

Compliance plan for Scanpower- 2020

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2(1) From: 01-Sep-19 To: 31-Oct-20	A small quantity of information in the registry was inaccurate. 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 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
Review current controls to ensure they are appropriate.		31/03/2021	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue reporting to identify exceptions and rectify in a timely manner.		Ongoing	

Non-compliance	Description		
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1 From: 01-Sep-19 To: 31-Oct-20	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: Once 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
Continue to monitor new connections and connection to the Scanpower network.		On-going	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Implement further controls to ensure electrical connection dates are notified and populated in a timely manner.		31/03/2021	

Non-compliance	Description		
<p>Audit Ref: 3.14 With: Clause 15 Schedule 11.1</p> <p>From: 01-Sep-19 To: 31-Oct-20</p>	<p>1 ICP has remained in the ready status in the registry for more than 24 months. 2 ICPs have remained in the new status in the registry for more than 24 months</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Strong</p> <p>Breach risk rating:1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as strong because processes and exception reporting is in place and monitoring is evident. No impact on settlement outcomes. Audit risk rating recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
ICP 0003903490CAF0F has been changed to “new” until further notice.		16/12/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to monitor and follow up on “new” / “ready” status.		On-going	

Non-compliance	Description		
Audit Ref: 4.1. With: 8 of Schedule 11.1 From: 01-Sep-19 To: 31-Oct-20	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. The exception reporting is 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
0009100000CADD – date error has been rectified.		16/12/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
As this is a manual process human error does occur, will endeavour to be more diligent with data entry.		On-going	

Non-compliance	Description		
<p>Audit Ref: 4.4</p> <p>With: 2 of Schedule 11.1</p> <p>From: 01-Sep-19</p> <p>To: 31-Oct-20</p>	<p>26 ICPs have duplicate addresses, which makes them difficult to locate</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Multiple times</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are recorded as moderate. New connections are confirmed from GIS system, exception reporting has been effective. The project to correct addresses noted in the last audit was not implemented. No impact on settlement outcomes. Audit risk rating recorded as low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
Address correction is an on-going project. Duplicate addresses decreased by 5 ICPs from last audit.		On-going	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This is on-going however the implementation of a new GIS system should allow for the population of GPS coordinates for each ICP.		2021	

Non-compliance	Description		
Audit Ref: 4.6 With: 7(1)(m)(o)(p) of Schedule 11.1 From: 01-Sep-19 To: 31-Oct-20	Incorrect or missing information in the registry for ICP addresses, UML, Initial Electrical Connection Date, and connection of embedded generation (solar) to the network Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Weak Breach risk rating:3		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are recorded as weak. During the audit evidence was produced showing exception reporting in place and plans to correct historical errors but there is no consistent procedure for which date is used as connection of solar to the network. Minor impact on settlement outcomes. Audit risk rating recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Continue working with installers to gain accurate installation date confirmation.		On-going	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Review DG population process to identify ways to improve accuracy.		31/03/2021	

Subject	Section	Recommendation	Description
Distributor to provide ICP information to the registry manager	4.6	Set up a procedure of populating a connection date of embedded generation in the registry	No consistent procedure which date is used as a connection date of embedded generation to the network

Non-compliance	Description		
Audit Ref: 4.11 With: 20 of Schedule 11.1 From: 01-Sep-19 To: 31-Oct-20	Incorrect decommissioning date in the registry for 1 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	Controls are recorded as strong. The process is well control. Scanpower depends on traders to assign to an ICP the status “inactive-ready for decommissioning” and what date is used as event date. No impact on settlement outcomes. The issue is Audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Traders need to use the date supplied by SCAN for the actual decommission not the meter removal date.		On-going	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Continue to monitor this process, as Scanpower does not remove metering at the time of the physical disconnection from the network.		On-going	