

# McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

## Newmont AP Power Pty Ltd

Electricity Retail Licence ERL 13,  
Performance Audit

Prepared By Kevan McGill  
Date 25 November 2011



# McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

Tim Gordon  
Senior Advisor  
Non-Managed joint ventures  
Newmont Power Pty Ltd  
1/388 Hay Street  
Subiaco WA 6008

Dear Mr Gordon

## **Performance Audit Electricity Licence**

The fieldwork on the performance audit of Retail Licence ERL 13, for the audit period (2 June 2009 to 30 June 2011) is complete and I am pleased to submit the report to you. The report reflects my findings and opinions.

In my opinion, the Licensee has maintained a good level of compliance with the licence conditions and integrity with the Licensee's reporting obligations. There was a non compliance noted, but it was not a significant matter.

In my opinion, the Licensee maintained, in all material aspects, control procedures in relation to the Retail Licence ERL 13 for the audit period on the relevant clauses referred to within the scope section of this report.

Yours sincerely

Kevan McGill  
Director

Date 25 November 2011



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## 1 Executive Summary

Newmont AP Power Pty Ltd (Newmont - NAPPL) holds Retail Licence ERL 13 issued by the Economic Regulation Authority (*Authority*) under the Electricity Industry Act 2004. This performance audit was conducted in accordance with the guidelines issued by the *Authority* for the audit period (2 June 2009 to 30 June 2011) to assess the Licensee's level of compliance with the licence conditions.

This licensee has no customers.

The records and areas covered by the Licence were inspected and interviews were also held with key personnel at the operational sites (Kalgoorlie) and in the Perth Office.

The Electricity Licence requires the Licensee to provide the *Authority* with an audit report from an independent expert on a defined time scale. This is the first audit of this licence held by Newmont AP.

### 1.1 OVERALL CONCLUSION

In my opinion, the Licensee has maintained a good level of compliance with the licence conditions and integrity with the Licensee's reporting obligations. There was a non compliance noted, but it was not a significant matter.

In my opinion, the Licensee maintained, in all material aspects, control procedures in relation to the Retail Licence ERL 13 for the audit period based on the relevant clauses referred to within the objectives section (Page 7) of this report.

A summary of the findings of the performance audit is given in section 1.2 below.

### 1.2 RATINGS

A risk assessment approach is used to develop the depth of audit required for each Obligation and is documented in an Audit Plan approved by the *Authority* prior to audit. A 5 level Audit Priority scale is used based on the combined rating for Inherent Risk and Control Adequacy defined in the following table. Following approval of the audit plan, a number of obligations were approved by the *Authority* for removal from the audit. The Licensee's obligations assessed in this audit, all have an Audit Priority rating of 4 or 5

Inherent risk	Adequacy of existing controls		
		Weak	Moderate      Strong
High		Audit Priority 1	Audit Priority 2
Medium		Audit Priority 3	Audit Priority 4
Low		Audit Priority 5	

The audit has determined a compliance rating for each Obligation using the 7-point rating scale (5 for numerical rating score and 2 not rated/not applicable scales) described in the table below.



Compliance status	Rating	Description of compliance
COMPLIANT	5	Compliant with no further action required to maintain compliance
COMPLIANT	4	Compliant apart from minor or immaterial recommendations to improve the strength internal controls to maintain compliance
COMPLIANT	3	Compliant with major or material recommendations to improve the strength of internal controls to maintain compliance
NON-COMPLIANT	2	Does not meet minimum requirements
SIGNIFICANTLY NON-COMPLIANT	1	Significant weaknesses and/or serious action required
NOT APPLICABLE	N/A	Determined that the compliance obligation does not apply to the Licensee's business operations
NOT RATED	N/R	No relevant activity took place during the audit period, therefore it is not possible to assess compliance

The total number of licence obligations assessed are summarised by audit priority ratings below.

		Audit Priority				
Assessment	Total	1	2	3	4	5
Compliant 5	6	0	0	0	3	3
Compliant 4	0	0	0	0	0	0
Compliant 3	0	0	0	0	0	0
Non-compliant 2	1	0	0	0	1	0
Significantly Non-compliant 1	0	0	0	0	0	0
Not Applicable	3	0	0	0	3	0
Not Rated	31	0	0	0	20	11

\* Note Where an obligation was not exercised in the audit period, it was not possible to form an opinion about compliance and the item was not rated.



