</p> <p>With: Clause 2 Schedule 11.1</p> <p>From: 01-Jun-19</p> <p>To: 30-Apr-20</p>	<p>24 ICPs with a location address which is not readily locatable.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>Controls are rated as strong as controls are robust.</p> <p>The audit risk rating is low there were only a small number of ICPs that were not readily locatable.</p>	
Actions taken to resolve the issue		Completion date
ENL are investigating the installation address details and will update accordingly as correct and quantified information is obtained.		31/7/2020
Preventative actions taken to ensure no further issues will occur		Completion date
ENL will continue with the current control measures in place as part of BAU. In addition, a process improvement to actively review any ICP installation addresses as they come to light and/or known to be new development areas.		Ongoing
		Identified

Provide ICP Information to the Registry manager		
Non-compliance	Description	
Audit Ref: 4.6 With: Clause 7(1)(m) & (p) Schedule 11.1  From: 01-Jun-19 To: 30-Apr-20	Four incorrect initial electrical connection dates. Two missing initial electrical connection dates. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate, because they mitigate risk most of the time. The audit risk rating is recorded as low as the overall number of variances is low.	
Actions taken to resolve the issue		Completion date
Email advise is in progress to Inspectors and Livening Agents in this regard by 31/7/2020.		1/8/2020
Preventative actions taken to ensure no further issues will occur		Completion date
Additional resource allocation and process improvement to monitoring/review existing processes and follow up timely receipt of livening agent data		31/7/2020 Ongoing