

Compliance plan for WEL Networks Limited

Requirement to provide complete and accurate information		
Non-compliance	Description	
Audit ref: 2.1 With: Clause 11.2 (1) From/to: 15/12/16-17/7/17	Six unmetered ICPs created during the audit period with unmetered load details missing on the registry. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	
Low	The controls are strong and a new check has since been added to the registry validation to ensure no further occurrences. There is a minor impact on settlement, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
All errors were corrected as soon as they were identified		July 2017
Preventative actions taken to ensure no further issues will occur		Completion date
Daily reporting checks to identify discrepancies between WEL ICP Registry and EA Registry has been strengthened to include unmetered ICP's		July 2017
		Identified

Timeliness of the provision of initial energisation date		
Non-compliance	Description	
Audit ref: 3.5 With: Clause 7(2)(A) of schedule 11.1 From/to: 1/7/16-30/6/17	Incorrect application of event effective date for IED updates. 1 initial energisation date updated greater than ten days from the event date. Potential impact: None Actual impact: None Audit history: Multiple times Controls: Strong Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	
Low	The controls are strong and only one late update was found. There is no impact on settlement, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
WEL have adopted the requirement for the Initial Energisation date to match Event Date in Registry. WEL were unaware of this requirement until this year's audit.		July 2017
Preventative actions taken to ensure no further issues will occur		Completion date
As above		July 2017
		Identified

Changes to registry information		
Non-compliance	Description	
Audit ref: 4.1 With: Clause 8 of schedule 11.1 From/to: 1/10/16-30/6/17	Registry event updates backdated greater than three days. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	
Low	The controls are strong and updates were made as soon as possible. There is a minor impact on settlement, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
WEL introduced a new internal ICP Registry in 2016. This new ICP Registry was designed so that it is unable to backdate more than the 3 allowable days. WEL are therefore only able to backdate if the update is made in EA Registry. WEL will only backdate greater than 3 days when the delay is caused by WEL being unable to update the Registry until the retailer action a status change in the Registry, as recommended in previous audits, or where human error on WEL's part has meant WEL are responsible for the update not occurring in a timely manner.		July 2017
Preventative actions taken to ensure no further issues will occur		Completion date
The 77 ICP's identified were as a result of WEL's new ICP Registry database introduced failing to process one retailer Price Category update file received for 77 ICP's. WEL have fixed the system bug, and now double check all retailer Price Category updates are processed correctly.		July 2017
		[Auditor comment]

Distributors to provide ICP information		
Non-compliance	Description	
Audit ref: 4.6 With: Clause 7(1)(p) of schedule 11.1 From/to: 1/7/16-30/6/17	1 ICP with the incorrect unmetered load details. Five ICPs with the incorrect initial energisation date populated. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach Risk Rating: 1	
Audit Risk Rating	Rationale for audit risk rating	
Low	The updating of the initial energisation date is manual and therefore human errors can occur therefore I have rated the controls as moderate. There was no direct impact on submission as the retailer had the unmetered loads recorded, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
All errors have been corrected as soon as identified		July 2017
Preventative actions taken to ensure no further issues will occur		Completion date
WEL have introduced daily reporting to identify discrepancies between Initial Energisation Dates from WEL, MEP & Retailer. Where discrepancies are found, WEL firstly confirm with Livening Agents the actual livening date.. This process enables WEL to easily identify errors on Wel's part. Where WEL have input the correct date, WEL confirm with Retailer & MEP to request remedial action is taken.		July 2017
		Identified