

Compliance plan for Stack Energy - 2023

Non-compliance	Description	
Audit Ref: 1.11 With: Clause 15.37A From: 04-Mar-23 To: 04-May-23	Audit report completed late Potential impact: Low Actual impact: Low Audit history: Multiple times 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 Stack Energy is small therefore any impact to the market was minor	
Actions taken to resolve the issue	Completion date	Remedial action status
		Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Non-compliance	Description	
Audit Ref: 2.1 With: Clause 11.2 From: 01-Apr-22 To: 31-May-23	A small quantity of switching information was inaccurate Potential impact: Low Actual impact: Low Audit history: Multiple times Controls: Moderate Breach risk rating: 2	
Audit risk rating	Rationale for audit risk rating	
Low	Controls rated as moderate as small changes to the switching procedures is required There was no impact on settlement. Audit Risk Rating is recorded as low as the impact on settlement and participants is none.	
Actions taken to resolve the issue	Completion date	Remedial action status
Once we acknowledge the issue, resolve the switching process as soon as possible.	20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Get ready for a system that ensures seamless acknowledgment and display of the switching process without any breaches. Notifications will be integrated into our system to facilitate this.	31/03/2024	

Non-compliance	Description	
Audit Ref: 2.20 With: Clause 15.37A From: 01-Apr-22 To: 31-May-23	No reference to Powerswitch website when communicating with customers. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are recorded as weak. The situation has to be rectified. The audit risk rating is low because the number of ICPs traded by Stack Energy is small therefore, any impact on the market was minor	
Actions taken to resolve the issue	Completion date	Remedial action status
Incorporate the Powerswitch information into both our website and email signature.	20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	

Non-compliance	Description		
Audit Ref: 4.2 With: Clause 3&4 of Schedule 11.1 From: 08-Jun-23 To: 08-Jun-23	One AN had the AA (acknowledge and accept) code incorrectly applied. The AD (advanced metering) code was expected for ICP metered by advanced meters 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. The participant was not aware that a code used by them was not correct. There is no potential/actual impact because the presence of AMI metering is recorded separately and the AN file is not typically used to confirm the presence of a smart meter by traders. Audit Risk Rating is recorded as low as the impact on settlement and participants is none.		
Actions taken to resolve the issue		Completion date	Remedial action status
Acknowledge the problem		20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Revise the system to include the code "AD" for Advanced Metering, and ensure that when we initiate a switching request involving an Advanced Meter, we adhere to the correct code		30/09/2023	

Non-compliance	Description		
Audit Ref: 4.3 With: Clause 5 of Schedule 11.3 From: 08-Jun-23 To: 08-Jun-23	Calculation of average kWh per day does not comply with Registry Functional Specification v22.38 Incorrect value of the average daily consumption. 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 rated as moderate. Remedial action was identified at last audit but not implemented. The audit risk rating is recorded as low due to low number of switches. Audit Risk Rating is recorded as low as the impact on settlement and participants is none.		
Actions taken to resolve the issue		Completion date	Remedial action status
Acknowledge the problem		20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Exploring the automated system for calculating daily electricity consumption averages within our system. Prior to implementing this automated system, we currently determine it manually by dividing the average consumption of the last three months by the number of days.		31/12/2023	

Non-compliance	Description		
Audit Ref: 6.4 With: Clause 10.43(2)(3) From: 02-Sep-22 To: 31-May-23	MEP was not notified of a faulty meter, best endeavours were not used to rectify the situation. Potential impact: Low Actual impact: Low Audit history: None Controls: None Breach risk rating: 5		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are recorded as none. The company has not used their best endeavours to resolve the issue. The audit risk rating is recorded as low because this situation relates to one ICP traded by Stack Energy. The impact to the market is minor.		
Actions taken to resolve the issue		Completion date	Remedial action status
Sent notification to the meter company and trying to resolve the issue		20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Obtain various contact details, including a general email address, from the meter company. This will enable us to promptly report faults and resolve any issues as they arise.		30/09/2023	

