

Compliance plan for Scanpower- 2022

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2(1) From: 11-Nov-20 To: 30-Nov-21	A small quantity of information in the registry was inaccurate. Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are moderate because processes and exception reporting are in place. Impact on settlement outcomes is minor therefore audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Continue with exception reporting.		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Run exception reporting on a regular basis to identify and remedy errors.		Ongoing	

Non-compliance	Description		
Audit Ref: 3.4 With: Clause 7(2) of Schedule 11.1 From: 16-Nov-20 To: 30-Nov-21	3 ICPs did not have the status "Ready" prior to electricity being traded at the 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	We recorded controls as strong because SCAN backdated two ICPs at the request of GENE. We recommended to SCAN to not accept such requests from traders unless absolutely necessary. The company processes are strong and reliable.		
Actions taken to resolve the issue		Completion date	Remedial action status
Continue with current process		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Scan will no longer back date for Traders		Ongoing	

Non-compliance	Description		
Audit Ref: 3.5 With: Clause 7(2A) of Schedule 11.1 From: 16-Nov-20 To: 30-Nov-21	Initial Electrical Connection Date (IECD) was recorded for 6 new ICPs more than 10 days after the event 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	The controls are recorded as moderate because processes and exception reporting are in place. Impact on settlement outcomes is minor therefore audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Ensure notification of IECD is provided by field staff.		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue reporting to ensure population of IECD is completed in a timely manner.		Ongoing	

Non-compliance	Description		
Audit Ref: 4.1 With: Clause 8 of Schedule 11.1 From: 16-Nov-20 To: 30-Nov-21	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: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. Exception reporting is in place and results are positive. 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
Increase frequency of exception reporting.		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to use exception reporting to identify errors.		Ongoing	

Non-compliance	Description		
Audit Ref: 4.6 With: Clause 7(1) of Schedule 11.1 From: 16-Nov-20 To: 30-Nov-21	One UML ICP did not have details populated, incorrect information for 6 ICPs with embedded generation, and incorrect IECD for one ICP 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	The controls are recorded as strong because processes and exception reporting are in place. Impact on settlement outcomes is minor therefore audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Update process to use CoC date for DG entries		Immediate	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Use updated process for DG entries		Ongoing	

Non-compliance	Description		
Audit Ref: 4.9 With: Clause 14 of Schedule 11.1 From: 16-Nov-20 To: 30-Nov-21	3 ICPs had the status "Ready" backdated Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	We recorded controls as strong because SCAN backdated two ICPs at the request of GENE. We recommended to SCAN to not accept such requests from a trader unless absolutely necessary. The company processes are strong and reliable.		
Actions taken to resolve the issue		Completion date	Remedial action status
Change process to no longer back date entries.		Immediate	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Scan will no longer back date for Traders		Ongoing	

Non-compliance	Description		
Audit Ref: 4.11 With: Clause 20 of Schedule 11.1 From: 28-Jun-21 To: 29-Jun-21	Decommissioning date was recorded for one new ICPs incorrectly Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. The process is well controlled. One incorrect entry. No impact on settlement outcomes. The Audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Nil. operator error		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to ensure that event date matches paperwork date.		Ongoing	