

Compliance plan for Brooklyn Energy

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2 From: 01-Jun-17 To: 31-May-18	Incorrect information for one ICP in the registry 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 recorded as moderate because arrangements which Brooklyn Electricity had in place in the past did not allow them to update entries in the registry. It has been rectified by the appointment of JC Consulting as their agent for registry responsibilities.		
Actions taken to resolve the issue		Completion date	Remedial action status
John Candy of John Candy Consulting Limited rectified data errors during the audit		7/6/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We have engaged John Candy Consulting Limited o carry out our registry functions.		7/6/18	

Non-compliance	Description		
<p>Audit Ref: 2.2</p> <p>With: 15.35</p> <p>From: 01-Jun-17</p> <p>To: 31-May-18</p>	<p>Electricity supplied information was not submitted to the reconciliation manager</p> <p>Potential impact: None</p> <p>Actual impact: None</p> <p>Audit history: None</p> <p>Controls: None</p> <p>Breach risk rating: 5</p>		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are identified as none because there is no process to provide such data to the reconciliation manager. This file is not used to settle the market therefore audit risk rating is recorded as low		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>We have previously had an exemption to submitting this data. We have taken the decision not to reapply for the exemption and requested John Candy of John Candy Consulting Limited to assist us with a template to upload the file. We have now implemented this, and a file was uploaded of electricity supplied on 5 July.</p> <p>We expect to be able to replicate this monthly as required.</p>		4/7/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Monthly calendar reminders to upload the requested files		4/7/18	

Non-compliance	Description		
<p>Audit Ref: 2.8</p> <p>With: 11.15B</p> <p>From: 01-Jun-17</p> <p>To: 31-May-18</p>	<p>No provision in agreement with their customers to allow the Authority to assign the rights and obligations of the trader to another trader if the trader commits an event of default.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Weak</p> <p>Breach risk rating: 3</p>		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as weak because customers are not aware of the possibility of the Authority assigning them to another trader. Audit risk rating recorded as low because of the small number of ICPs.		
Actions taken to resolve the issue		Completion date	Remedial action status
None			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We intend to prepare terms and conditions before the next audit.			

Non-compliance	Description		
<p>Audit Ref: 3.7</p> <p>With: 9(1)(k) of Schedule 11.1</p> <p>From: 01-Jun-17</p> <p>To: 31-May-18</p>	<p>ICP 0000053263NT8CD had incorrect ANZSIC code populated</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>Controls are recorded as moderate because arrangements which Brooklyn Electricity had in place in the past did not allow them to update entries in the registry. It has been rectified by the appointment of JC Consulting as their agent for registry responsibilities.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
It was corrected by JC Consulting during the audit.			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
We have engaged John Candy Consulting Limited o carry out our registry functions.			

Non-compliance	Description		
Audit Ref: 11.3 With: 15.7 From: 01-Jun-17 To: 31-May-18	Electricity supplied information was not submitted to the reconciliation manager Potential impact: None Actual impact: None Audit history: None Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as none because AV-120 has not been submitted. The exemption expired in 2016. There is no process in place to submit this file. Audit risk rating is recorded as low because of the small number (4) of ICPs affected.		
Actions taken to resolve the issue		Completion date	Remedial action status
Refer to comments under 2.2			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Refer to comments under 2.2			