

## Compliance plan for Mainpower – 2019

Requirement to provide complete and accurate information		
Non-compliance	Description	
<p>Audit Ref: 2.1</p> <p>With: Clause 11.2(1)</p> <p>From: 01-Sep-17</p> <p>To: 30-Apr-18</p>	<p>All practicable steps not taken to ensure information accuracy, as recorded in sections 4.2 and 4.6.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: Twice</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as moderate in the relevant sections. In summary Mainpower's controls ensure information is accurate most of the time but improvements have been identified, therefore I have recorded the controls as moderate.</p> <p>Several of the matters raised have a minor impact on settlement or other participants, leading to an audit risk rating of low.</p>	
Actions taken to resolve the issue		Remedial action status
Information corrected		5 June 2019 Cleared
Preventative actions taken to ensure no further issues will occur		Completion date
We will continue to work with the living agent to make it aware of Code requirements. We understand that closer monitoring of connections completed, but not advised to MainPower may be enabled in the near future with new reporting options/ queries from the registry.		Q4 2019 for updated reporting from Registry. 1 July 2019 for living agent discussions.
		I confirmed all errors have been corrected

Participants may request distributors to create ICPs		
Non-compliance	Description	
<p>Audit Ref: 3.2</p> <p>With: Clause 11.5(3)</p> <p>From: 19-Sep-18</p> <p>To: 17-Oct-18</p>	<p>2 of 20 ICPs created one day or two days late.</p> <p>Potential impact: Low</p> <p>Actual impact: None</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are rated as strong because the resourcing issues have been resolved and recently created ICPs were within 3 business days.</p> <p>There is no impact on settlement. The only potential impact is where a trader may wish to compare their Active date to the IED, so the impact is considered minor, leading to an audit risk rating of low.</p>	
Actions taken to resolve the issue		Completion date
The problem was caused during the audit period due to resource constraints. We will work with the network team to ensure that they are aware of requirements.		5 June 2019 for resourcing. Training completed 1 August 2019.
Preventative actions taken to ensure no further issues will occur		Completion date
The problem was caused during the audit period due to resource constraints. We will work with the network team to ensure that they are aware of requirements.		5 June 2019 for resourcing. Training completed 1 August 2019.
		Identified

Timeliness of Provision of ICP Information to the registry manager		
Non-compliance	Description	
<p>Audit Ref: 3.4</p> <p>With: Clause 7(2) of Schedule 11.1</p> <p>From: 18-Oct-18</p> <p>To: 14-Jan-19</p>	<p>Late Ready updates for nine ICPs.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
The late ready updating was caused by a previously unidentified IT problem. While this is being resolved we have reverted to manually updating the registry.		26 May 2019
Preventative actions taken to ensure no further issues will occur		Completion date
IT problem being resolved. Manual updating in the meantime		Q3 2019 for IT fix
		Identified

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: 01-Jun-18</p> <p>To: 30-Apr-19</p>	<p>80 initial energisation dates updated late to the registry.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>There is no impact on settlement. The only potential impact is where a trader may wish to compare their Active date to the IECD, so the impact is considered minor, leading to an audit risk rating of low.</p>	
Actions taken to resolve the issue		Completion date
We will monitor this more closely. We understand that the new reporting option/ queries from the Registry may help with this in the future.		Q4 for updated reporting, 5 June for monitoring
Preventative actions taken to ensure no further issues will occur		Completion date
We will monitor this more closely. We understand that the new reporting option/ queries from the Registry may help with this in the future.		Q4 for updated reporting, 5 June for monitoring
		Identified

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-18 To: 30-Apr-19</p>	<p>Some late registry updates.</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>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
We will monitor this more closely. We understand that the new reporting option/ queries from the Registry may help with this in the future.		5 June 2019 for closer monitoring. Q4 2019 for improved reporting
Preventative actions taken to ensure no further issues will occur		Completion date
We will monitor this more closely. We understand that the new reporting option/ queries from the Registry may help with this in the future.		5 June 2019 for closer monitoring. Q4 2019 for improved reporting
		Identified

Notice of NSP for each ICP		
Non-compliance	Description	
<p>Audit Ref: 4.2</p> <p>With: Clauses 7(1),(4) and (5) Schedule 11.1</p> <p>From: 01-Jun-18</p> <p>To: 30-Apr-19</p>	<p>Incorrect GXP recorded for 7 ICPs.</p> <p>Potential impact: Medium</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>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The impact on settlement and participants is minor for the small number of discrepancies identified; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
Inaccuracies corrected		5 June 2019
Preventative actions taken to ensure no further issues will occur		Completion date
<p>We will be running a query on ICPs looking at combinations of ICP street name, town name, and the associated GXP/NSP to identify which ICPs are to be investigated using the GIS for having incorrect GXP. As a short term measure this will be performed on BI report using data already available from the customer relationship management system. In the longer term, based on conversation between the auditor and IT staff, there will be a customised query set up and run directly from the customer relationship management system to enable ICPs to be extracted. This report and check will be carried out regularly, every 3 months.</p>		<p>Short term 5 June 2019, Q4 2019 for longer term fix</p>
		Cleared

ICP location address		
Non-compliance	Description	
Audit Ref: 4.4 With: Clause 2 Schedule 11.1  From: 01-Jun-18 To: 30-Apr-19	Four ICPs with duplicate addresses. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong and only four ICPs are non-compliant. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Inaccuracies corrected		5 June 2019
Preventative actions taken to ensure no further issues will occur		Completion date
We will work with the network team to ensure that they are aware of requirements.		1 August 2019
		Cleared

Distributors to Provide ICP Information to the Registry manager		
Non-compliance	Description	
<p>Audit Ref: 4.6</p> <p>With: Clause 7(1)(k), (m),(o) &amp; (p) Schedule 11.1</p> <p>From: 01-Jun-18</p> <p>To: 31-May-19</p>	<p>4 DG discrepancies.</p> <p>1 unmetered load discrepancy.</p> <p>5 IECD discrepancies.</p> <p>1 status error.</p> <p>Potential impact: Medium</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>The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.</p> <p>The audit risk rating is recorded as low because the overall number of variances is low, and the impact is negligible.</p>	
Actions taken to resolve the issue		Completion date
Inaccuracies corrected		5 June 2019
Preventative actions taken to ensure no further issues will occur		Completion date
We will monitor this more closely		1 July 2019
		Remedial action status
		Cleared