

Compliance Plan 2023

Scanpower Ltd

| Non-compliance | Description | |
|--|---|------------------------|
| Audit Ref: 2.1 With: Clause 11.2(1) From: 01-Dec-21 To: 30-Apr-23 | A small number of registry information in the Registry was inaccurate. 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. Exception reporting is in place and results in this area continually improve. 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 |
| 4.6 and 4.11 corrected at time of audit. | 7/06/2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | Completion date | |
| Continue exception reporting. | On-going | |

| Non-compliance | Description | | |
|---|---|------------------------|-------------------------------|
| Audit Ref: 4.1 With: Clause 8 of Schedule 11.1 From: 01-Dec-21 To: 30-Apr-23 | 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. Exception reporting is in place and results in this area continually improve. 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 |
| Continue exception reporting | | On-going | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Continue exception reporting | | On-going | |

| Non-compliance | Description | | |
|--|--|------------------------|-------------------------------|
| Audit Ref: 4.6 With: Clause 7(1) of schedule 11.1 From: 01-Dec-21 To: 30-Apr-23 | 2 x ICPs had incorrect distributed generation information in the Registry 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. Exception reporting is in place and results in this area continually improve. 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 |
| Corrected at time of audit | | 7/06/2023 | Cleared |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Continue exception reporting | | On-going | |

| Non-compliance | Description | | |
|---|---|-----------------|------------------------|
| Audit Ref: 4.11 With: Clause 20 of schedule 11.1 From: 01-Dec-21 To: 30-Apr-23 | 3 x ICPs had incorrect Decommission reason provided to the Registry. 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. MERI requested the Decommissions retrospectively and the physical work was managed by others. 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 |
| Corrected at time of audit | | 7/06/2023 | Cleared |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Monitor and populate correct decommission reason | | On-going | |