

## Compliance plan for YES Power

Non-compliance	Description		
Audit Ref: 2.2 With: 15.35  From: 06-Sep-18 To: 20-Sep-18	Volumes in file HHRAGGR and HHRVOLS did not match for Aug'18 submissions  Potential impact: Low  Actual impact: None  Audit history: None  Controls: Strong  Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are rated as strong. It was the first submission by YESP and it was created manually. Since then files are created by the system and volumes in both files match. The audit risk rating is low because the impact on the settlement outcome is none.		
Actions taken to resolve the issue		Completion date	Remedial action status
Once identified the data was corrected and correctly submitted in the 13 <sup>th</sup> business day submissions.		19 <sup>th</sup> September 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
For September onwards these files became system generated with no requirement for manual completion.		1 <sup>st</sup> October 2018	

Non-compliance	Description		
Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 26-Oct-18 To: 29-Nov-18	Information for one ICP was changed later than 5 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	Controls are recorded as moderate as some refinement is required. No impact on settlement outcomes therefore Audit Risk Rating is recorded as low		
Actions taken to resolve the issue		Completion date	Remedial action status
No resolution required at the time.		N/A	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<ul style="list-style-type: none"> <li>- Business rules adjusted to ensure the status change is completed same day.</li> <li>- The change to type of reconciliation, profile and ANZSIC code is now part of the automated switching process within Esales. Business rule in place to identify the ANZSIC prior to switching.</li> </ul>		October 2018  1 <sup>st</sup> December 2018	

Non-compliance	Description		
Audit Ref: 4.2 With: 3 of Schedule 11.3 From: 26-Sep-18 To: 03-Oct-18	AN file for one ICPs was sent late by 2 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	Controls are recorded as moderate as some refinement is required. No impact on settlement outcomes therefore Audit Risk Rating is recorded as low		
Actions taken to resolve the issue		Completion date	Remedial action status
Once identified we immediately actioned the AN file followed by CS file the same day.		October 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Setup and monitored in Esales through the <b>automated</b> switching process.		1 <sup>st</sup> December 2018	

Non-compliance	Description		
Audit Ref: 4.4 With: 6(1) of Schedule 11.3 From: 10-Aug-18 To: 30-Nov-18	8 ICPs did not switched on the same read Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	There are no controls recorded. Robotron decided to implement a functionality to compare switch event meter readings and meter readings from MEPs and send RR file if necessary. The first version has to be tested before it goes productive. Audit risk rating is recorded as low because of small number of ICPs		
Actions taken to resolve the issue		Completion date	Remedial action status
Recalculating the switch meter reads for the 8 ICP's to start the RR process with the losing retailer. Scaling of YESP's HHR submission data will be used as a last resort to resolve should the losing trader not accept the actual readings.		20 <sup>th</sup> December 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<i>"Robotron decided to implement a functionality to compare switch event meter readings and meter readings from MEPs and send RR file if necessary. The first version has to be tested before it goes productive"</i>		20 <sup>th</sup> December 2018	

Non-compliance	Description		
<p>Audit Ref: 4.11</p> <p>With: 12 of Schedule 11.3</p> <p>From: 10-Aug-18</p> <p>To: 30-Nov-18</p>	<p>One ICP did not switch on the same read</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 5</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>There are no controls recorded. Robotron decided to implement a functionality to compare switch event meter readings and meter readings from MEPs and send RR file if necessary. The first version has to be tested before it goes productive. Audit risk rating is recorded as low because of small number of ICPs, in fact it was only one</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Recalculating the switch meter reads for the 1 ICP's to start the RR process with the losing retailer. Scaling of YESP's HHR submission data will be used as a last resort to resolve should the losing trader not accept the actual readings.		20 <sup>th</sup> December 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<i>"Robotron decided to implement a functionality to compare switch event meter readings and meter readings from MEPs and send RR file if necessary. The first version has to be tested before it goes productive"</i>		20 <sup>th</sup> December 2018	

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8 From: 10-Aug-18 To: 16-Nov-18	HHRAGGR files do not contain electricity supplied information Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	YES Power submits submissions volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	