## 2 PERFORMANCE AUDIT

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### 2.1 PERFORMANCE AUDIT OBJECTIVES

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Under section 13 of the *Electricity Industry Act 2004* (the Act), it is a requirement that every Licensee provide the Economic Regulation Authority (*Authority*) not less than once in every period of 2 years with a performance audit conducted by an independent expert acceptable to the *Authority*.

The primary objective of the audit is to audit the effectiveness of measures taken by the Licensee to maintain quality and performance standards. The Act states a performance audit is an audit of the effectiveness of measures taken by the Licensee to meet the performance criteria specified in the licence. The licence states that performance standards are contained in applicable legislation. Performance criteria are defined in the licence as:

- (a) the terms and conditions of the *licence*; and
- (b) any other relevant matter in connection with the applicable legislation that the *Authority* determines should form part of the audit.

The licence also provides for individual licence conditions namely - the *Authority* may prescribe individual performance standards in relation to the Licensee of its obligations under this licence or the applicable legislation (the Act and subordinate legislation).

The *Authority* has summarised the performance requirements in various legislation in its Electricity compliance reporting manual (July 2010)<sup>1</sup>.

The Licensee appointed McGill Engineering Services Pty Ltd to conduct the audit of its Retail Licence with approval from the *Authority*. A preliminary assessment was conducted with the Licensee's management to determine the inherent risk and the state of control for each compliance element of the Licence obligation. McGill Engineering Services Pty Ltd then prioritised the audit coverage based on the risk profile of the Licensee with an emphasis on providing greater focus and depth of testing for areas of higher risk to provide reasonable assurance that the Licensee had complied with the standards, outputs and outcomes under the Licence obligations.

The audit was conducted in a manner consistent with Australian Auditing Standards (AUS) 808 "Planning Performance Audits" and AUS 806 "Performance Auditing". McGill Engineering Services Pty Ltd evaluated the adequacy and effectiveness of the controls and performance by the Licensee relative to the standards referred in the Retail Licence through a combination of enquiries, examination of documents and detailed testing for Retail Licence ERL 13 for the Licensee.

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<sup>1</sup> Electricity compliance reporting manual, July 2010



## 2.2 AUDIT PERIOD

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The audit period is 2 June 2009 to 30 June 2011.

## 2.3 STATEMENT OF INDEPENDENCE

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To the best of my knowledge and belief, there is no basis for contraventions of any professional code of conduct in respect of the audit.

I have not done or contemplate undertaking any other work with the Licensee.

There are no independence threats due to:

- self-interest – as the audit company or a member of the audit team have no financial or non-financial interests in the Licensee or a related entity;
- self-review – no circumstance has occurred where:
  - the audit company or a member of the audit team has undertaken other non-audit work for the Licensee that is being evaluated in relation to the audit/review; or
  - when a member of the audit team was previously an officer or director of the Licensee; or
  - where a member of the audit team was previously an employee of the Licensee who was in a position to exert direct influence over material that will be subject to audit during an audit/review.

There is no risk of a self-review threat as:

- no work has been
  - undertaken by the auditor, or a member of the audit/review team, for the Licensee within the previous 24 months; or
  - the auditor is currently undertaking for the Licensee; or
  - the auditor has submitted an offer, or intends to submit an offer, to undertake for the Licensee within the next 6 months; and
- familiarity – there is no close family relationship with a Licensee, its directors, officers or employees,
- and is not nor is perceived to be too sympathetic to the Licensee's interests.

## 2.4 SCOPE LIMITATION

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The audit was undertaken by examination of documents, interviews with key persons and observations and is not a detailed inspection of physical items.



## 2.4.1 EXCLUDED CONDITIONS

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Licence conditions applying to small use consumers have been excluded as the licensee has no small use consumers, accordingly conditions 88-89, 94 and 97-102 have been excluded from the audit. Conditions relating to the Electricity Corporations are not applicable (78-80, 90-92). Conditions relating to the Code of Conduct for the Supply of Electricity to Small Use Consumers (113 to 316 have been excluded as these apply to Small Use Consumers only. Conditions relating to being a supplier of last resort (93) have been deleted as the licensees' area has not been designated. As no individual performance standards have been applied, item 106 has been excluded.

