

Compliance plan for Alinta Energy

Non-compliance	Description		
Audit Ref: 2.5 With: 11.2 From: 10-Jan-18 To: 12-Oct-17	For two ICPs, incorrect information of UOM and maximum interrogation cycle were recorded 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 rated as moderate because there are some improvements that can be made to them. There is no impact on settlement, therefore audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Registry updated with correct information on 10 th January 2018		10/10/18	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Now correct in Registry – no further action required			

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Registry updated with correct information on 10 th January 2018	10/10/18	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Now correct in Registry – no further action required		

Non-compliance	Description
<p>Audit Ref: 6.3</p> <p>With: 6 of Schedule 11.4</p> <p>From: 10-Jan-18</p> <p>To: 12-Oct-17</p>	<p>For two ICPs, incorrect information of UOM and maximum interrogation cycle were not corrected in the registry</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	Controls are rated as moderate because there are some improvements that can be made to them. There is no impact on settlement, therefore audit risk rating is low.

Actions taken to resolve the issue	Completion date	Remedial action status
Registry updated with correct information on 10 th January 2018	10/10/18	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Now correct in Registry – no further action required		

Non-compliance	Description
<p>Audit Ref: 7.1</p> <p>With: 10.38(a)</p> <p>From: 12-Dec-16</p> <p>To: 14-Sep-17</p>	<p>Metering installations for TG1 was not certified for 10 and metering installation for TG2 was not certified for 9 months.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Moderate</p> <p>Breach risk rating: 4</p>

Audit risk rating	Rationale for audit risk rating		
Medium	Controls are rated as moderate because the non-compliance situation was rectified but there still room for improvement. There is no impact on settlement, therefore audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Both installations were recertified in 2017		12/10/17	Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Preventative Maintenance checks have been set up in Maximo to prompt for inspections due. Due dates had drifted due to inspections being done early on previous occasions and frequency settings . Due dates have now been corrected in Maximo to match certificates which will now prompt for inspections at the due date.		22/1/18	