

## Compliance Plan for Stride Investment Management Ltd (DMFL) – 2023

<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: 30-Nov-21 To: 03-Dec-21	One ICPs was updated to “ready” status after initial electrical connection.  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 they are sufficient to prevent late updates most of the time.  The audit risk rating is low as only one event was updated late during the audit period.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
The ICP status was updated to ‘Ready’ as soon as we were informed that the meter had been installed.	During audit period	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
ICP’s are now created with a status of ‘Ready’ unless we are aware that construction is still in progress and livening some time away.	Ongoing	

<b>Timeliness of Provision of Initial Electrical Connection Date</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1  From: 10-Aug-22 To: 30-Aug-22	One ICP did not have the initial electrical connection date populated within ten business days of initial electrical connection.  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>	Controls are rated as moderate as they are sufficient to ensure that initial electrical connection dates are updated on time most of the 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>
Simply Energy had incorrectly claimed this ICP. Once this was reversed and a subsequent claim made by Mercury, we were able to update the IED, albeit late.	During audit period	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Where we find ICP's have been incorrectly claimed, we notify the effected retailers immediately to request corrective action.	Ongoing	

Connection of ICP that is not an NSP		
Non-compliance	Description	
Audit Ref: 3.6 With: Clause 11.17  From: 30-Nov-21 To: 03-Dec-21	One ICP was not updated to “ready” status prior to the initial electrical connection date, and the trader was not recorded as having accepted responsibility for the ICP in the registry.  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as strong, as they are sufficient to prevent late updates most of the time.  The audit risk rating is low as only one event was updated late during the audit period.	
Actions taken to resolve the issue	Completion date	Remedial action status
The ICP status was updated to ‘Ready’ as soon as we were informed that the meter had been installed.	During audit period	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
ICP’s are now created with a status of ‘Ready’ unless we are aware that construction is still in progress and livening some time away.	Ongoing	

Changes to registry information		
Non-compliance	Description	
Audit Ref: 4.1 With: 8 Schedule 11.1  From: 01-Jan-22 To: 24-Feb-23	One late pricing update. Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as strong, as they are sufficient to prevent late updates most of the time.  The audit risk rating is low as only one event was updated late during the audit period.	
Actions taken to resolve the issue	Completion date	Remedial action status
This occurred due to the parent network backdating a loss category update for the LE ICP. All EN ICP's required backdated loss code updates as a result. We chose 01/01/22 to coincide with R14 washup for following month.	During the audit period	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
We monitor all parent network price code updates and effect downstream EN ICP updates within three business days.	Ongoing	

<b>Responsibility for metering information for NSP that is not a POC to the grid</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 6.8 With: Clause 10.25(1) and 10.25(3)  From: 11-Apr-16 To: 2-Feb-23	Metering installation certification details were updated more than 20 business days after the certification date for WCW0111 and WQG0011.  Potential impact: Low  Actual impact: Low  Audit history: Twice  Controls: Moderate  Breach risk rating: 2	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are rated as moderate, as there is room for improvement.  The impact is low as the metering installations were certified at all times.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
We updated new metering certification details on the same day that we received the certification paperwork from the metering equipment provider, for both NSP's.	During the audit period	Cleared
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Meter certification paperwork is often sent to us outside of the required update period. We have no control over this. We generate a list of all outstanding paperwork and distribute monthly.	Ongoing	