

Compliance plan for Supercharge Energy 2020

Non-compliance	Description		
Audit Ref: 1.11 With: 15.37A From: 27-Feb-19 To: 29-Mar-19	Audit report completed late Potential impact: Low Actual impact: Low Audit history: Twice previously Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor		
Actions taken to resolve the issue		Completion date	Remedial action status
Process is in place to book next audit three months before the audit due date.		27/01/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
See above.		-	

Non-compliance	Description		
Audit Ref: 2.1 With: 11.2 From: 01-Mar-19 To: 17-Dec-19	17% (24 transactions) of trader updates were entered later than 5 BD; incorrect information in BILLED files Potential impact: Low Actual impact: Low Audit history: Low Controls: Moderate Breach risk rating: 2		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as moderate. The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minimal.		
Actions taken to resolve the issue		Completion date	Remedial action status

Company policy is now to update the registry as soon as possible. Customer service processes have been streamlined to reduce complexity and wait time for customer responses. That allows communication with customers to happen in a more timely fashion – thus registry updates can be input sooner. See section 11.3 for BILLED files information.	Ongoing	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Staff now have a good level of understanding of this issue. But continued review and retraining is important.	Ongoing	

Non-compliance	Description		
Audit Ref: 2.12 With: 11.16 From: 01-Mar-19 To: 17-Dec-19	No arrangements for 2 ICPs with Horizon Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating:3		
Audit risk rating	Rationale for audit risk rating		
Low	The audit risk rating is recorded as low because a number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Request filed with ECOT to switch the two ICPs as per prior arrangement with ECOT.		27/01/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No plans for future growth of ICPs.		N/A	

Non-compliance	Description		
Audit Ref: 2.13 With: 10.36 From: 01-Mar-19 To: 17-Dec-19	No arrangements for 1 ICP with NGCM Potential impact: None Actual impact: None Audit history: Once previously Controls: Weak Breach risk rating:3		
Audit risk rating	Rationale for audit risk rating		
Low	The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Request filed with ECOT to switch the single ICP as per prior arrangement with ECOT.		27/01/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No plans for future growth of ICPs.		N/A	

Non-compliance	Description		
Audit Ref: 3.3 With: 10 of Schedule 11.1 From: 01-Mar-19 To: 08-Sep-19	17% of trader updates are recorded later than 5BD and 100% (2ICPs) of status updates were late. Potential impact: Low Actual impact: Low Audit history: Twice previously 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. The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Historical trends show a reduction in this issue as staff become better trained.		Ongoing	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Staff now have a good level of understanding of this issue. But continued review and retraining is important.		Ongoing	
Preventative actions taken to ensure no further issues will occur		Completion date	
No plans for future growth of ICPs.		N/A	

Non-compliance	Description		
Audit Ref: 4.2 With: 3 of Schedule 11.3 From: 06-Mar-19 To: 07-Mar-19	One AN file late Potential impact: None Actual impact: None Audit history: Twice previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. SUPE monitors a switch breach report provided by the registry. As soon as they receive a NT notification, AN response is sent. The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor, if any.		
Actions taken to resolve the issue		Completion date	Remedial action status
Controls continuing.		N/A	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No change to controls.		N/A	

Non-compliance	Description		
<p>Audit Ref: 4.3</p> <p>With: 5 of Schedule 11.3</p> <p>From: 03-Mar-19</p> <p>To: 10-Sep-19</p>	<p>9 CS files were sent late, incorrect information in a few CS files (7)</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>Controls are recorded as moderate as they require some adjustment. The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
These CS files were sent outside the normal process due to annual leave. The relevant parties have been reminded of the rules regarding CS file correct information.		24/01/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
These issues happened at a time when SUPE had a much larger customer base than currently. Future CS responses can be dealt with in a timely and accurate fashion.		Ongoing	

Non-compliance	Description		
Audit Ref: 4.10 With: 11 of Schedule 11.3 From: 03-Mar-19 To: 10-Sep-19	2 CS files had incorrect information 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	Controls are recorded as moderate as they require some adjustment. The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
See responses for section 4.3		See section 4.3	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
See responses for section 4.3		See section 4.3	

Non-compliance	Description		
Audit Ref: 6.10 With: 9 (1) of Schedule 15.2 From: 02-Mar-19 To: 31-Aug-19	The read attainment requirements were not met for 5 consecutive months Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls recorded as strong because for the last 3 months compliance was met and now only one ICP is read manually and has been read regularly. The audit risk rating is recorded as low because the number of ICPs traded by Supercharged Energy is small therefore any impact to the market will be minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
We are currently requesting for our final NHH ICP to be switched out as soon as possible.		Est 31/01/2020	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We should no longer have NHH meters after our final NHH ICP has been switched out.		Est 31/01/2020	

Non-compliance	Description		
Audit Ref: 11.4 With: 15.8 From: 01-Mar-19 To: 30-Nov-19	HHRAGGR files do not contain electricity supplied information Potential impact: None Actual impact: None Audit history: Once previously Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Supercharge Energy submits submissions volumes as per the reconciliation manager specification.		
Actions taken to resolve the issue		Completion date	Remedial action status
No actions taken to resolve the issue.		N/A	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No actions taken to resolve the issue.		N/A	

Non-compliance	Description		
Audit Ref: 13.3 With: 10 of Schedule 15.3 From: 01-Apr-19 To: 30-Jun-19	The proportion of historical estimates in submission information for 3 months has not achieved the target of 80% Potential impact: Low Actual impact: Low Audit history: Once before Controls: Strong Breach risk rating: 1		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as strong. Non-compliance relates to ICPs which switched away to other retailers. Audit risk rating is recorded as low, the company trades only 9 ICPs.		
Actions taken to resolve the issue		Completion date	Remedial action status
These were due to a single ICP that was read within the four-month period.		N/A	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
No action is possible.		N/A	