

Compliance plan for Oyster Network Distributor – 2019

Timeliness of Provision of Initial Electrical Connection Date			
Non-compliance	Description		
<p>Audit Ref: 3.5</p> <p>With: 7(2A) of Schedule 11.1</p> <p>From: 01-Jan-18</p> <p>To: 31-Dec-18</p>	<p>24 (12%) ICPs Initial Electrical Connection dates updated late.</p> <p>Four ICPS not updated with the correct effective event date.</p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: Multiple</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate - checks are in place to monitor changes to active.</p> <p>This has no direct impact on submission hence the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
In terms of the Initial Electrical Connection Date, it's entered manually using the registry web interface. Four ICPs which have not the correct effective event date was a human error, which was noted but the design of registry makes it difficult to correct. The effective date for this particular information has no practical meaning.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>The updates are entered using the registry interface which are open to a human error. To monitor a timeline of updates, once per month EDA file will be requested from the registry to check timeline of updates. If a problem with IECD is identified again, we will consult the registry manager how to correct it.</p> <p>Regarding the late update of the IECD, this is an ongoing issue of getting paperwork back from contractors in a timely manner. Over the last 12 months it has improved dramatically but unfortunately there are still some issues. We continue to work closely with retailers and livening agents to improve the information flow.</p>		28/2/2019	

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: 8 Schedule 11.1 From: 19-Sep-16 To: 25-Jan-19	One backdated pricing event. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong - checks are in place to monitor registry changes. This affected one ICP therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Unfortunately that was a human error which was corrected upon discovery.		25/01/19	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
The updates are entered using the registry interface which are open to a human error. To monitor a timeline of updates, once per month EDA file will be requested from the registry to check timeline of updates. If an error will be identified, it will be corrected promptly		28/02/2019	