The Customer Transfer Code defines its objectives as:

### 2.1 Objectives

*(1) The objectives of this Code are to—*

- (a) set out rules for the provision of information relating to contestable customers and the process for transferring contestable customers from one retailer to another retailer in order to promote retail competition;*

The Licensee (NAPPL) has no customers, and has not sought to supply any customers so therefore the provisions of the Customer Transfer Code have been excluded, therefore obligations 1-71 have been excluded from the review.

## 2.5 INHERENT LIMITATIONS

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Because of the inherent limitations of any internal control structure, it is possible that fraud, error or non-compliance with laws and regulations may occur and not be detected.

An audit is not designed to detect all weaknesses in compliance measures as an audit is not performed continuously throughout the period and the audit procedures performed on the compliance measures are undertaken on a test basis.

Any projection of the evaluation of the operating licence to future periods is subject to the risk that the compliance measures in the plans may become inadequate because of changes in conditions or circumstances, or that the degree of compliance with them may deteriorate.

The audit opinion expressed in this report has been formed on the above basis.

## 2.6 SCOPE OF THE AUDIT

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The audit was conducted in 3 phases.

### 1. RISK AND MATERIALITY ASSESSMENT

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With reference to AS/NZS4360 Risk Management a preliminary assessment was made of the risk and materiality of non-compliance with the required licence conditions in order to focus the audit effort on areas of higher compliance risk and identify areas for testing and analysis.



## 2. SYSTEM ANALYSIS, ASSERTION SETTING AND REVIEW

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Through discussion, observation and review, a sample of cases or data was analysed relating to the Licensee's quality and performance systems and standards against requirements of the Licence conditions to be audited.

## 3. FIELDWORK: TESTING AND ANALYSIS

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Using the results of the risk assessment and systems analysis, detailed testing and analysis was performed to compare those standards maintained by the Licensee with the relevant clauses of the Licence.

During this audit the Perth office was visited.

### 2.6.1 CORRECTIVE ACTIONS FROM LAST AUDIT

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There are no corrective actions to follow up as this is the first audit.

## 2.7 AUDIT ROLES

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The report to the Licensee and the *Authority* clearly expresses the opinion of the auditor in respect of the findings of the audit.

The key contacts were:

- Licensee
  - Tim Gordon – Senior Advisor Non Managed Joint Ventures and
  - Consultant David Lyne.
- McGill Engineering Services Pty Ltd
  - Kevan McGill

The audit was conducted during July to August 2011. Kevan McGill took about 60 hours on the audit.

## 2.8 AUDIT REQUIREMENTS

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Compliance with licence conditions was examined according to the likely inherent risk and the adequacy of controls to manage that risk.

### Nature of audit work conducted

The *Authority* guidelines for performance audits require that the audit considers:

- a) **Process compliance** - the effectiveness of systems and procedures in place throughout the audit period, including the adequacy of internal controls.
- b) **Outcome compliance** – the actual performance against standards prescribed in the licence throughout the audit period.



- c) **Output compliance** – the existence of the output from systems and procedures throughout the audit period (that is, proper records exist to provide assurance that procedures are being consistently followed and controls are being maintained).
- d) **Integrity of performance reporting** – the completeness and accuracy of the performance reporting to the *Authority*.
- e) **Compliance with any individual licence conditions** - the requirements imposed on the specific Licensee by the *Authority* or specific issues for follow-up that are advised by the *Authority*.

Stage	Auditor	Standard
1. Risk & Materiality Assessment Outcome - Operational/ Performance Audit Plan	K McGill	ASA 300 Planning ASA 315: Risk Assessments and Internal Controls AUS 808: Planning Performance Audits AS/NZS 4360:2004: Risk Management ERA Guidelines
2. System Analysis	K McGill	AUS 810: Special Purpose Reports on Effectiveness of Control Procedures
3. Fieldwork Assessment and testing of; <ul style="list-style-type: none"> <li>• The control environment</li> <li>• Information system</li> <li>• Compliance procedures</li> <li>• Compliance attitude</li> </ul>	K McGill	AUS 502: Audit Evidence AUS 806: Performance Auditing
4. Reporting	K McGill	ASA 300 Planning AUS 806: Performance Auditing

## 2.9 LICENCE

The license has no customers.

## 2.10 OVERALL CONCLUSION

In my opinion, the Licensee has maintained a good level of compliance with the licence conditions. There was a non-compliance noted.