Non-compliance	Description		
Audit Ref: 6.9 With: Clause 8(1) of Schedule 15.2 From: 01-Apr-22 To: 31-May-23	Two ICPs did not meet annual read attainment. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating:3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak as improvement of manual reads is required. There was a minor impact on the settlement because small number of ICPs. The audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
Once we make sure that the property is vacant, we will carry on the disconnection order		20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Obtain alternative contact information for the client and inform them about the procedure for accessing the meter room to manually check for any obstacles that might hinder meter reading.		20/08/2023	

Non-compliance	Description		
Audit Ref: 6.10 With: Clause 9(1) of Schedule 15.2 From: 01-Jan-22 To: 31-May-23	90% attainment was not achieved for 2 NSPs over 4 months Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak as improvement of manual reads is required. There was a minor impact on the settlement because small number of ICPs. The audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
If manual meter reading is necessary, we will assess the current status of a property. If the location is unoccupied, we will proceed with the disconnection order.		20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
If manual meter reading is necessary, we will assess the current status of a property. If the location is unoccupied, we will proceed with the disconnection order.		20/08/2023	

Non-compliance	Description	
Audit Ref: 12.7 With: Clause 15.12 From: 01-Apr-22 To: 31-May-23	Zero volumes are submitted for ICP with a stopped meter, the company knows that a customer uses electricity. It appears they have not done everything thing they could to confirm the accuracy of the submission information. Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3	
Audit risk rating	Rationale for audit risk rating	
Low	Controls are rated as weak as improvement of manual reads is required. There was minor impact on settlement. The audit risk rating is recorded as low.	
Actions taken to resolve the issue	Completion date	Remedial action status
We are aware of the average monthly power consumption of the customer. We will adjust the meter reading based on our estimation and incorporate it into the volume report.	30/09/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Auditor Ewa has provided a suggestion on how to address faulty meters, and we will proceed to implement this approach by adjusting the average consumption for meters that are clearly active and in use by the client.	20/08/2023	

Non-compliance	Description		
Audit Ref: 12.9 With: Clause 2 of Schedule 15.3 From: 01-Apr-22 To: 31-May-23	Zero volumes are submitted for ICP with stopped meter knowing that a customer uses electricity Volumes calculated not based on meter readings Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as weak. The methodology of volume calculation needs review. There was minor impact on settlement. The audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
We are aware of the average monthly power consumption of the customer. We will adjust the meter reading based on our estimation and incorporate it into the volume report.		30/09/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Auditor Ewa has provided a suggestion on how to address faulty meters, and we will proceed to implement this approach by adjusting the average consumption for meters that are clearly active and in use by the client.		20/08/2023	

Non-compliance	Description		
Audit Ref: 12.11 With: Clause 4 of Schedule 15.3 From: 01-Apr-22 To: 31-Jan-23	ICP 0001454328UN856 – volumes were submitted as HE which was incorrect Potential impact: Low Actual impact: Low Audit history: None Controls: Weak Breach risk rating: 3		
Audit risk rating	Rationale for audit risk rating		
Low	Controls are rated as moderate as improvement of the calculation of HE for manual reads is required. There was minor impact on settlement. The audit risk rating is recorded as low.		
Actions taken to resolve the issue		Completion date	Remedial action status
We will correct the HE volume for ICP 0001454328UN856		20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur		Completion date	
Auditor Ewa has provided a suggestion on how to address faulty meters, and we will proceed to implement this approach by adjusting the average consumption for meters that are clearly active and in use by the client.		20/08/2023	

Non-compliance	Description	
Audit Ref: 13.3 With: 10 of Schedule 15.3 From: 01-Apr-22 To: 31-May-23	Historical Estimate targets not met for revision 3, 7 and 14 Potential impact: Low Actual impact: Low Audit history: 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 because small number of ICPs. The audit risk rating is recorded as low.	
Actions taken to resolve the issue	Completion date	Remedial action status
Once we make sure that the property is vacant, we will carry on the disconnection order	20/08/2023	Identified
Preventative actions taken to ensure no further issues will occur	Completion date	
Obtain alternative contact information for the client and inform them about the procedure for accessing the meter room to manually check for any obstacles that might hinder meter reading.	20/08/2023	