

## Compliance plan for Westpower (WPOW) – 2024

Non-compliance	Description		
Audit Ref: 3.4 With: 7(2) Schedule 11.1 From: 09-Nov-23 To: 15-Nov-23	For ICP 0000828321WP78F the input data for the “Ready” status was after the Initial Electrical Connection Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as strong. It was one-off event caused by a contractor livening the installation before a retailer was recorded in the registry. The process was reviewed and refined. Impact on settlement outcomes is minor; audit risk rating is low		
Actions taken to resolve the issue		Completion date	Remedial action status
An internal incident was raised with our contractor.		13/11/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
A new process has been developed to prevent such an event happening again.		30/11/2023	

Non-compliance	Description		
Audit Ref: 3.5 With: 7(2A) of Schedule 11.1  From: 01-Jan-23 To: 15-Aug-24	25 late Initial Electrical Connection Date (IECD) updates Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. Westpower employed additional resources to assist in processing data coming from the field. The training was provided, last late update in 042024. Impact on settlement outcomes is minor; audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Extra training was developed for new staff.		31/08/2024	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Training is continually provided to ensure staff are aware of all regulatory requirements and timeframes.		On-going	

Non-compliance	Description		
Audit Ref:4.1 Audit Ref: 4.1 With: 8 Schedule 11.1 From: 01-Jan-23 To: 15-Aug-24	Some updates to registry backdated more than three business days of the event Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. The processes are well defined but there is lack of resource to update the registry. There is still a problem with getting information about distributed generation. Impact on settlement outcomes is minor; audit risk rating is low		
Actions taken to resolve the issue		Completion date	Remedial action status
Extra staff have been employed.		June 2024	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Processes have been updated to ensure staff are aware of all regulatory timeframes.		On-going	

Non-compliance	Description		
Audit Ref: 4.4 With: 2 Schedule 11.1 From: 01-Jan-23 To: 15-Aug-24	ICP 0000615162WP2F7 did not have address allowing the ICP to be readily located. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as strong. After last audit Westpower corrected all addresses to meet compliance. Impact on settlement outcomes is minor; audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Address format was corrected in Gentrack.		18/09/2024	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Processes and training in place to ensure correct formatting of addresses.		On-going	

Non-compliance	Description		
Audit Ref: 4.6 With: 7(1) Schedule 11.1  From: 01-Jan-23 To: 15-Aug-24	Three ICPs with incorrect distributed generation information  Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as strong. Good process but it relies on information provided by electricians.  Impact on settlement outcomes is minor; audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Training has been provided to ensure staff are aware of all regulatory timeframes.		On-going	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Processes have been updated to ensure we receive accurate information in a timely manner.		On-going	