

COMPLIANCE PLAN 2021

BROOKLYN ELECTRICITY LTD (BRKN)

Non-compliance	Description		
<p>Audit Ref: 2.8 With: Clause 11.15B</p> <p>From: 01-Dec-19 To: 31-Oct-21</p>	<p>No provision in arrangement 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 Actual impact: Low Audit history: More than once Controls: Moderate Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>2 of the ICPs are the owners of Brooklyn Electricity. The 3rd ICP has been a customer of Brooklyn Electricity since 2005 with an appropriate arrangement in place that suits both the customer and Brooklyn Electricity. Audit risk rating recorded as low.</p>		
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		
Audit Ref: 11.4 With: 15.8 From: 01-Dec-19 To: 31-Oct-21	HHRAGGR files do not contain electricity supplied information Potential impact: Low Actual impact: Low Audit history: Several times previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Brooklyn Electricity submits submission 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	
EA has approved a rule change to correct this situation in future. No action necessary or required.			