

## Compliance plan for ESD Power Ltd Reconciliation Participant

Audit Requirement		
Non-compliance	Description	
Audit Ref: 1.11 With: Clause 15.37A From: 12/8/17- now	Audit report completed 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 moderate as this audit was missed due to an administrative error and checks have been put in place to ensure this doesn't occur again. The audit risk rating is low as the audit findings confirm compliance and therefore there has been no direct impact on reconciliation due to this.	
Actions taken to resolve the issue		Completion date
Upon becoming aware of the oversight, an audit was commissioned immediately.		January 2018
Preventative actions taken to ensure no further issues will occur		Completion date
It looks as though we updated the contact details in the portal after the reminders went out, and once it was expired ESDP was no longer certified so there were no more reminders. The details are now (and have been for some time) correct and with the submission of this report things will get back on track. Additionally, both our internal records and Veritek's records will now reflect the correct dates.		
		Cleared