

Compliance Plan 2019

Scanpower Ltd

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2(1) From: 16-Oct-18 To: 06-Nov-19	A small quantity of information in the registry was inaccurate, it was subsequently identified and corrected. 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 moderate because processes and exception reporting are in place. Impact on settlement outcomes is minor therefore audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run exception reporting		Ongoing	

Non-compliance	Description		
<p>Audit Ref: 3.5 With: 7(2A) of Schedule 11.1</p> <p>From: 16-Oct-18 To: 06-Nov-19</p>	<p>Initial Electrical Connection Date (IECD) was not recorded for 17.95% of new ICPs. Some IECD populated in the registry more than 10 days after the event</p> <p>Potential impact: Low</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		
Low	<p>The controls are recorded as moderate because processes and exception reporting are in place Impact on settlement outcomes is minor therefore audit risk rating is recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run reporting		Ongoing	

Non-compliance	Description		
Audit Ref: 3.6 With: Clause 11.17) From: 16-Oct-18 To: 06-Nov-19	One discrepancy identified where a retailer had not accepted responsibility for an ICP prior to it being connected to the network. Potential impact: Low Actual impact: Low Audit history: none Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because processes and exception reporting are in place Impact on settlement outcomes is minor therefore audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run exception reporting		Ongoing	

Non-compliance	Description		
<p>Audit Ref: 3.14 With: Clause 15 Schedule 11.1</p> <p>From: 16-Oct-18 To: 06-Nov-19</p>	<p>1x ICP has remained in the ready status in the registry for more than 24 months.</p> <p>1x ICP has remained in the new status in the registry for more than 24 months. (it has been checked twice in that time but not resolved)</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Strong</p> <p>Breach risk rating:1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as strong because processes and exception reporting is in place and monitoring is evident. No impact on settlement outcomes. Audit risk rating recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run exception reporting.		Ongoing	

Non-compliance	Description		
Audit Ref: 4.1 With: 8 of Schedule 11.1 From: 16-Oct-18 To: 06-Nov-19	A small number of registry information updates were greater than 3 business days from the event date. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as moderate as exception reporting is place and appears to be having a positive effect. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run reporting		Ongoing	

Non-compliance	Description		
<p>Audit Ref: 4.4</p> <p>With: 2 of Schedule 11.1</p> <p>From: 16-Oct-18</p> <p>To: 06-Nov-19</p>	<p>For 29 older ICPs the address descriptions do not allow ICPs to be readily located</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating:1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as strong because new connections are confirmed from GIS system, exception reporting has been effective along with the project to correct the addresses. No impact on settlement outcomes. Audit risk rating recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue with the project to correct address information.		Ongoing	

Non-compliance	Description		
Audit Ref: 4.6 With: 7(1)(m)(o)(p) of Schedule 11.1 From: 26-May-19 To: 24-Oct-19	Incorrect or missing information in the registry for ICP addresses, UML, distributed generation and Initial Electrical Connection Date Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating:2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as moderate because during the audit evidence was produced showing exception reporting in place and plans to correct historical errors. Minor impact on settlement outcomes. Audit risk rating recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run reporting		Ongoing	

Non-compliance	Description		
<p>Audit Ref: 4.9</p> <p>With: 14 of Schedule 11.1</p> <p>From: 16-Oct-18</p> <p>To: 06-Nov-19</p>	<p>For 1 ICP the retailer acceptance was received 2 months after the ICP had been connected to the network.</p> <p>Potential impact: Low</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		
Low	<p>The controls are recorded as moderate because exception reporting was in place and was effective. No impact on settlement outcomes.</p> <p>Audit risk rating recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Review processes to ensure currency		March 2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to run reporting.		Ongoing	