

## Compliance plan for Hanenergy - 2019

Non-compliance	Description		
<p>Audit Ref: 3.3</p> <p>With: 10 of schedule 11.1</p> <p>From: 05-Apr-19</p> <p>To: 16-Jun-19</p>	<p>Late updates in the registry for two 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		
<b>Low</b>	<p>The controls are recorded as moderate. At the time of audit JC Consulting was providing this service. Hanergy is planning to update the registry themselves. It will be done under JC Consulting supervision.</p> <p>The impact on settlement outcomes is none, therefore the audit risk rating is low.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
<p>As noted in the audit ICP 0162375638LCE6D was disconnected by the previous retailer and not updated on the registry. Hanergy found this out when the agent did not receive data from the meter. This was then immediately resolved and the registry updated.</p> <p>ICP 0121195902LC049 this was a one-off miscommunication between us and our agent.</p> <p>Both these have now been updated on the registry.</p>		completed	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. Now that a registry training course may be scheduled for October we will be sending two of our staff for further training.</p>		completed	

Non-compliance	Description		
Audit Ref: 3.8 With: 17 of schedule 11.1 From: 01-Jun-19 To: 16-Jun-19	The status of one ICP was changed to “active” after 9 business days 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>	The controls are recorded as moderate. At the time of audit JC Consulting was providing this service. Hanergy is planning to update the registry themselves. It will be done under JC Consulting supervision. The impact on settlement outcomes is none, therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
See comments for ICP 0121195902LC049 in section 3.3		completed	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
See comments for ICP 0121195902LC049 in section 3.3		completed	

Non-compliance	Description		
Audit Ref: 3.9 With: 19 of schedule 11.1 From: 05-Apr-19 To: 13-Jun-19	The status of one ICP was changed to “inactive” after 46 business days 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>	The controls are recorded as moderate. At the time of audit JC Consulting was providing this service. Hanergy is planning to update the registry themselves. It will be done under JC Consulting supervision. The impact on settlement outcomes is minor, therefore the audit risk rating is low.		
Actions taken to resolve the issue		Completion date	Remedial action status
See comments for ICP 0162375638LCE6D in section 3.3		completed	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
See comments for ICP 0162375638LCE6D in section 3.3		completed	