

Compliance Plan AIAL Distributor Audit 2022

Timeliness of Provision of Initial Electrical Connection Date		
Non-compliance	Description	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 01-Feb-21 To: 36-June-22	Three ICPs did not have initial electrical connection dates populated within ten business days of initial electrical connection. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate, as they are sufficient to prevent the late updates most of the time. The audit risk rating is deemed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
These ICP's were not input to the Salesforce (CRM) when they were created, and this was picked up as part of general maintenance.		At time error was found.
Preventative actions taken to ensure no further issues will occur		Completion date
We have developed a report that picks up discrepancies between ICP's on the Registry and Salesforce (CRM). The frequency this report is run will be increased to improve the timeliness of any Registry updates.		Ongoing.
Remedial action status		
Identified		

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: 8 Schedule 11.1 From: 01-Feb-21 To: 30-June-22	One pricing event was not updated within three days of the event. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, as risk is mitigated to an acceptable level as TENCO have good reporting in place to manage registry updates. The audit risk rating is low as only one ICP was affected, therefore the impact on settlement will be low.	
Actions taken to resolve the issue	Completion date	Remedial action status
An earlier, compliant pricing event was reversed at the traders request to allow MEP to claim the site prior to the agreed pricing event date.	At time of trader request.	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Controls in this space are strong and demonstrated by only 1 late update during the audit period occurring later than Code requirements.	N/A	

ICP location address		
Non-compliance	Description	
Audit Ref: 4.4 With: 2 Schedule 11.1 From: 01-Feb-21 To: 30-June-22	Three active ICPs with addresses that are not readily locatable. Potential impact: None Actual impact: None Audit history: Three times previously Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated strong as TENCO's processes are robust, but they are reliant on AIAL providing address details. The audit risk rating is low as this only a small number of ICPs that AIAL are responsible for.	
Actions taken to resolve the issue	Completion date	Remedial action status
The 3 ICP's identified have had updates made to Registry to make them readily locatable.	August-2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We will look to put automated monitoring in place for duplicate addresses. We have started reviewing ICPs we have inherited from local networks building by building and will improve the records.	September-2022	

Responsibility for metering information for NSP that is not a POC to the grid		
Non-compliance	Description	
Audit Ref: 6.8 With: Clause 10.25(1) From: 01-Feb-21 To: 30-June-22	One meter recertification not notified to the RM within 20 days of meter recertification. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong, as they are sufficient to prevent the late updates most of the time. The audit risk rating is deemed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
Tenco enters the metering certification from the MEP as soon as we receive and process the paperwork, in some cases the MEP's paperwork is late thus causing Tenco to be non-compliant.	During audit period	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Tenco continue to proactively follow up for meter paperwork with the MEP when it has not been received. Contracting with the MEP's directly from the 01/10/2021 we anticipate should assist with the timeliness of meter install paperwork.	Ongoing	