

Compliance plan for King Country Energy

Non-compliance	Description		
Audit Ref: 12.8 With: 4 of Schedule 15.2 From: 01-Jul-17 To: 15-Jul-18	Submissions for a small number of NSPs did not reach the target of 100% HE 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	Controls are recorded as strong. In most months, HE targets are met. After the switch of all NHH ICPs KCE implemented a stringent process to evaluate situations where the target of 100 % permanent estimates is not met and action is taken		
Actions taken to resolve the issue		Completion date	Remedial action status
KCE is constantly checking its data and investigating issues as they are discovered. Our controls are strong, so no immediate action required.		n/a	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
KCE is reviewing data quality for all wash-ups. We have not reduced resource, but instead put all resource on to wash-ups as initial submissions are no longer required.		Oct 2019	

Non-compliance	Description		
<p>Audit Ref: 13.3</p> <p>With:</p> <p>From: 01-May-17</p> <p>To: 15-Jul-18</p>	<p>Historical estimates threshold not met for a small number of NSPs</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		
Low	<p>Controls are recorded as strong. The company was reading NHH meters very often. Especially before the switch of all NHH ICPs, the frequency of meters was increased significantly. Audit risk rating is assigned as low because historical estimates column in NHHVOLS are not used for reconciliation</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
KCE will continue its usual Control processes in monitoring the quality of the data for the next 14 months. No immediate action required from us.		n/a	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As our controls are already strong we will continue with our current processes until end of R14 for Jul 2018 reconciliation month.		Oct 2019	