

# COMPLIANCE PLAN 2022

## HANERGY (HANE)

Non-compliance	Description		
Audit Ref: 2.1 With: Clause 10.6, 11.2, 15.2  From: 01-Aug-20 To: 31-Dec-21	Low number of information inaccuracies identified during the audit Potential impact: Low Actual impact: Low Audit history: Once before Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. There are processes in place but could be improved. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	

Non-compliance	Description		
Audit Ref: 2.11 With: Clause 10.33A(1)  From: 01-Aug-20 To: 31-Dec-21	1 x ICP reconnected despite the metering certification having expired over 2 months prior. Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. There are processes in place but could be improved. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Hanergy moved in the ICP in 3 <sup>rd</sup> Aug 2020 without noticed the meter certification already expired, in the same time, which is on the 11 <sup>th</sup> AUG, I 've sent an email to AMS ask if we can change the meter to smart meter, then on the 27 <sup>th</sup> AUG, The replacement job has been done.			Cleared
Preventative actions taken to ensure no further issues will occur		Completion date	
Hanergy will make sure to check the meter certification date before MOVE in.			

Non-compliance	Description	
Audit Ref: 2.20 With: Clause 11.30B  From: 01-Aug-20 To: 31-Dec-21	No information relating to Powerswitch was currently displayed on the website or any outbound customer communications.  Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
<b>Low</b>	Controls are recorded as moderate. There was no impact on settlement outcomes therefore the audit risk rating is recorded as low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Hanergy noticed this matter and updated our website within 2 working days after auditor noticed the problem	21/02/2022	Cleared
Preventative actions taken to ensure no further issues will occur	Completion date	
Hanergy will keep our communication open to our customer, to make sure no further issues.	21/02/2022	

Non-compliance	Description		
Audit Ref: 3.3 With: 10 of schedule 11.1  From: 01-Aug-20 To: 31-Dec-21	Late updates for Change to Active (2,0) x 5, Inactive – new connection in progress (1,12) x 1, Inactive – Vacant x 1, MEP Nomination x 28.  Potential impact: Low  Actual impact: Low  Audit history: Twice previously  Controls: Moderate  Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. There are processes in place but could be improved. New connections process was new in 2021. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Hanergy just starting don the new connection beginning of July 2021, still learning the progress and causing delay to nomination time overdue		21/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Hanergy asked John how to nomination and energize the ICP, will do nomination ourselves to avoid the time issue.		21/02/2022	

Non-compliance	Description		
Audit Ref: 3.5 With: Clause 9 of schedule 11.1  From: 01-Aug-20 To: 31-Dec-21	Late updates for Change to Active (2,0) for 31 x New ICP Connections and 2 x ANZSIC codes.  Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. There are processes in place but could be improved. New connections process new in 2021. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
As Hanergy just starting the new connection process in July 2021, we make few mistakes during the progress, normally we send JCC Email to change the status of the ICPs		21/02/2022	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We'll start doing the ICP status from 17 <sup>th</sup> Feb 2022 ourselves.		21/02/2022	

Non-compliance	Description		
Audit Ref: 4.7 With: 9 of schedule 11.3  From: 01-Aug-20 To: 31-Dec-21	3 x switch request move in notifications to the Registry were greater than 2 days from effective switch date.  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. There are processes in place but could be improved. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
0377284890LC8CB, 1001131541LC101, this two ICPs has been managed by a property management company, we follows what been told, this 2 ICP has been disconnected by previous retailer because didn't make the payment on time, and then they ask us to do the reconnection and back dated move in.  0001427949UN9B0 asked applied move in on 21/04/2021, we did the switched in same day.			Investigating
Preventative actions taken to ensure no further issues will occur		Completion date	
Hanergy will keep eyes on the MI or TR to communicate with customer if anything happens			

Non-compliance	Description		
Audit Ref: 4.10 With: Clause 11 Schedule 11.3  From: 01-Aug-20 To: 31-Dec-21	4 x Complete Switch move in notifications to Registry contained the incorrect Transfer Date  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Moderate  Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
<b>Low</b>	Controls are recorded as moderate. There are processes in place but could be improved. The impact on settlement outcomes is minor therefore the audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Hanegy new staff made mistake on the switching.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Hanergy will keep training our staff to make sure no more the same mistake happens again.			