

## Compliance plan for WEL MEP - 2017

Design Reports for Metering Installations		
Non-compliance	Description	
Audit Ref: 4.1 With: Clause 2 of schedule 10.7  From: 28-Jun-17 To: 16-Nov-17	Design report not obtained for ICP 0000028095WE4C2. Potential impact: Medium 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 recorded as strong because processes are in place to ensure that correct design reports are used.  The impact on other participants is minor; therefore the audit risk rating is low.	
Actions taken to resolve the issue		Completion date
A corrected version of WELs ATH certification with the design report was obtained at the time of the audit.		9/11/2017
Preventative actions taken to ensure no further issues will occur		Completion date
As per the issue in 5.1 we will create a 1 page check list template for these CAT2/CAT3 installations that provide a summary of key certification data elements.		15/1/2018
		Cleared

MEP Response to Switch Notification	
Non-compliance	Description
Audit Ref: 6.1 With: Clause 1(1) of Schedule 11.4  From: 01-Dec-16 To: 31-Aug-17	1 late MN file. 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>	I have recorded the controls as strong because WEL has good monitoring in place for this.  There is a minor impact on other participants; therefore the audit risk rating is low.

Actions taken to resolve the issue	Completion date	Remedial action status
No action available to remedy after the fact.		Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
<p>The circumstances that gave rise to this non-compliance aren't clear given the lapse in time. WEL were nominated on the 17/10/16 and we accepted on the 13/2/17 with an effective date back to the nomination. The actual meter was installed on the 15/3/17 and data supplied soon after. The problem was in that the actual acceptance was made much later than it should have been.</p> <p>In order to avoid this situation we have completely changed the order in which the process works. We now do the metering change ( after informal arrangement with the retailer), get the retailer to nominate us and then accept with effective date of the installation. This process has worked well over the last six months.</p>	1/8/2017	

Cancellation of Certification		
Non-compliance	Description	
<p>Audit Ref: 6.4</p> <p>With: Clause 6 of Schedule 11.4</p> <p>From: 20-Mar-17</p> <p>To: 12-Oct-17</p>	<p>Certification not cancelled and registry not updated for two category 1 installations with bridged meters.</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	
<b>Low</b>	<p>I have recorded the controls as moderate in this area. The bridging was done by another participant without WEL's knowledge so the non-compliance relates to WEL not updating the registry rather than the bridging itself.</p> <p>The issues found have a minor impact on other participants and on settlement. The audit risk rating is low.</p>	
Actions taken to resolve the issue	Completion date	Remedial action status
Our service provider was sent out to recertify the sites after the audit and these were promptly provided.	13/11/2017	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	

<p>The situation has arisen because of the actions taken by other parties outside of our control. As a result :</p> <ul style="list-style-type: none"> <li>• We have advised traders that they are not following correct process and should not tamper with our meters.</li> <li>• When advised that a meter has been bridged we will cancel the certification on the registry ( set expiry date).</li> <li>• On removal of bridge on our direction or by other parties' action, we will ensure the site is recertified.</li> </ul>	<p>10/11/2017</p>	
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