

Compliance plan for Our Power 2022

| Non-compliance | Description | |
|--|--|------------------------|
| Audit Ref: 2.1 With: 11.2 From: 16-Jul-21 To: 15-Jul-22 | Small number of late updates and incorrect Switch Event Meter Reads in 14 CS files Potential impact: None Actual impact: None Audit history: Twice previously Controls: Moderate Breach risk rating:2 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | Controls are rated as moderate because they mitigate risk most of the time but there is room for improvement. The audit risk rating is recorded as low because any impact to the market was minor. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| Records being corrected | 30/9/22 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Review of software code to correct process going forward | 31/12/22 | |

| Non-compliance | Description | | |
|---|--|-----------------|------------------------|
| Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 16-Jul-21 To: 15-Jul-22 | OPHL – one late status update OURP – 9 late registry updates 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 | Controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. The impact on settlement and participants is minor; therefore the audit risk rating is low. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| | | NA | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Review of software code to correct process going forward | | 31/12/22 | |

| Non-compliance | Description | | |
|---|---|-----------------|------------------------|
| Audit Ref: 4.3 With: 5 From: 16-Jul-21 To: 15-Jul-22 | OURP – Incorrect Switch Event Meter Read in one CS file Actual impact: Low Audit history: Many times previously Controls: Strong Breach risk rating: 1 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | Controls are recorded as strong. Management of switching is good, average daily consumption in CS file is compliant. Audit risk rating is low because it was one ICP. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Records being corrected | | 30/9/22 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Review of software code to correct process going forward | | 31/12/22 | |

| Non-compliance | Description | | |
|--|---|-----------------|------------------------|
| Audit Ref: 4.8 With: 10(1) of Schedule 11.3 From: 15-Jun-22 To: 19-Jul-22 | OURP – One late AN file and one AN file was not sent for one ICP Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating:1 | | |
| Audit risk rating | Rationale for audit risk rating | | |
| Low | Controls are rated as strong. The audit risk rating is recorded as low because it is only one ICP therefore any impact to the market was minor. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| | | NA | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Review of software code to correct process going forward | | 31/12/22 | |

| Non-compliance | Description | | |
|--|--|-----------------|------------------------|
| Audit Ref: 4.10 With: 11 of Schedule 11.3 From: 16-Jul-21 To: 15-Jul-22 | OURP – 2 CS files late Incorrect Switch Event Meter Read in 13 CS files 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 | Controls are recorded as moderate because they mitigate risk most of the time but there is room for improvement. Management of switching is good, average daily consumptions in CS file are compliant. Switch Event Read for 13 CS files was incorrect . Audit risk rating is recorded as low because all ICPs were disconnected. No market impact. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Records being corrected | | 30/9/22 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Review of software code to correct process going forward | | 31/12/22 | |

| Non-compliance | Description | |
|---|---|------------------------|
| Audit Ref: 12.2 With: 15.4 From: 06-Jul-22 To: 07-Jul-22 | OPHL – late submission of ICPDAYS file Potential impact: None Actual impact: None Audit history: Once previously Controls: Strong Breach risk rating: 1 | |
| Audit risk rating | Rationale for audit risk rating | |
| Low | Controls are rated as strong. The audit risk rating is recorded as low because it was only one file. There was no impact on the market. | |
| Actions taken to resolve the issue | Completion date | Remedial action status |
| File sent as soon as we became aware of error | 7/7/22 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Review of process and controls | 10/8/22 | |

| Non-compliance | Description | | |
|--|---|-----------------|------------------------|
| Audit Ref: 12.7 With: 15.12 From: 16-Jul-21 To: 15-Jul-22 | OURP – One day volumes were over submitted for 14 ICPs (switches out) 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 because they mitigate risk most of the time but there is room for improvement. Audit risk rating is recorded as low because all ICPs were disconnected. No market impact. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Volumes to be corrected in next RM cycle | | RM cycle | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Review of software code to correct process going forward | | 31/12/22 | |