

## Compliance Plan for Ventia ATH – May 2021

Advise MEP of Records, Certificates or Reports for a Metering Installation		
Non-compliance	Description	
<p>Audit Ref: 3.9</p> <p>With: Clause 14 of Schedule 10.4</p> <p>From: 12-Nov-20</p> <p>To: 28-Jan-21</p>	<p>Certification reports not provided to MEPs within the required five business days for three metering installations.</p> <p>Potential impact: Medium</p> <p>Actual impact: Low</p> <p>Audit history: none</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>	
Audit risk rating	Rationale for audit risk rating	
Low	<p>The controls are recorded as moderate because the issue causing late provision of records has been resolved.</p> <p>There is very little impact on other participants as critical details are provided to MEPs at the time of certification; therefore, the audit risk rating is low.</p>	
Actions taken to resolve the issue		Completion date
The late provision of records was caused by some issues that we were having with our certification database at the end of last year. These issues have been resolved.		1/2/2021
Preventative actions taken to ensure no further issues will occur		Completion date
Our certification database is now operational which enables certification reports and documentation to be sent in the required timeframe.		1/2/2021
		Cleared

Meter Requirements		
Non-compliance	Description	
Audit Ref: 3.11 With: Clause 26(4) of Schedule 10.7  From: 17-Jul-20 To: 22-Mar-21	Maximum interrogation cycle not recorded for three metering installations. Potential impact: Low Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate because there is room for improvement. The impact on other participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
While the interrogation cycle was not recorded in the check sheet / design report this is recorded in the Electricity Registry. The requirement for this field to be completed has been emphasized to the staff concerned.		7/5/2021
Preventative actions taken to ensure no further issues will occur		Completion date
A more rigorous checking process for all required fields of the installation checksheet will be developed and put in place.		7/6/2021

Determine Maximum Interrogation Cycle		
Non-compliance	Description	
Audit Ref: 3.14 With: Clause 36(4) of Schedule 10.7  From: 17-Jul-20 To: 22-Mar-21	Maximum interrogation cycle not recorded for three installations. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate because there is room for improvement. The impact on other participants could be minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
While the interrogation cycle was not recorded in the check sheet / design report this is recorded in the Electricity Registry. The requirement for this field to be completed has been emphasized to the staff concerned.		7/5/2021
Preventative actions taken to ensure no further issues will occur		Completion date
A more rigorous checking process for all required fields of the installation checksheet will be developed and put in place.		7/6/2021
		Identified

Requirement for Metering Installation Design Report		
Non-compliance	Description	
Audit Ref: 5.3 With: Clause 2(4) Of Schedule 10.7  From: 17-Jul-20 To: 22-Mar-21	Design reports were not complete for three metering installations. Potential impact: Medium Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate because design reports are in place for most metering installations.  There is a potential minor impact due to the incomplete design reports, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
While the Site/Standard Drawing was not recorded in the check sheet / design report all our installation records have site specific or standard drawings available.		7/5/2021
Preventative actions taken to ensure no further issues will occur		Completion date
A more rigorous checking process for all required fields of the installation checksheet will be developed and put in place.		7/6/2021

ATH Design Report Obligations		
Non-compliance	Description	
Audit Ref: 5.4 With: 3 Of Schedule 10.7  From: 17-Jul-20 To: 22-Mar-21	Design reports were not complete for three metering installations. Potential impact: Medium Actual impact: Low Audit history: Twice Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	The controls are recorded as moderate as complete design reports are in place for most metering installations.  There is a potential minor impact due to the incomplete design reports, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
While the Site/Standard Drawing was not recorded in the check sheet / design report all our installation records have site specific or standard drawings available.		7/5/2021
Preventative actions taken to ensure no further issues will occur		Completion date
A more rigorous checking process for all required fields of the installation checksheet will be developed and put in place.		7/6/2021