

NON-COMPLIANCE

Non-compliance	Description		
<p>Audit Ref: 2.1 With: Clause 11.2(1)</p> <p>From: 06-Nov-16 To: 15-Sep-17</p>	<p><i>Incomplete ICP address information and 366 ICPs that are believed to be electrically connected (active) but in the new state on the registry.</i></p> <p>Potential impact: High Actual impact: Unknown Audit history: Several times Controls: None Breach risk rating: 12</p>		
Audit risk rating	Rationale for audit risk rating		
High	Past audits have established that we expect most if not all the 366 identified ICPs are consuming electricity but may not be traded.		
Actions taken to resolve the issue		Completion date	Remedial action status
For "New" State issue see 3.12, Address issue see 4.4		16 th October 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
For "New" State issue see 3.12, Address issue see 4.4		1st May 2018	

Non-compliance	Description		
<p>Audit Ref: 3.5 With: 7(2A) of schedule 11.1</p> <p>From: 06-Nov-16 To: 15-Oct-17</p>	<p><i>Distributor provides initial energisation date to registry. The participant did not provide the initial energisation date for 1 new ICP within the required period.</i></p> <p>Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	Audit risk is assessed as Low because only 1 ICP is involved and no participant or reconciliation process depends on this information.		
Actions taken to resolve the issue		Completion date	Remedial action status
Missing Initial energisation Date have been amended		13 th October 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
A report has been created which is run on a daily basis to identified missing energisation dates for Active ICPs.		2 nd November 2017	

Non-compliance	Description		
Audit Ref: 3.12 With: Clause 13 Schedule 11.1 From: 06-Nov-16 To: 15-Sep-17	<i>366 ICPs in new state believed to be consuming electricity.</i> Potential impact: High Actual impact: Unknown Audit history: Several times Controls: None Breach risk rating: 12		
Audit risk rating	Rationale for audit risk rating		
High	Past audits have performed a desktop investigation of small samples of these ICPs and the findings strongly suggest the ICPs are consuming electricity and not being traded.		
Actions taken to resolve the issue		Completion date	Remedial action status
EA Network has not created any new ICPs with this issue during the audit period.		16 th October 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
EA Networks will work with Retailers to create and to carry out a process to begin trading on these ICPs.		5 th May 2018	

Non-compliance	Description		
Audit Ref: 4.1 With: 8 of schedule 11.1 From: 03-Jan-16 To: 13-Jul-17	<i>Participant provides changes to registry information within 3 business days of the change taking effect. Participant did not provide information within 3 business days as tabulated in audit report for changes of address, price category code and installation type.</i> Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls in place are satisfactory for the small volume of changes made and no change has had any material impact on the market, any participant or any consumer.		

Actions taken to resolve the issue	Completion date	Remedial action status
Issue identified	16 th October 2017	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
For the future Address Changes, the Event Date will also be updated instead of using the default date.	25 th October 2017	

Non-compliance	Description	
Audit Ref: 4.2 With: (Clauses 7(1),(4) and (5) Schedule 11.1 From: 01-Jan-17 To: 09-Oct-17	<i>No process operating to maintain NSP for ICP information on the registry.</i> Potential impact: Low Actual impact: Unknown Audit history: None Controls: None Breach risk rating: 5	
Audit risk rating	Rationale for audit risk rating	
Low	Incorrect allocation of NSP to ICP can have a significant adverse effect on reconciliation. In this case there are only 2 NSPs which are both in the same balancing area, and the balancing process will significantly mitigate the adverse effect of the non-compliance.	
Actions taken to resolve the issue	Completion date	Remedial action status
Issue identified	16 th October 2017	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Work is being undertaken to amend systems to integrate with the new GIS system. EA Networks will undertake monthly checking of Process to make sure updates are been made on the Registry.	10 th January 2018	

Non-compliance	Description		
<p>Audit Ref: 4.4</p> <p>With: Clause 2 of schedule 11.1</p> <p>From: 03-Jan-16</p> <p>To: 13-Jul-17</p>	<p><i>Address information provided for many ICPs would not allow ready location of the ICP (as described in audit report).</i></p> <p>Potential impact: Unknown</p> <p>Actual impact: Unknown</p> <p>Audit history: Several times</p> <p>Controls: None</p> <p>Breach risk rating: 8</p>		
Audit risk rating	Rationale for audit risk rating		
Medium	EA Networks have no process in place to correct and maintain address information that would not allow ready location of the ICP. The impact of this is mitigated by local network knowledge which can be accessed with a phone call.		
Actions taken to resolve the issue		Completion date	Remedial action status
EA network regularly amends the Registry Addresses at the requests from Traders on the behalf of Customers and meter readers. ICP tag is on site to differentiate individual ICPs.		16 th October 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Staff will review & Update Addresses where appropriate to reduce the number duplicate addresses i.e. Add "House" or "Shed" etc. to the Property Name Field.</p> <p>For DUML (Street Lighting) a review will be carried out as part of upcoming Pricing round where Street Lighting Numbers will be changed to be accessed by use of RAMM (Council) Database. Addresses for these ICPs will amended to reflect this change.</p>		5 th May 2018	