In my opinion, the Licensee maintained, in all material aspects, control procedures in relation to the for Retail Licence ERL 13 licence for the audit period based on the relevant clauses referred to within the scope section of this report.



## 2.11 FINDINGS

The conclusions of each of the elements of the licence are summarised in the following table. The audit risk as determined for each licence condition is also shown. The details of the audit can be seen in detailed findings Page 16

The following are the risks determined for audit elements.

Item	Licence Clause/Condition reference (Cl.=clause, Sch.=schedule) G/D/T/R	Obligations under condition	Consequences (1=Minor, 2=Moderate, 3=Major) Likelihood (A=likely, B=Probable, C=Unlikely)	Inherent Risk	Adequacy of Existing Controls (S=Strong, M=Moderate, W=Weak)	R + Retail	Type	Review priority	Rating						
Licence Conditions – Licence Clause – Obligations- Electricity Industry Act Section									1	2	3	4	5	N <sup>a</sup>	N <sup>r</sup>
81.	22.1	s <sup>2</sup> 13(1)	1	C	Low	M	R	NR	5					<input checked="" type="checkbox"/>	
85.	4.1	s17(1)	1	C	Low	M	R	NR	5					<input checked="" type="checkbox"/>	
86.	5.1	s31(3)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>
87.	5.1	s41(6)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
96	5.1	s115(2)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
Licence Conditions – Electricity Industry Act Section									1	2	3	4	5	N <sup>a</sup>	N <sup>r</sup>
Obligations- Licence Clause															
105.	s11	20.1	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>	
107.	s11	22.2	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>	
109.	s11	23.1	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
110.	s11	24.1	2	C	Medium	M	R	2	4		<input checked="" type="checkbox"/>				
111.	s11	25.2	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
112.	s11	26.1	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>	
Licence Conditions (2010 manual – 2008 manual) – Licence clause									1	2	3	4	5	N <sup>a</sup>	N <sup>r</sup>
Obligations- Electricity Industry Metering Code Clause															
326	5.1	3.5(6)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
336	5.1	3.11(3)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
359	5.1	3.27	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
366	5.1.	4.4(1)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>
367.	5.1	4.5(2)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>
368.	5.1	4.5(1)	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>	
380	5.1	5.4(2)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>
382	5.1	5.5(3)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
393	5.1	5.16	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
394	5.1	5.17(1)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
395	5.1	5.18	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
396	5.1	5.19(1)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>
397	5.1	5.19(2)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>
398	5.1	5.19(3)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
399	5.1	5.19(4)	2	C	Medium	M	R	2	4						<input checked="" type="checkbox"/>
401	5.1	5.19(6)	1	C	Low	M	R	NR	5						<input checked="" type="checkbox"/>

<sup>2</sup> s= Section of Act



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## 2.12 ESTABLISHING THE CONTEXT

The key legislation that governs the licensing of providers of electricity is the Electricity Industry Act 2004. In turn, the compliance elements in the Licence were examined and referred to throughout the audit process.

### 2.12.1 AUDIT RESULTS AND RECOMMENDATIONS

#### Summary of significant results

There has been a non compliance.

### 2.12.2 COMPLIANCE ELEMENTS REQUIRING CORRECTIVE MEASURES

<b>Item 110</b>	Compliance rating
Electricity Industry Act section 11	Not Compliant 2
<b>Licence:</b> Retail	
<i>Retail Licence Condition 24.1</i> A Licensee must provide the <i>Authority</i> , in the manner prescribed, any information the <i>Authority</i> requires in connection with its functions under the Electricity Industry Act.	
<b>Observations</b>	
The Licensee has not met the reporting manual requirements. While there was no business activity to report, the reports were not all on time	
<b>Issues</b>	
Reports need to be on time	
<b>Recommendations</b>	
Implement a procedure to recognise all regulatory obligations and the required response times.	

### 2.12.3 SUGGESTIONS FOR IMPROVEMENT

There are no suggestions for improvement outside the issue of continuing with the licence to be considered

### 2.12.4 POST AUDIT IMPLEMENTATION PLAN

The Licensee would be providing a separate post audit plan.

