

Compliance plan for YES Power -2019

Non-compliance	Description		
Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 01-Dec-18 To: 15-Nov-19	A small number of late registry updates Potential impact: Low Actual impact: None Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate because there are some improvements that can be made to them. The audit risk rating is low as the late updates had no impact on settlement because of the small number of ICPs affected.		
Actions taken to resolve the issue	Completion date	Remedial action status	
Business rules and business processes were updated to avoid late registry entries	08/11/2019	Identified	
Preventative actions taken to ensure no further issues will occur	Completion date		

Non-compliance	Description	
Audit Ref: 3.6 With: 9(1)(k) of Schedule 11.1 From: 04-Jun-19 To: 15-Nov-19	Incorrect ANZSIC code for one ICP Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong , one ICP was overlooked. The audit risk rating is low because the impact on the settlement outcome is none	
Actions taken to resolve the issue	Completion date	Remedial action status
New customer process was updated to double check ANZSIC with customer to avoid wrong ANZSIC code at the registry	18/10/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Non-compliance	Description		
Audit Ref: 4.3 With: 5 of Schedule 11.3 From: 01-Dec-18 To: 15-Nov-19	Average daily consumption methodology is incorrect. Incorrect switch event read for one ICP 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 rated as moderate; this is the second audit which identifies a problem with the CS files. The audit risk rating is low because the number of switches affected was low. It has no impact on settlement		
Actions taken to resolve the issue		Completion date	Remedial action status
Business rules and systems were adjusted to use correct calculation method and date.		31/12/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 4.4 With: 6(1) of Schedule 11.3 From: 01-Dec-18 To: 15-Nov-19	Not switching on the same reads for some ICPs Potential impact: None Actual impact: None Audit history: Once before Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate because the company does not account for 2 kWh difference. The audit risk rating is low because the number of switches affected was low. It has no impact on settlement		
Actions taken to resolve the issue		Completion date	Remedial action status
The process was adjusted, readings will be rounded to a whole number and then scaling will be done without threshold. In future focus will be on RR file acceptance.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description	
Audit Ref: 4.10 With: 11 of Schedule 11.3 From: 01-Dec-18 To: 15-Nov-19	Average daily consumption methodology is incorrect. Incorrect switch event read for one ICP, one CS file was late Potential impact: Low Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as moderate because there are some improvements that can be made to them. The audit risk rating is low as the late updates had no impact on settlements because only one ICP affected	
Actions taken to resolve the issue	Completion date	Remedial action status
Business rules and systems were adjusted to use correct calculation method and date.	31/12/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Non-compliance	Description		
Audit Ref: 4.15 With: 17 of Schedule 11.3 From: 03-May-19 To: 06-May-19	One AW file was late Potential impact: Low Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as strong. The audit risk rating is low because there is no impact on the settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
Business rules and business processes were updated. Daily tasks make sure not to miss any manual processed files		31/05/2019	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description	
Audit Ref: 8.2 With: 19(2) of Schedule 15.2 From: 01-Dec-18 To: 15-Nov-19	HHR actual data provided by MEPs is overwritten to accommodate a volume difference after RR files are rejected by losing traders Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as moderate because it results in non-compliance but in fact they are strong, well managed. The audit risk rating is low because there is no impact on the settlement outcome	
Actions taken to resolve the issue	Completion date	Remedial action status
More focusing on RR files to get the same read with the losing retailer.	01/11/2019	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Non-compliance	Description		
Audit Ref: 9.6 With: 17 of Schedule 15.2 From: 16-Oct-18 To: 16-Oct-19	No log files reviewed from FCLM, ARCS, and MTRX because they are not provided to them Potential impact: Low Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate because YES Power did not make sure that log files were provided to them. The audit risk rating is low because there is no impact on the settlement outcomes		
Actions taken to resolve the issue		Completion date	Remedial action status
Update server structure to pick up MEP log files		29/02/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8 From: 16-Oct-18 To: 15-Oct-19	HHRAGGR files do not contain electricity supplied information Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	YES Power submits submissions volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 12.7 With: 15.12 From: 01-Dec-18 To: 15-Nov-19	Some volumes could be inaccurate due to the scaling process algorithm Potential impact: Low Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate because of non-compliance in section 8.2. The audit risk rating is low because there is no impact on the settlement outcome		
Actions taken to resolve the issue		Completion date	Remedial action status
The process was adjusted, readings will be rounded to a whole number and then scaling will be done without threshold. In future focus will be on RR file acceptance.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	