

# Compliance Plan Westpower Limited Distributor 2023

Timeliness of Provision of ICP Information to the registry		
Non-compliance	Description	
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1  From: 01-Jul-21 To: 31-Dec-22	Late update to the registry for one ICP electrically connected during the audit period. Potential impact: Low Actual impact: Low 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 as they will eliminate risk to an acceptable level. The audit risk rating is low as this only affected one new connection.	
Actions taken to resolve the issue	Completion date	Remedial action status
Proposed trader was notified immediately the error was identified.	08/09/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Procedure updated to check that an ICP has been claimed before connection.	08/09/2022	

Timeliness of Provision of Initial electrical connection Date			
Non-compliance	Description		
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From: 01-Jul-21 To: 31-Dec-22	37 late initial electrical connection updates. Potential impact: Low Actual impact: Low Audit history: Once Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	The controls are recorded as strong because they mitigate risk to an acceptable level. The increase in late updates was the result of a system issue that required assistance from by Gentrack. The audit risk rating is assessed to be low as this has no direct impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
Monitored registry reports to identify failed uploads.		30/10/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Monitoring registry reports daily to identify failed uploads.		On-going	

<b>Monitoring of “new” &amp; “ready” statuses</b>		
<b>Non-compliance</b>	<b>Description</b>	
Audit Ref: 3.14 With: Clause 15 Schedule 11.1  From: 01-Jul-21 To: 31-Dec-22	Two ICPs at status ‘new’ not followed up with trader.  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>	
<b>Low</b>	The controls are recorded as strong because most of the ICPs at “new” status had been followed up, and therefore they mitigate risk to an acceptable level.  The audit risk rating is assessed to be low as this has no direct impact on reconciliation.	
<b>Actions taken to resolve the issue</b>	<b>Completion date</b>	<b>Remedial action status</b>
Audit Compliance and Maximo Reports are used for monitoring.	On-going	Identified
<b>Preventative actions taken to ensure no further issues will occur</b>	<b>Completion date</b>	
Audit Compliance and Maximo Reports are used for monitoring.	On-going	

Changes to registry information			
Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 Schedule 11.1 From: 01-Jul-21 To: 31-Dec-22	Some updates to registry backdated greater than three business days of the event. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are rated as strong. Overall Westpower has robust controls and reporting in place, most updates are completed within the required timeframe. The audit risk rating is low as the majority of the changes have no impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
Processes have been updated to ensure we receive accurate information, in a timely manner.		On-going	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Training is continually provided to ensure staff are aware of all regulatory timeframes.		On-going	

ICP location address		
Non-compliance	Description	
Audit Ref: 4.4 With: Clause 2 of Schedule 11.1 From: 01-Jul-21 To: 31-Dec-22	122 ICPs with insufficient details to be readily locatable. Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate as they will mitigate risk most of the time. The audit risk rating is low as this has no direct impact on reconciliation but could affect meter readers ability to get manual reads.	
Actions taken to resolve the issue	Completion date	Remedial action status
We have an on-going project to update addresses.	30/06/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
We have an on-going project to update addresses.	30/06/2023	

Distributors to Provide ICP Information to the Registry		
Non-compliance	Description	
Audit Ref: 4.6 With: Clause 7(1) Schedule 11.1  From: 01-Jul-21 To: 31-Dec-22	One ICP with incorrect unmetered load details. ICED was updated late 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	
<b>Low</b>	The controls are rated as strong, overall Westpower has robust controls. The audit risk rating is assessed to be low as the volume of ICPs affected is small.	
Actions taken to resolve the issue	Completion date	Remedial action status
The ICP unmetered load format was corrected.	01/11/2022	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Process in place to ensure correct calculation and formatting.	30/11/2022	

Maintenance of price category codes		
Non-compliance	Description	
Audit Ref: 4.12 With: Clause 23 Schedule 11.1  From: 01-Jul-21 To: 31-Dec-22	One new price category created; the required notification period was not provided.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are rated as moderate as price codes are rarely updated.  The audit risk rating is assessed to be low as this has no direct impact on reconciliation.	
Actions taken to resolve the issue		Completion date
Pricing processes have been amended to ensure that changes are notified in required timeframes.		31/10/2022
Preventative actions taken to ensure no further issues will occur		Completion date
Pricing processes have been amended to ensure that changes are notified in required timeframes.		31/10/2022
		Identified