

Compliance plan for Meridian MEP – 2020

Participants to Provide Accurate Information		
Non-compliance	Description	
Audit Ref: 2.5 With: Clause 10.6 From: 12-Mar-19 To: 15-Aug-20	ICP not recorded in certification report for ICP 0000315340TPEFC Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Broadspectrum has since added this to the certification report and resubmitted the latest reports		02/09/20
Preventative actions taken to ensure no further issues will occur		Completion date
We have reminded Broadspectrum to ensure they add this to the report and will check the reports to ensure this detail is added.		02/09/20
		Cleared

Changes to Registry Records			
Non-compliance	Description		
<p>Audit Ref: 4.10</p> <p>With: Clause 3 of Schedule 11.4</p> <p>From: 14-Mar-19</p> <p>To: 13-Aug-19</p>	<p>Three incorrect event dates.</p> <p>Late update for ICP 0000315340TPEFC</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		
Low	<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	Remedial action status
<p>We attempted to correct the details but were unable to do so in the Registry. We will try again after we undertake the next inspection and receive certification.</p> <p>We have also made all staff that update the ICP registry aware of the requirement to not only update the new expiry date but to also enter the date the registry was updated.</p> <p>1. Incorrect Event Dates We have added this requirement to our ICP update procedure to ensure this field is updated in the future. We attempted to correct the date in the registry but couldn't so have left it as is. We will attempt to correct after the next Inspection/Certification</p> <p>2. Late update was due to human error as the engineer responsible for metering and updating the registry forgot to do this. This was due to experiencing issues on the day of the calibrations but was subsequently picked up in the following monthly NSP/ICP checks</p>		<p>TUK before the 21/09/20 post 10 Yearly CT and VT Cals</p> <p>WHL before the 12/03/22 post 3 Yearly Meter Cal</p> <p>MCK before the 30/11/22 post 3 Yearly Meter Cals</p>	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Improved our process and procedures to enter correct dates		02/09/20	