

Compliance plan for Eastland – 2019

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit Ref: 2.1 With: 11.2(1) and 10.6(1) From: 01-May-18 To: 31-May-19	Information provided not complete and accurate in all instances. Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls will mitigate risk most of the time, but there is room for errors to occur. The volume of ICPs is low, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Registry files are checked daily and checked where errors are noted		June 19
Preventative actions taken to ensure no further issues will occur		Completion date
		Identified

Requirement to correct errors		
Non-compliance	Description	
Audit Ref: 2.2 With: 11.2(2) and 10.6(2) From: 01-May-18 To: 31-May-19	Errors not corrected as soon as practicable. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls will mitigate risk most of the time, but there is room for errors to occur. The volume of ICPs is low, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
1. Report run daily to check electrical connection date and the retailers active date. Queried where different. 2. DG project under way.		In place
Preventative actions taken to ensure no further issues will occur		Completion date
1. Eastland is entitled to rely on information provided on signed documentation received for data entry. 2. See 4.6		Current- Dec 19
		Identified

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From: 01-May-18 To: 14-Dec-18	Late population of the initial electrical connection date for 6 ICPs (3%). Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, as they are sufficient to ensure that the timeliness of initial electrical connection dates are at an acceptable level. The potential impact is low, as only 6 ICPs were updated late.	
Actions taken to resolve the issue		Completion date
Procedure to prompt participants for IED, followups now undertaken		In place
Preventative actions taken to ensure no further issues will occur		Completion date
as above		as above
		Remedial action status
		Identified

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 01-May-18 To: 31-May-19	Some price, network, status, and address changes were backdated. 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	Controls are rated as moderate because additional monitoring was established during the audit period and the controls ensure most updates are conducted in a compliant manner. The risk rating is low as these updates have no direct impact on reconciliation and I note that most distributed generation updates were within one month.		
Actions taken to resolve the issue		Completion date	Remedial action status
Daily check included in NOT files from Registry to pick up Retailer I6 notifications.		June 19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

ICP location address		
Non-compliance	Description	
Audit Ref: 4.4 With: Clause 2 Schedule 11.1 From: 28-Aug-18 To: 19-Jun-19	Four ICPs with duplicate addresses. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong because Gentrack does not allow duplicate addresses for new connections, and reporting is in place to identify duplicates as a result of address updates. The audit risk rating is low as only four ICPs were found to have duplicated addresses.	
Actions taken to resolve the issue		Completion date
Property address queries being reviewed with Retailers		June 19
Preventative actions taken to ensure no further issues will occur		Completion date
		Identified

Distributors to Provide ICP Information to the Registry manager		
Non-compliance	Description	
<p>Audit Ref: 4.6</p> <p>With: Clause 7(1)(m) & (p) Schedule 11.1</p> <p>From: 01-May-18</p> <p>To: 20-Jun-19</p>	<p>Two incorrect initial electrical connection dates.</p> <p>21 ICPs with distributed generation recorded by the trader but Eastland has no details recorded.</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	
Low	<p>The controls are rated as moderate, because they mitigate risk most of the time but there is room for errors to occur, specifically in relation to the recording of distributed generation.</p> <p>The audit risk rating is recorded as low as the overall number of variances is low.</p>	
Actions taken to resolve the issue		Completion date
Comparison of Registry PR255 Report and Applications, High Risk registry review and with Retailers.		April – Dec 19
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Use of combined information from PR255, DG Applications and Retailer EIEP files for integrity checks.</p> <p>Non-provision of confirmed installation and inspection dates from Applicants/Installers makes this very difficult to manage.</p>		As above
		Identified