

Compliance plan – For Our Good - 2019

Non-compliance	Description		
Audit Ref: 11.4 With: Clause 15.8 of part 15 From: 28-Jan-19 To: 31-May-19	Aggregates file contains submission information. Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	FOGY is reporting submission volumes at ICP level as expected by the reconciliation manager.		
Actions taken to resolve the issue	Completion date	Remedial action status	
FOGY will raise this issue with the Authority requesting a Code change which will allow for the aggregates files currently used in the industry to remain unchanged as these are a true reflection of the information required for the reconciliation process - <i>Completion Date Reflects the date FOGY will complete the request for a Code Change</i>	31/08/2019	Unknown	
Preventative actions taken to ensure no further issues will occur	Completion date		
No preventative actions are required to be taken, as FOGY will continue to provide the information as defined in the RM spec as this is providing accurate information into the Reconciliation process.	Completed		