

Compliance plan for Liberta Systems (SOHZ) – 2023

| Non-compliance | Description | | |
|--|---|------------------------|--|
| Audit Ref: 4.8 With: 10(1) of Schedule 11.3 From: 13-Mar-23 To: 31-Mar-23 | One AN file was 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. Overall, well-managed switching process. Audit Risk Rating is recorded as low as the impact on settlement is minor | | |
| Actions taken to resolve the issue | Completion date | Remedial action status | |
| AN file was sent. Started checking for switch breaches more frequently in registry (web) as well as the tool provided by JCC, check them against our CRM | 22/08/2023 | Identified | |
| Preventative actions taken to ensure no further issues will occur | Completion date | | |
| Started checking for switch breaches more frequently in registry (web) as well as the tool provided by JCC and check against our own CRM | 22/08/2023 | | |

| Non-compliance | Description | | |
|--|--|-----------------|------------------------|
| Audit Ref: 4.10 With: 11 of Schedule 11.3 From: 11-Mar-23 To: 31-Mar-23 | One CS file was 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. Overall, well managed switching process. Audit Risk Rating is recorded as low as the impact on settlement minor | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| <div style="border: 1px solid black; padding: 5px;"> Started checking for switch breaches more frequently in registry (web) as well as the tool provided by JCC, check them against our CRM </div> | | 22/08/2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| <div style="border: 1px solid black; padding: 5px;"> Started checking for switch breaches more frequently in registry (web) as well as the tool provided by JCC, check them against our CRM </div> | | 22/08/2023 | |

| Non-compliance | Description | | |
|--|--|-----------------|------------------------|
| Audit Ref: 4.2 With: 17 and 18 of Schedule 11.3 From: 19-Mar-22 To: 30-Apr-22 | One AW file was 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. Well-managed switching process overall. Audit Risk Rating is recorded as low as the impact on settlement is minor | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| Started checking for switch breaches more frequently in registry (web) as well as the tool provided by JCC, check them against our CRM | | 22/08/2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Started checking for switch breaches more frequently in registry (web) as well as the tool provided by JCC, check them against our CRM | | 22/08/2023 | |

| Non-compliance | Description | | |
|---|---|-----------------|------------------------|
| Audit Ref: 13.3 With: 10 of Schedule 15.3 From: 01-Nov-21 To: 31-Jul-23 | Historical Estimate targets not met for revision 3 for four months 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 was a minor impact on the settlement . The audit risk rating is recorded as low. | | |
| Actions taken to resolve the issue | | Completion date | Remedial action status |
| SOHZ ended up taking manual reads in the prescribed way. There was a delay in comms with Metrix and coordinating with the consumer for confirmation of site access. Had to take preventive action to resolve the issue at hand and also since we had no reads for 4 months. | | 22/08/2023 | Identified |
| Preventative actions taken to ensure no further issues will occur | | Completion date | |
| Communications matrix has been formulated so we know who and how to contact for metering / comms issues | | 22/08/2023 | |