

## Compliance Plan MainPower Distributor 2023

Removal or breakage of seals		
Non-compliance	Description	
Audit Ref: 2.3 With:  From: 01-Feb-21 To: 09-May-23	MainPower does not re-seal metering equipment after bridging. 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 they mitigate risk most of the time but there is room for improvement.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
Actions taken to resolve the issue	Completion date	Remedial action status
MainPower are not able to reseal meters, our process will change to advise retailers directly for them to action reseal.	01/06/23	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
MainPower are not able to reseal meters, our process will change to advise retailers directly for them to action reseal. Use of System Agreements to be updated with a clause recording retailer consent for bridging process	01/12/23	

<b>Timeliness of Provision of ICP Information to the registry manager</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1 From: 09-Dec-21 To: 13-Dec-21	Late update to “ready” for one ICP electrically connected during the audit period. Potential impact: Low Actual impact: Low Audit history: Three times previously Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as strong as they eliminate risk to an acceptable level. The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
One late update to ‘ready’ due to human error, registry update not actioned when retailer acceptance received, structured process to check registry updates made before releasing ‘Approval to Liven’	22/05/2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Process structured to ensure registry status changed before releasing ‘Approval to Liven’	22/05/2023	

<b>Timeliness of Provision of Initial Electrical Connection Date</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From: 20-Dec-20 To: 11-Jan-23	16 initial electrical connection dates updated late to the registry. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time, most initial electrical connection dates were populated on time. The audit risk rating is assessed to be low as this has no direct impact on reconciliation.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Late results from Livening Agents are continuing to be monitored.	22/05/2023	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Late results from Livening Agents are continuing to be monitored including CT sites. Livening Agents to be reminded of their obligations to return connection results within 1 day of completion.	22/05/2023	

<b>Connection of ICP that is not an NSP</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.6 With: Clause 11.17  From: 09-Dec-21 To: 13-Dec-21	One ICP where the trader was not recorded in the registry as having accepted responsibility prior to electrical connection.  Potential impact: Low  Actual impact: Low  Audit history: Once  Controls: Strong  Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as strong as they eliminate risk to an acceptable level.  The impact on settlement and participants is minor; therefore, the audit risk rating is low.	
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>
Same ICP as for 3.4 - One late update to 'ready' which also includes proposed retailer, due to human error, registry update not actioned when retailer acceptance received, structured process to check registry updates made before releasing 'Approval to Liven' -		26/05/2023
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>
Process structured to ensure registry status changed before releasing 'Approval to Liven'		26/05/2023
		<b>Remedial action status</b>
		Identified

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 Schedule 11.1  From: 01-Oct-21 To: 04-Apr-23	28 late address updates. One late NSP update. 56 late pricing updates. Two late status updates.  Potential impact: Medium Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as moderate because they are sufficient to ensure that the registry is updated within three business days most of the time.  The audit risk rating is assessed to be low as the volume of late updates is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Any late updates are only made to ensure accurate information on registry, late pricing updates are due to ICP's changing from builders temp to perm, results received outside of 3 day timeframe		22/05/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Livening agents reminded of their obligations and continue monitoring.		22/05/2023	

Notice of NSP for each ICP		
Non-compliance	Description	
Audit Ref: 4.2 With: Clause 7(1) Schedule 11.1 From: 01-Oct-21 To: 04-Apr-23	11 ICPs mapped to the incorrect NSP. Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as strong as has robust controls in place to mitigate risk. The risk rating is low as the two NSP are in the same balancing area and therefore an incorrect NSP has no direct impact on reconciliation.	
Actions taken to resolve the issue	Completion date	Remedial action status
NSP allocations to be monitored more closely through Audit Compliance report	01/06/2023	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
NSP allocations to be monitored more closely through Audit Compliance report	01/06/2023	

<b>Distributors to Provide ICP Information to the Registry manager</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 4.6 With: 7(1) Schedule 11.1  From: 13-Apr-21 To: 09-May-23	One ICP with incorrect distributor unmetered load recorded. Two LE ICPs with the NSP dedication set to No.  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	Controls are rated as strong as the MainPower processes demonstrated robust controls.  The audit risk rating is low as the data discrepancies identified have little or no impact on reconciliation.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
ICP with incorrect unmetered load corrected to now match retailer information. Two LE ICP's have NSP dedication correctly set to Yes	22/05/2023	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Regular quarterly monitoring of unmetered load information to be established.	01/06/2023	

<b>Provision of information to registry after the trading of electricity at the ICP commences</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 4.7 With: Clause 7(3) Schedule 11.1  From: 08-Jul-21 To: 27-Jul-21	One late pricing update to provide the actual price category code. Potential impact: Low Actual impact: Low Audit history: Once Controls: Moderate Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement.  The audit risk rating is recorded as low as only one ICP was affected.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Refer comments for 3.4	22/06/2023	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Refer comments for 3.4	22/06/2023	