

Compliance plan for Tensor Ltd (TTTL) – 2021

Non-compliance	Description		
Audit Ref: 11.3 With: 15.7 From: 10-Feb-21 To: 31-Oct-21	Billed volumes are not aggregated by invoice month Potential impact: None Actual impact: None Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are strong. It was discussed during the audit and it was corrected for future submissions. Audit risk rating is recorded as low because there is no impact on settlement		
Actions taken to resolve the issue		Completion date	Remedial action status
			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	

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Description	Recommendation	Audited party comment	Remedial action
TTTL does not provide revision files; the process is for monitoring, if no more accurate information is obtained. Currently TTTL trades 4 ICPs	Consider submitting all revisions to the RM regardless of whether more accurate information is obtained or not.	We do not currently submit revisions unless more accurate information is available. Going forward, we will automate this process so revision files are submitted by 1600 hours on the 13 th business day each reconciliation month, in accordance with this clause.	We intend to begin submitting revision files within the next few months. This will be automated within CHECKBOX. Submission files will be replacement, which will update the RM based on latest, most accurate information.