## 2.13 DETAILED FINDINGS

### 2.13.1 AUDIT WORK UNDERTAKEN

Interviews and enquiries were conducted to:

- Understand the control environment by determining the responsibility matrix and key control points



- Obtain the policies and procedures for managing licences and licensed areas; and
- Identify the information systems and processes employed to manage licences and licensed areas
- Determine the level of understanding of the systems and processes for managing licences and licensed areas
- In reviewing the procedures and protocols for managing provision of services within a licensed area, where applicable, we obtained details of the processes and assessed the reasonableness of the decision matrix and the adequacy of the control points implemented by the Licensee.

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## 2.14 AUDIT EVIDENCE

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The following was considered in the audit.

- Retail Licence
- Annual reports
- Annual returns to ERA
- Licence fee invoices/receipts

## 2.15 DETAILED AUDIT FINDINGS

The following sets out the audit findings

## 2.15.1 ELECTRICITY INDUSTRY ACT – LICENCE CONDITIONS AND OBLIGATIONS

<b>Item 81</b> Retail Licence condition 22.1	Compliance rating Compliant 5
<b>Licence:</b> <i>Distribution, Retail</i>	
<i>Electricity Industry Act section 13(1)</i> A Licensee must, not less than once every 24 months, provide the <i>Authority</i> with a performance audit conducted by an independent expert acceptable to the <i>Authority</i> .	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant and Contractor's Assistant Manager South. Documents: The Licensee contracted with the auditor to carry out the audit. The documents were forwarded to the <i>Authority</i> as part of the approval of the auditor. Licensee received approval from the <i>Authority</i> for audit scope and appointment of auditor.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The Licensee contracted with the auditor to carry out the audit to meet the requirements.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 85</b> Retail Licence condition 4.1	Compliance rating Compliant 5
<b>Licence:</b> <i>Distribution, Retail</i>	
<i>Electricity Industry Act section 17(1)</i> A Licensee must pay to the <i>Authority</i> the prescribed licence fee within one month after the day of grant or renewal of the licence and within one month after each anniversary of that day during the term of the licence.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Include invoices and receipts	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The fees have been paid on time.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 86</b> Retail Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> <i>Distribution, Retail</i>	
<i>Electricity Industry Act section 31(3)</i> A Licensee must take reasonable steps to minimise the extent or duration of any interruption,	



suspension or restriction of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant and Contractor's Assistant Manager South. Documents: Include n/a.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The Licensee has no customers to be affected by any interruptions.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 87</b>								Compliance rating	
Retail Licence condition 5.1								Not Rated	
<b>Licence:</b> <i>Distribution, Retail</i>									
<i>Electricity Industry Act section 41(6)</i> A Licensee must pay the costs of taking an interest in land or an easement over land.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no interests/easements taken in land in the audit period to assess compliance.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 96</b>								Compliance rating	
Retail Licence condition 5.1								Not Rated	
<b>Licence:</b> <i>Distribution, Retail</i>									
<i>Electricity Industry Act section 115(2)</i> A Licensee that has, or is an associate of a person that has, access to services under an access agreement must not engage in conduct for the purpose of hindering or prohibiting access.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Not applicable.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no behaviour that could engage in conduct for the purpose of hindering or prohibiting access.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									



## 2.15.2 ELECTRICITY LICENCE – LICENCE CONDITIONS AND OBLIGATIONS

<b>Item 105</b>	Compliance rating
Electricity Industry Act section 11	Compliant 5
<b>Licence:</b> Retail	
<i>Retail Licence Condition 20.1</i> A Licensee and any related body corporate must maintain accounting records that comply with the Australian Accounting Standards Board Standards or equivalent International Accounting Standards.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: The annual reports declaration by the financial auditor has been sighted.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The annual reports show compliance with accounting standards. The Licensee is not a reporting body so the not applicable disclosure requirements are not met.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 107</b>	Compliance rating
Electricity Industry Act section 11	Compliant 5
<b>Licence:</b> Retail	
<i>Retail Licence Condition 22.2</i> A Licensee must comply, and require its auditor to comply, with the <i>Authority's</i> standard audit guidelines dealing with the performance audit.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: The audit plan was forwarded to the <i>Authority</i> , approval of the auditor obtained prior to appointment.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The Licensee has contracted with the auditor to comply with the requirements.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 109</b>	Compliance rating
Electricity Industry Act section 11	Not Rated
<b>Licence:</b> Retail	
<i>Retail Licence Condition 23.1</i> A Licensee must report to the <i>Authority</i> , in the manner prescribed, if a Licensee is under external administration or there is a significant change in the circumstances upon which the licence was granted which may affect a Licensee's ability to meet its obligations.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Not applicable.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The Licensee is not under external administration so not able to assess compliance with advice requirements.	



