

COMPLIANCE PLAN

Mountain Power Distributor audit

14 Feb 2018

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2(1) and 10.6(1) From: 01-Jun-17 To: 31-Jan-18	Information on registry not complete and accurate. Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The errors identified are trivial and have no impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Non-compliance	Description		
Audit Ref: 3.5 With: 7(2A) of schedule 11.1 From: 01-Jul-16 To: 31-Jan-18	Late updating of initial electrical connection date for 18 ICPs. Potential impact: None Actual impact: None Audit history: Multiple Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		

Low	Information has no impact on reconciliation or any other participant, audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 of schedule 11.1 From: 01-Jul-16 To: 31-Jan-18	Registry events not updated within 3 business days. Address 71, price code 3 and loss code 2. Potential impact: None Actual impact: None Audit history: Multiple Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Control strength is rated by agent audit. Audit risk rating is low because these events are trivial and have no impact on the market or any participant.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Non-compliance	Description		

Audit Ref: 4.4 With: Clause 2 of schedule 11.1 From: 01-Jul-16 To: 31-Jan-18	10 ICP location addresses do not allow ready location of the ICP. Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls in place are adequate for the scale of operation. The audit risk rating is low because a very small number of ICPs were involved and these are small embedded networks and the ICPs are otherwise readily locatable.		
Actions taken to resolve the issue		Completion date	Remedial action status
Addresses updated in Registry		9/2/2018	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
MOPO will monitor all new ICP's in the system to ensure appropriate and detailed address information has been entered. If it has not MOPO will correct this. If no known address details exist MOPO will do its best to ensure that appropriate GPS data is entered into the appropriate fields.		9/2/2018	
Non-compliance	Description		
Audit Ref: 6.8 With: 10.25(3) From: 01-Jun-16 To: 31-Jan-18	Registry manager not advised of updated NSP metering installation certification details Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		

Low	Controls in place are adequate for the size of operation. Audit risk rating is low because metering installations were recertified on time and the NSP table information is not used for reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Non-compliance	Description		
Audit Ref: 6.11 With: 10.22(1)(b) From: 01-Sep-17 To: 31-Jan-18	Registry manager not advised of changed MEP for network gate metering. Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls in place are adequate for the size of operation. Audit risk rating is low because metering installations were recertified on time and the NSP table information is not used for reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	