

Compliance plan for Westpower

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2(1) From: 01-Sep-17 To: 31-Jul-18	For 80 ICPs the address recorded in the registry does not allow them to be readily located. 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. Westpower closely monitors information recorded in the registry. There is on-going project to correct address information in the registry. Impact on settlement outcomes is minor; audit risk rating is low		
Actions taken to resolve the issue		Completion date	Remedial action status
We have an on-going project to add identifiers to addresses.		30 June 2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
All new ICPs are given address identifiers.		Oct 2018	

Non-compliance	Description		
<p>Audit Ref: 3.5</p> <p>With: 7(2A) of Schedule 11.1</p> <p>From: 06-Dec-17</p> <p>To: 14-Feb-18</p>	<p>Initial Electrical Connection Date for 0000878611WP606 was uploaded to the registry after 44BD.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are recorded as strong. Westpower has full control of the process of electrically connecting new installations. Late paperwork was sent to the office for one ICP. Audit risk rating is recorded as low because there was no impact on settlement outcomes.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Westpower Standards outline paperwork timeframes for Contractors and we are currently implementing a new process to ensure timeliness of delivery.		31/12/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have recently implemented KPIs in our Maximo system to monitor the delivery of paperwork and our new connection process, which has a workflow, will ensure that timeframes are met.		31/12/18	

Non-compliance	Description		
<p>Audit Ref: 4.1</p> <p>With: 8 of schedule 11.1</p> <p>From: 01-Sep-17</p> <p>To: 31-Jul-18</p>	<p>A very small number of updates of pricing and network updates</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are recorded as strong. A very small number of uploads to the registry later than 3 business days; it is caused by delayed paperwork from the field. There is no impact on settlement outcome; audit risk rating low</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Westpower Standards outline paperwork timeframes for Contractors and we are currently implementing a new process to ensure timeliness of delivery.		31/12/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Previous pricing delays have been related to upgrades/downgrades of connections where paperwork has not been handed in straight away. Our new connection process, which has a workflow, will ensure that timeframes are met.		31/12/18	

Non-compliance	Description		
Audit Ref: 4.4 With: 2 of schedule 11.1 From: 01-Sep-17 To: 31-Jul-18	Addresses for 80 ICPs does not allow them to be readily allocated Potential impact: Low Actual impact: Low Audit history: Multiple Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as moderate. For any new connection, the address is now positively identified prior to entry into the system. Only addresses for ICPs created in the past still need to be identifiable. It is 0.6% of active ICPs. Audit risk rating is recorded as low; no impact on settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
We have an on-going project to update addresses.		30/06/19	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Accurate addresses with identifiers are uploaded for all new ICPs.			