<b>Issues</b>
None
<b>Recommendations</b>
None

<b>Item 110</b>	Compliance rating
Electricity Industry Act section 11	Not Compliant 2
<b>Licence:</b> Retail	
<i>Retail Licence Condition 24.1</i> A Licensee must provide the <i>Authority</i> , in the manner prescribed, any information the <i>Authority</i> requires in connection with its functions under the Electricity Industry Act.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. The Senior Advisor advised that there have been no requests for information from the <i>Authority</i> other than Performance Audit, AMS Review and Compliance Report. Documents: The reporting manual returns have been sighted.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The Licensee has not met the reporting manual requirements. While there was no business activity to report, the reports were not all on time	
<b>Issues</b>	
Reports need to be on time	
<b>Recommendations</b>	
Implement a procedure to recognise all regulatory obligations and the required response times.	

<b>Item 111</b>	Compliance rating
Electricity Industry Act section 11	Not Rated
<b>Licence:</b> Retail	
<i>Retail Licence Condition 25.2</i> A Licensee must publish any information it is directed by the <i>Authority</i> to publish, within the timeframes specified.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Not applicable.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The <i>Authority</i> has not directed any information to be published so unable to assess compliance with publishing requirements.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 112</b>	Compliance rating
Electricity Industry Act section 11	Compliant 5
<b>Licence:</b> Retail	
<i>Retail Licence Condition 26.1</i> Unless otherwise specified, all notices must be in writing.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Sample communication with	



ERA sighted.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
No notices have been required by the <i>Authority</i> . All material communication with the <i>Authority</i> is in writing.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

### 2.15.3 ELECTRICITY INDUSTRY METERING CODE – LICENCE CONDITIONS AND OBLIGATIONS (ALL LICENCE CONDITION LICENCE CLAUSE 5.1)

<b>Item 326</b>	Compliance rating
Licence condition 5.1	Not Rated
<b>Licence:</b> <i>Retail</i>	
<i>Electricity Industry Metering Code clause 3.5(6)</i> A network operator may only impose a charge for providing, installing, operating or maintaining a metering installation in accordance with the applicable service level agreement between it and the user.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no metering installations in the audit period (there are no customers).	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 336</b>	Compliance rating
Licence condition 5.1	Not Rated
<b>Licence:</b> <i>Retail</i>	
<i>Electricity Industry Metering Code clause 3.11(3)</i> A Code participant who becomes aware of an outage or malfunction of a metering installation must advise the network operator as soon as practicable.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: N/a.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no customers. No advice has been received from customers as there are none.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 359</b>	Compliance rating
Licence condition 5.1	Not Rated
<b>Licence:</b> <i>Retail</i>	



*Electricity Industry Metering Code clause 3.27*

A person must not install a metering installation on a network unless the person is the network operator or a registered metering installation provider for the network operator doing the type of work authorised by its registration.

**Observations**

Documents ☒ Compliance ☒

**Evidence:** interviewed Senior Advisor, Consultant. Documents: N/a

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

No new meters have been installed in the audit period (there are no customers).

**Issues**

None

**Recommendations**

None

**Item 366**

Licence condition 5.1

Compliance rating  
Not Rated

**Licence:** Retail

*Electricity Industry Metering Code clause 4.4(1)*

A network operator and affected Code participants must liaise together to determine the most appropriate way to resolve a discrepancy between energy data held in a metering installation and data held in the metering database.

**Observations**

Documents ☐ Compliance ☐

**Evidence:** interviewed Senior Advisor, Consultant. Documents: n/a

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There are no meters (no customers) and therefore no capacities for discrepancies.

**Issues**

None

**Recommendations**

None

**Item 367**

Licence condition 5.1

Compliance Rating  
Not Rated

**Licence:** Retail

*Electricity Industry Metering Code clause 4.5(1)*

A Code participant must not knowingly permit the registry to be materially inaccurate.

**Observations**

Documents ☐ Compliance ☐

**Evidence:** interviewed Senior Advisor, Consultant. Documents: n/a

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There are no meters and no customers and therefore no registry.

