

Compliance Plan for WEL Networks MEP – November 2019

Registry Notification of Metering Records			
Non-compliance	Description		
Audit Ref: 3.2 With: Clause 2 of Schedule 11.4 From: 16-Dec-17 To: 20-Sep-19	Two registry updates later than 15 business days. Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are in place to ensure the timeliness of updates. The impact on other participants is minor; therefore, the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Improve our process for chasing contractors when jobs are overdue. Send contractor an overdue report weekly		01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Improvements to managing contractor performance		01/12/2019	

Changes to Registry Records		
Non-compliance	Description	
Audit Ref: 4.10 With: Clause 3 of Schedule 11.4 From: 16-Dec-17 To: 20-Sep-19	Some records updated to the registry later than 10 business days. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	I have recorded the controls as moderate in this area because there is room for improvement. The updates relate to corrections which have a minor impact on participants and settlement, therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
Monitor days more closely to ensure metering records are sent to the registry within time.		1/12/2019 - ongoing
Preventative actions taken to ensure no further issues will occur		Completion date
MEP Manager to do internal checks to ensure records are delivered within time.		1/12/2019 - ongoing
		Identified

Provision of Registry Information			
Non-compliance	Description		
Audit Ref: 6.2 With: Clause 7 (1), (2) and (3) of Schedule 11.4 From: 06-Dec-17 To: 20-Sep-19	Some registry records incorrect. Potential impact: Low Actual impact: Medium Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Medium	I have recorded the controls as strong in this area due to the low number of issues. The discrepancies have a minimal impact on participants, customers or settlement. The audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will run the audit compliance report monthly and fix any discrepancies		01/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Manual process has now been automated which means this will reduce the risk of errors occurring again. Suggest the EA looks at its file validation so it does not accept invalid register content code and period of availability combinations or clearly invalid dates. Eg: 3034		01/12/2019	

Time Errors for Metering Installations			
Non-compliance	Description		
Audit Ref: 10.7 With: Clause 8(4) of Schedule 10.6 From: 16-Dec-17 To: 20-Sep-19	76 examples of clock errors outside the allowable thresholds. Potential impact: Medium Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	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
We identify meters that need time synchronisation weekly and resolve		1/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We identify the time sync issues as they occur. It is not possible to prevent the time sync prior to it happening on new meters.		1/12/2019	