Compliance plan for IntelliHUB – 2018

Installation & Modification of Metering Installations	
Non-compliance	**Description**
Audit Ref: 4.9 With: Clauses 10.34(2), (2A) and (3) From: 08-Aug-18 To: 17-Oct-18	Agreements not in place with Distributors regarding design of metering installations. Potential impact: Medium Actual impact: Low Audit history: None Controls: None Breach risk rating: 5
Audit risk rating	**Rationale for audit risk rating**
Low	Whilst discussions have been had, there isn't a step in place to require agreement prior to becoming the MEP on any given Network. There doesn't appear to be any impact on Distributors, but this won't be known until negotiations commence. The audit risk rating is recorded as low.

Actions taken to resolve the issue	Completion date	Remedial action status
Intellihub have commenced conversations with Distributors and have emailed design reports, dated 16/10/2018. We will use best endeavors to seek written confirmation.	16/10/2018	Investigating
Preventative actions taken to ensure no further issues will occur	**Completion date**	
Intellihub will continue to have conversations and email design reports prior to the roll out of deployment in future Networks. We will use best endeavors to seek written confirmation.	31/07/2020	

Changes to Registry Records	
Non-compliance	**Description**
Audit Ref: 4.10 With: Clause 3 of Schedule 11.4 From: 01-Sep-18 To: 04-Oct-18	Some backdated corrections. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1
Audit risk rating	**Rationale for audit risk rating**
Low	The controls are recorded as strong because all "BAU" updates are well managed and were on-time. The late updates were corrections found during validation. There was no impact on other participants or on settlement; therefore, the audit risk rating is low.

Actions taken to resolve the issue	Completion date	Remedial action status
Exceptions found during validation checks and agreed with Participants that a bulk update will occur once on 23/09/2018 to resolve the discrepancies.	23/09/2018	Identified
Preventative actions taken to ensure no further issues will occur	**Completion date**	
An enhancement release into production to cater for the current exceptions found during validation checks.	31/10/2018	

MEP Response to Switch Notification	
Non-compliance	**Description**
Audit Ref: 6.1 With: Clause 1(1) of Schedule 11.4 From: 10-Sep-18 To: 17-Sep-18	One late acceptance. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1
Audit risk rating	**Rationale for audit risk rating**
Low	The controls are recorded as strong because they now ensure all nominations are accepted within 10 business days. There was no impact on any other party; therefore, the audit risk rating is low.

Actions taken to resolve the issue	Completion date	Remedial action status
Intellihub automation will accept nominations and will ensure the MN switch breach table is monitored daily. Intellihub enhancement released to ensure .ack files are received when an MN file is triggered.	17/09/2018	Cleared
Preventative actions taken to ensure no further issues will occur	**Completion date**	
Intellihub automation will accept nominations and will ensure the MN switch breach table is monitored daily. Intellihub enhancement released to ensure .ack files are received when an MN file is triggered.	17/09/2018	

Correction of Errors in Registry		
Non-compliance	**Description**	
Audit Ref: 6.3 With: Clause 6 of Schedule 11.4 From: 08-Aug-18 To: 17-Oct-18	Complete registry validation not conducted. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	**Rationale for audit risk rating**	
Low	The controls for data validation in general are strong but this specific check is not conducted as required by the Code. Errors were not identified by the other checks conducted, therefore the audit risk rating is low.	
Actions taken to resolve the issue	**Completion date**	**Remedial action status**
Intellihub run the MEP audit access database weekly to identify discrepancies and are working towards monthly reconciliation against the Registry and Intellihub records.	21/01/2019	Investigating
Preventative actions taken to ensure no further issues will occur	**Completion date**	
Intellihub run the MEP audit access database weekly to identify discrepancies and are working towards monthly reconciliation against the Registry and Intellihub records.	21/01/2019	