

Compliance plan for Opunake Hydro - 2020

Non-compliance	Description		
Audit Ref: 3.5 With: 9 of Schedule 11.1 From: 01-Nov-18 To: 20-Feb-20	One trader entry (MEP nominations) for a new connection was recorded later than 5BD (35 days) Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating:1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as strong. The audit risk rating is recorded as low because it is only one ICP therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
This was an isolated incident and not expected to reoccur		28/2/20	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This was an isolated incident and not expected to reoccur		28/2/20	

Non-compliance	Description		
Audit Ref: 4.2 With: 9 of Schedule 11.1 From: 21-Feb-20 To: 21-Feb-20	AN file was sent one day late Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating:1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as strong. The audit risk rating is recorded as low because it is only one ICP therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
This was an isolated incident and not expected to reoccur		28/2/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
This was an isolated incident and not expected to reoccur		28/2/2020	

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8 From: 01-Nov-18 To: 20-Feb-20	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	OPHL submits submissions volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
None		NA	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
None		NA	