

## Compliance plan for Scanpower

Non-compliance	Description		
Audit Ref: 2.2 With:  From: 16-Aug-16 To: 15-Aug-17	Incorrect data is proactively corrected but there are some outstanding issues identified in the last audit  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Weak  Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls we assessed as weak, there is a need to validate historic data. Audit risk rating is assessed as low. No impact on settlement outcomes.		
Actions taken to resolve the issue		Completion date	Remedial action status
Develop a process to actively monitor and validate data in the registry.		March 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Adopt the above process.		On-going	

Non-compliance	Description		
<p>Audit Ref: 3.5</p> <p>With: 7(2A) of Schedule 11.1</p> <p>From: 16-Aug-16</p> <p>To: 15-Aug-17</p>	<p>Initial Electrical Connection Date was populated for 3 ICPs later than 10 business days</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history:</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>We have recorded the controls as moderate. The date is entered manually using the registry web interface. Scanpower livens installations on behalf of traders so it should be a seamless process but for some ICPs this did not work. The impact on participants is none, therefore audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Create a process for completing New Connection paperwork and updating the IECD in the registry. Scanpower's database now has provision for IECD.		March 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Adhere to the above process to ensure the IECD field is populated in a timely manner.		On-going	

Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: 8 of Schedule 11.1</p> <p>From: 16-Aug-16</p> <p>To: 15-Aug-17</p>	<p>Number of updated to registry information are later than 3 business days.</p> <p>The most backdated transactions are related to decommissioned ICPs</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>We have recorded the controls as moderate. Many late updates were caused by corrections of issues identified in the last audit. This year the new person who is responsible for the creation of ICPs and the registry update, recently took part in the registry course. We believe it will have a positive impact on the level of compliance. The impact on participants is none, therefore audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Process to be developed for updating the registry as and when information updates are made available.		March 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Follow the above process to update the registry in a timely manner.		On-going	

Non-compliance	Description		
<p>Audit Ref: 4.4</p> <p>With: 2 of Schedule 11.1</p> <p>From: 16-Aug-16</p> <p>To: 15-Aug-17</p>	<p>808 ICPs, which address does not allow the ICP to be readily located and 948 ICPs with duplicate addresses, which also make the difficult to locate</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	<p>The controls we recorded as weak. Addresses for new connections have a good description but old ICPs which addresses require correction have been not “touched” in last 12 months. At the time of the creation of a new ICP the address is well described. The impact on other participants is none; the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Develop a process to update historical data in the registry to ensure address and location information is up to date.		March 2018	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Adopt the above process to ensure information is regularly updated.		On-going	

Non-compliance	Description		
Audit Ref: 4.6 With: 7(1) of Schedule 11.1  From: 16-Aug-16 To: 15-Aug-17	Information is missing or incomplete for a small number of ICPs Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating:		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Information is missing or incomplete for a relatively small number of ICPs. We have recorded the controls as moderate because the company is proactively working to address it but it takes time. No impact on customers and traders therefore audit risk rating is low		
Actions taken to resolve the issue		Completion date	Remedial action status
Develop a process to identify and update missing information in the registry.		March 2018	Choose an item.
Preventative actions taken to ensure no further issues will occur		Completion date	
Action the above process.		On-going	