

Compliance plan for Westpower

Non-compliance	Description		
Audit Ref: 2.1 With: From: 16-Sep-16 To: 16-Aug-17	Incorrect management of “decommissioning” status resulting in incorrect information in the registry Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Incorrect management of “decommissioning” status resulting in incorrect information in the registry		
Actions taken to resolve the issue		Completion date	Remedial action status
We have changed our process to use the date that the meters are removed, if available, or else the date given by the retailer.		30 August 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This change will be documented in our Customer Initiated Work Standard to ensure ongoing compliance.		Within 3 months	

Non-compliance	Description		
Audit Ref: 4.1 With: 8 of schedule 11.1 From: 16-Sep-16 To: 15-Aug-17	Very small number of updates of pricing and network transactions Potential impact: Low Actual impact: Low Audit history: Twice before Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Very small number of uploads to registry later than 3 business days; no impact on settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
We will be raising an issue with our contractor to improve the timeliness of information provided.		30 August 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This change will be documented in our Customer Initiated Work Standard to ensure ongoing compliance.		Within three months	

Non-compliance	Description		
Audit Ref: 4.4 With: 2 of schedule 11.1 From: 16-Sep-16 To: 15-Aug-17	Address of 100 ICPs not allow then to be readily allocated Potential impact: Low Actual impact: Low Audit history: Twice before Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Very small number, ever decreasing, of ICP effected; no impact on settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
Ongoing effort has gone into reducing the number of ICPs not readily identifiable down to the current number and this will continue until complete.		Within six months	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
For any new connection, the address is now positively identified prior to entry into the system. Furthermore, this is a mandatory field.		30 August 2017	

Non-compliance	Description		
Audit Ref: 4.6 With: 7(1) of Schedule 11.1 From: 16-Sep-16 To: 15-Aug-17	Information missing or incorrect for 4 ICPs Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Audit risk assigned as low because of small number of ICPs (4); no impact on settlement outcomes		
Actions taken to resolve the issue		Completion date	Remedial action status
The first two items have been corrected.		4 October 2017	Identified
The issues involving the remaining two ICPs are under action and it is expected that the issues identified will be readily resolved.		31 October 2017	
Preventative actions taken to ensure no further issues will occur		Completion date	
Ongoing attention to existing processes.		Ongoing	

Non-compliance	Description		
<p>Audit Ref: 4.11</p> <p>With: 20 of Schedule 11.1</p> <p>From: 16-Sep-16</p> <p>To: 15-Aug-17</p>	<p>The effective date of decommissioned ICPs is used incorrectly. ElectroNet uses the date of receiving a confirmation from the Electrical Department not when it physically happened (if known)</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	Low audit risk rating assigned based small number of ICPs effected; a minor if any, impact on settlement outcomes		
Actions taken to resolve the issue		Completion date	Remedial action status
We have changed our process to use the date that the meters are removed, if available, or else the date given by the retailer		30 August 2017	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This change will be documented in our Customer Initiated Work Standard to ensure ongoing compliance.		Within 3 months	