

Compliance plan for Goodman Nominee (MACQ) Distributor

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 24-Aug-16 To: 25-Aug-17	3 ICPs Initial Electrical Connection dates updated late. Potential impact: None Actual impact: None Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate - checks are in place to monitor changes to active. This has no direct impact on submission hence the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
We Identified that there was an issue with Electricians and livening agents notifying of dates of new connections. A new process was implemented in Oct 16 and this has captured most of these events		Oct 16
Preventative actions taken to ensure no further issues will occur		Completion date
Further steps are planned to appoint one livening agent for the EN. This will further improve the date that connections notices are received.		Mar 18
		Identified

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: 8 Schedule 11.1 From: 20-Jul-17 To: 14-Aug-17	1 late status update. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong - checks are in place to monitor registry changes. This has no direct impact on submission hence the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Trader was notified that this ICP had to be decommissioned at the same time as the new ICPs for that building were installed. This was overlooked by the trader and consequently backdated.		15/8/17
Preventative actions taken to ensure no further issues will occur		Completion date
We have asked the traders to ensure that decommissioning notification of ICPs are carried out within the required time period.		15/8/17
		Cleared