

## Compliance plan for Hanegy - 2020

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2  From: 01-Jul-19 To: 31-May-20	Relatively low number of information inaccuracies identified during the audit Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as they require some improvement. There was minor impact on settlement. Audit risk rating low		
Actions taken to resolve the issue		Completion date	Remedial action status
Hanergy found few small issues during the switch progress, miscommunication between the customer, our staff and retailers when we doing the switch. All mistakes have now been updated on the registry.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Hanergy will continue to improve our communications between customer, staff and retailer to avoid the issues happens again			

Non-compliance	Description		
<p>Audit Ref: 3.3</p> <p>With: 10 of schedule 11.1</p> <p>From: 01-Sep-19</p> <p>To: 17-Feb-20</p>	<p>Late status in the registry for two ICPs</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: Once previously</p> <p>Controls: Moderate</p> <p>Breach risk rating: 2</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as moderate as they require some improvement.</p> <p>There was minor impact on settlement. Audit risk rating low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>As noted in the audit ICP 0216135044LC400 was reconnected on 8th Aug 2019, Hanergy noted the ICP has energised from our agency on 1st Sep 2019, This was then immediately resolved and the registry updated.</p> <p>ICP 1002036598UN3C1, the user "supHANE" is not in the country at that time, due the limitation of the internet use for the access.</p> <p>Both these have now been updated on the registry.</p>			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Hanergy do validate ICPs we switch in and are reliant on the registry at that point for information. We hope this will be a one of issue.</p> <p>We are looking into updating the registry ourselves in the near future. The train is in process for other staff can do the register in near future</p>			

Non-compliance	Description		
<p>Audit Ref: 3.6</p> <p>With: 9(1)(k) of Schedule 11.1</p> <p>From: 12-Jul-19</p> <p>To: 31-May-20</p>	<p>Incorrect ANZSIC code for 2 ICPs</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	<p>The controls are rated as moderate as they require some improvement. The company needs to refine their process for checking the validity of the ANZSIC code when an ICP switches in. There was minor impact on settlement outcomes because of the small number of ICPs. Audit risk rating is low</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>ICP 1002040647UND27 was the construction site when we first switched in, after the construction work finished, we didn't change in the registry as yet. This was then immediately resolved and the registry updated.</p> <p>ICP 1001120041UN751 is an commercial office area, a misunderstanding Between E32 and the customer name as development.</p> <p>Both these have now been updated on the registry.</p>			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We will be checking ANZSIC codes on switch in			

Non-compliance	Description		
Audit Ref: 3.8 With: 17 of Schedule 11.1 From: 12-Jul-19 To: 31-May-20	Late update to “active” for 2 ICPs Potential impact: Low Actual impact: Low Audit history: Once previously Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as they require some improvements to update the registry in a timely manner. There was minor impact on settlement outcomes because of the small number of ICPs. Audit risk rating is low		
Actions taken to resolve the issue		Completion date	Remedial action status
See comments for both ICPs in section 3.3			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
See comments for both ICPs in section 3.3			

Non-compliance	Description		
<p>Audit Ref: 4.3</p> <p>With: 5 of Schedule 11.3</p> <p>From: 10-Mar-20</p> <p>To: 25-Mar-20</p>	<p>Incorrect switch event meter reading for 2 ICPs</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	<p>The controls are rated as moderate as they require some improvement., There was no negative impact on settlement because Hanergy bought energy for one day extra. Audit risk rating is low</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>Hanergy misunderstood the file format of the meter reading provided by the MEP and provided to the gaining trader read on at the end of transfer day.</p> <p>Hanergy simply bought an additional day of energy for which they did not charge their customer</p>			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
<p>Hanergy will follow the switch in process in the future to assure this kind of action do not happening in the future.</p>			

Non-compliance	Description		
Audit Ref: 4.8 With: 10(1) of Schedule 11.3 From: 17-Sep-19 To: 20-Dec-19	No AN file sent for 4 ICPs Potential impact: Low Actual impact: Low Audit history: None Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	The controls are rated as moderate as they require some improvement., There was no negative impact on settlement. Audit risk rating is low		
Actions taken to resolve the issue		Completion date	Remedial action status
Those 4 ICPs without AN File and directly did CS.			Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Hanergy will follow the switch in process in the future to assure this kind of action do not happening in the future.			

Non-compliance	Description
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<div>Audit Ref: 4.10</div> <div>With: 11 of Schedule 11.3</div> <div>From: 08-Aug-19</div> <div>To: 19-May-20</div>	<div>Incorrect switch event meter reading for 35 ICPs</div> <div>Potential impact: Low</div> <div>Actual impact: Low</div> <div>Audit history: None</div> <div>Controls: Moderate</div> <div>Breach risk rating: 2</div>		
<b>Audit risk rating</b>	<b>Rationale for audit risk rating</b>		
<b>Low</b>	The controls are rated as moderate as they require some improvement., There was no negative impact on settlement because Hanergy bought energy for one day extra. Audit risk rating is low		
<b>Actions taken to resolve the issue</b>		<b>Completion date</b>	<b>Remedial action status</b>
35 ICPs was indicated as incorrect switch meter reading, Hanergy were brought the energy reading date as one day extra as two major metering company provided different format of the file.  All the meter read figure are correct but the date bought one day extra.			Identified
<b>Preventative actions taken to ensure no further issues will occur</b>		<b>Completion date</b>	
Hanergy will put the meter read date one day before the MI or TR date to avoid the things happen again.			

<b>Non-compliance</b>	<b>Description</b>
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Audit Ref: 4.11  With: 12 of Schedule 11.3  From: 12-Jul-19  To: 20-Nov-19	1 RR file late  Potential impact: Low  Actual impact: Low  Audit history: None  Controls: Strong  Breach risk rating:1	
Audit risk rating	Rationale for audit risk rating	
Low	The controls are rated as strong. Company manages well meter readings. Audit risk rating is low	
Actions taken to resolve the issue	Completion date	Remedial action status
ICP 1002057378UNC85, Hanegy was put the wrong reading when the customer switched to TRUS, TRUS sent the RR TO HANE, by mistake, HANE accidently send the RR to the last retailer MEEN, an Email were sent to MEEN to ask reject the RR.  The ICP have now been updated on the registry on the 15 <sup>th</sup> Nov 2019.		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Hanergy will make sure the future RR sends to correct retailer to avoid the mistake happens again.		