

Compliance plan for Te Ahi O Maui Partnership Reconciliation Participant – 2018

Audit Requirement		
Non-compliance	Description	
Audit Ref: 1.11 With: Clause 15.37A From: 05-Jul-18 To: 14-Nov-18	Audit report not submitted within in the required timeframe for certification. 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 as the audit is not late due to a lack of controls but due to the delay to generation commencing. The audit risk rating is low as future audits are expected to be completed within the required timeframe.	
Actions taken to resolve the issue	Completion date	Remedial action status
Notification was made on 18/9/18 of intention to begin generation on 28/9/18.	18/9/18	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
TAOM does not intend add additional generation to this ICP. Further participation audits will be scheduled and agreed with an Auditor to achieve the required timeframes.	31/3/19	

Provision of information to the registry manager			
Non-compliance	Description		
Audit Ref: 3.5 Clause 9 of Schedule 11.1 From: 15-Mar-17 To: 19-Mar-18	ICP not updated to active within five business days of trading. Potential impact: None Actual impact: None Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as EMS are reliant on the MEP to advise of the ICP being electrically connected and this delay caused the update to be late. The impact is low as no other new connections are expected and this had no material impact on reconciliation.		
Actions taken to resolve the issue		Completion date	Remedial action status
EMS updated the registry.		19/3/18	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
TAOM do not intend on adding any further generation to this ICP or have immediate plans for any new ICPs. Should a new ICP be added, TAOM will ensure, with its contractors, the registry is updated in accordance with the Code.		30/1/19	

HHR aggregates information provision to the reconciliation manager		
Non-compliance	Description	
Audit Ref: 11.4 With: Clause 15.37A From: 29-Sep-18 To: 14-Nov-18	Injection volumes not included in the HHR aggregate report submitted to the Reconciliation Manager. 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 as the process to manage this is robust. The audit risk rating is low this report has no material impact on reconciliation.	
Actions taken to resolve the issue		Completion date
"I" and "X" flow data will be submitted in a single file to the Reconciliation Manager		31/3/19
Preventative actions taken to ensure no further issues will occur		Completion date
"I" and "X" flow data will be submitted in a single file to the Reconciliation Manager		31/3/19
Remedial action status		
Identified		