

Compliance plan for Orbus Business Services Ltd trading as Power Direct

Title: Provision of information to the registry manager			
Non-compliance		Description	
Audit Ref: 3.5 With: Clause 9 Schedule 11.1 From: 01-Oct-17 To: 01-May-18		Four late trader updates. 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. Two late updates were beyond Power Direct control, one was a backdated correction and one was a processing error which was promptly identified and corrected. The impact is assessed to be low, because the updates were all processed prior to reconciliation submissions being generated.	
Actions taken to resolve the issue		Completion date	Remedial action status
Metrix MEP ICPs are now sent to manually processing so we can ensure that their profile and reconciliation type is correctly set. This is a short-term fix until Metrix can provide us with certified HHR data.		IMMEDIATELY	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
The original issue stemmed from the unavailability of certified HHR data from Metrix. Any Metrix customers that come through are immediately changed to NHH with an RPS profile until Metrix can provide us with HHR data. While our system picks up this and alerts us, John Candy also notifies me when a Metrix MEP has come through and when profiles need to be updated. Metrix have advised they expect this issue to be fixed early August.		IMMEDIATELY	

Title: Withdrawal of switch requests			
Non-compliance	Description		
<p>Audit Ref: 4.15</p> <p>With: Clauses 17 and 18 Schedule 11.3</p> <p>From: 21-Feb-18</p> <p>To: 21-Jul-18</p>	<p>One ICP had an incorrect NW code applied.</p> <p>Potential impact: Low</p> <p>Actual impact: Low</p> <p>Audit history: None</p> <p>Controls: Strong</p> <p>Breach risk rating: 1</p>		
Audit risk rating	Rationale for audit risk rating		
Low	<p>The controls are rated as strong because Power Direct staff are aware of when each code should be used, and most NWs had the correct code applied. This was the first NW and first pre-pay meter for Power Direct, and an incorrect code was selected due to human error.</p> <p>The impact is rated as low, and the NW was accepted by the other retailer.</p>		
Actions taken to resolve the issue		Completion date	Remedial action status
No backdate of this information can be completed but we have made notes on the customer's account to advise of the error. This NW was actually the first one in this situation that we completed and therefore we have spent time understanding the applicable codes and when each one should be used. Meters are now checked carefully before an arrangement with the customer is undertaken to ensure that only AMI communicating meters are in fact switched in.		DONE	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
We now understand when the MI code can be applied and have re-added comments to our documentation to ensure the correct codes are added into the NW files moving forward – should any confusion arise, we will seek the advice of Chrissy to ensure that compliance moving forward is maintained. Also comments as above.		DONE	

Title: HHR aggregates information provision to the reconciliation manage			
Non-compliance		Description	
Audit Ref: 11.4 With: Clause 15.8 From: June 2017 To: April 2018		HHR aggregates file does not contain electricity supplied information. Potential impact: Low Actual impact: Low Audit history: None Controls: Strong Breach risk rating: 1	
Actions taken to resolve the issue		Completion date	
Low		The issue relating to content of the aggregates file is an error in the code, Power Direct is providing submission information as expected.	
Preventative actions taken to ensure no further issues will occur		Completion date	Remedial action status
N/A – this is an issue for the EA to fix and not something that ORBS processes can rectify		N/A	Identified. No action can be taken by Power Direct because the report contains volumes as required by the reconciliation manager functional specification.
Actions taken to resolve the issue		Completion date	
N/A – this is an issue for the EA to fix and not something that ORBS processes can rectify		N/A	