

## Compliance plan for TNPT Distributor Audit – 2020

Maintenance of price category codes		
Non-compliance	Description	
<p>Audit Ref: 4.12</p> <p>With: Clause 23</p> <p>Schedule 11.1</p> <p>From: 01-Mar-19</p> <p>To: 30-Jul-19</p>	<p>One new price category code was not notified within the correct notice period (PN00).</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>Controls are rated as strong, as they are sufficient to prevent the late updates most of the time.</p> <p>The audit risk rating is deemed to be none as no loss category code changes have been made during the audit period.</p>	
Actions taken to resolve the issue		Completion date
As soon as the error was discovered the pricing code was re-added back to Registry as it should not have been end dated as at the 30/04/2019 – only 2 ICP's were impacted and both are on Residual ICP's where no lines charges apply.		30/07/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Pricing updates and changes to Registry are now only via our Market Operations and Compliance Manager and are no longer completed just via an Analyst.		Feb-2020
		Identified

Updating loss category codes		
Non-compliance	Description	
<p>Audit Ref: 5.1</p> <p>With: Clause 21 Schedule 11.1</p> <p>From: 01-Mar-19</p> <p>To: 15-Jun-19</p>	<p>Two new price category codes were not notified within the correct notice period.</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>Controls are rated as strong, as this was a one off incident where a staff member did not followed the process and these were corrected upon discovery.</p> <p>The audit risk rating is deemed to be none as no loss category code changes have been made during the audit period.</p>	
Actions taken to resolve the issue		Completion date
This is a one off error as a result of a loss code tidy op completed across all TENC managed networks, the Criteria should have been using EN and SB ICP's however only EN ICP's where reviewed and the loss code was incorrectly closed in Registry – as soon as we were made aware of the issue we backdated the start date for the loss code.		05/06/2019
Preventative actions taken to ensure no further issues will occur		Completion date
Loss Code updates and changes to Registry are now only via our Market Operations and Compliance Manager and are no longer completed just via an Analyst.		September-2020
		Identified