

## Compliance Plan for Accucal MEP – May 2020

Changes to Registry Records		
Non-compliance	Description	
<p>Audit Ref: 4.10</p> <p>With: Clause 3 of Schedule 11.4</p> <p>From: 06-Mar-19</p> <p>To: 06-Mar-20</p>	<p>Five records updated on the registry later than 10 business days.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	<p>I have recorded the controls as strong in this area because Accucal has checks in place to identify and resolve discrepancies and the number of late updates was low.</p> <p>The impact on participants, customers or settlement could be minor where a tariff change may be required; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
<p>AccuCal's MEP role is still very small and has only had one person able to carry out Registry updates, hence the occasions where this was late. One of our team is now getting involved and will be able to do the updates and therefore we will be better placed to do these on time.</p>		Able to do updates by 1 <sup>st</sup> June 2020
Preventative actions taken to ensure no further issues will occur		Completion date
<p>Part of our continual improvement around Registry Monthly Checks will result in us being able to send a file to the Registry for updates instead of doing them manually. This will greatly improve our compliance in this area.</p>		Aiming to have this ability by 1 <sup>st</sup> Nov 2020.
		Identified

Correction of Errors in Registry		
Non-compliance	Description	
Audit Ref: 6.3 With: Clause 6 of Schedule 11.4  From: 01-Jun-17 To: 31-Mar-20	Registry validation not conducted for every month of the audit period. 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 because Accucal has now implemented a validation process.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
First full check has been completed on 1 <sup>st</sup> May 2020. Leading up to this some testing identified some minor issues with the registry records, some relating to compensation factors and most relating to minor serial number discrepancies. The registry has been updated and no issues were found on 1 <sup>st</sup> May.		1 <sup>st</sup> May 2020
Preventative actions taken to ensure no further issues will occur		Completion date
Registry Check reminder is in both Russell Mann's and Nathan Forsyth's calendars every month with Nathan tasked to complete the check.		1 <sup>st</sup> May 2020
		Cleared

Certification and Maintenance			
Non-compliance	Description		
<p>Audit Ref: 7.1</p> <p>With: Clause 10.38 (a), clause 1 and clause 15 of Schedule 10.7</p> <p>From: 19-Jan-20</p> <p>To: 17-Mar-20</p>	<p>Certification expired for one metering installation.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</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>I have recorded the controls as strong as Accucal has a good process for monitoring certification expiry dates and has taken reasonable steps to arrange to recertify.</p> <p>The impact on settlement is recorded as low because it is unlikely that the recent expiry of the certification will lead to of failure or inaccuracy of the metering installation. The audit risk rating is recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>The latest update from the site is that they have CAPEX approval for the switchboard upgrade and this is scheduled for late 2021, when their next outage is to be. It is extremely unlikely that this back-up supply will be used before then. Not much we can do other than to either self-breach or apply for an exemption. The customer does not want us to incur any costs at this stage as the supply is not in use, so have stated they don't want us to apply for an exemption, and the retailer has been advised of this and has not commented.</p>		<p>Checked with the customer on 7<sup>th</sup> May 2020 and job still on track for late 2021.</p>	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>I don't believe there are any controls required.</p>		<p>7<sup>th</sup> May 2020</p>	

Statement of Situation		
Non-compliance	Description	
Audit Ref: 9.3 With: Clause 10.46(2)  From: 25-Mar-20 To: 05-Apr-20	Statement of situation not provided to affected participant and Authority within 3 business days for one ICP.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Strong  Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as strong because the Accucal process would normally ensure notification is provided in the required timeframe.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
A review of this process will be completed and options to build-in reminders will be looked at.		By 1 <sup>st</sup> May 2021.
Preventative actions taken to ensure no further issues will occur		Completion date
As above, will be reviewed internally and options looked at for automated reminders. A new job management package will assist in this area.		On-going.
		Identified