**Issues**

None

**Recommendations**

None

**Item 368**

Licence condition 5.1

Compliance rating  
Not Applicable

**Licence:** Retail



*Electricity Industry Metering Code clause 4.5(2)*

If a Code participant (other than a network operator) becomes aware of a change to or an inaccuracy in an item of standing data in the registry, then it must notify the network operator and provide details of the change or inaccuracy within the timeframes prescribed.

**Observations**

Documents ☐ Compliance ☐

**Evidence:** interviewed Senior Advisor, Consultant. Documents: n/a

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There are no meters and no customers and therefore no registry.

**Issues**

None

**Recommendations**

None

**Item 380**

Licence condition 5.1

Compliance rating  
Not Rated

**Licence:** Retail

*Electricity Industry Metering Code clause 5.4(2)*

A user must, when reasonably requested by a network operator, use reasonable endeavours to assist the network operator to comply with the network operator's obligation.

**Observations**

Documents ☒ Compliance ☒

**Evidence:** interviewed Senior Advisor, Consultant. Documents: n/a

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

No requests were made of users (customers) as there are no meters (no customers) to request assistance.

**Issues**

None

**Recommendations**

None

**Item 382**

Licence condition 5.1

Compliance rating  
Not Rated

**Licence:** Retail

*Electricity Industry Metering Code clause 5.5(3)*

A user must not impose any charge for the provision of the data under this Code unless it is permitted to do so under another enactment.

**Observations**

Documents ☐ Compliance ☐

**Evidence:** interviewed Senior Advisor, Consultant Documents: n/a

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

Users were not charged nor did not charge for data. There are no customers and no meters to be the basis of a charge.

**Issues**

None

**Recommendations**

None



<b>Item 393</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.16</i> A user that collects or receives energy data from a metering installation must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Users do not collect or receive energy data to send to network operator as there are no meters to collect information from (and no users).	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 394</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.17(1)</i> A user must provide standing data and validated (and where necessary substituted or estimated) energy data to the user's customer, to which that information relates, where the user is required by an enactment or an agreement to do so for billing purposes or for the purpose of providing metering services to the customer.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no users to be required to provide anything.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 395</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.18</i> A user that collects or receives information regarding a change in the energisation status of a metering point must provide the network operator with the prescribed information, including the stated attributes, within the timeframes prescribed.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no meters to change energisation status.	



<b>Issues</b>
None
<b>Recommendations</b>
None

<b>Item 396</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.19(1)</i> A user must, when requested by the network operator acting in accordance with good electricity industry practice, use reasonable endeavours to collect information from customers, if any, that assists the network operator in meeting its obligations described in the Code and elsewhere.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There has been no request (from other network operators) to collect information.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	
<b>Management Actions</b>	
Not applicable	

<b>Item 397</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.19(2)</i> A user must, to the extent that it is able, collect and maintain a record of the address, site and customer attributes, prescribed in relation to the site of each connection point, with which the user is associated.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no customers to collect information for.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 398</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.19(3)</i> A user must, after becoming aware of any change in a site's prescribed attributes, notify the network operator of the change within the timeframes prescribed.	



<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There has been no change to site attributes (there are no sites).									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 399 (382)</b> Licence condition 5.1								Compliance rating Not Rated	
<b>Licence:</b> Retail									
<i>Electricity Industry Metering Code clause 5.19(4)</i> A user that becomes aware that there is a sensitive load at a customer's site must immediately notify the network operator's Network Operations Control Centre of the fact.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents n/a									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No sensitive load exists (there are no customers).									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 401</b> Licence condition 5.1								Compliance rating Not Rated	
<b>Licence:</b> Retail									
<i>Electricity Industry Metering Code clause 5.19(6)</i> A user must use reasonable endeavours to ensure that it does not notify the network operator of a change in an attribute that results from the provision of standing data by the network operator to the user.									
<b>Observations</b>									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There were no changes in attributes in the audit period and no user advice. There are customers for standing data.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 407</b> Licence condition 5.1								Compliance rating Not Rated	
<b>Licence:</b> Retail									



<i>Electricity Industry Metering Code clause 5.21(5)</i>	
A Code participant must not request a test or audit unless the Code participant is a user and the test or audit relates to a time or times at which the user was the current user or the Code participant is the IMO.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There were no requests in the audit period (there are no meters to be tested and no customers).	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 408</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.21(6)</i>	
A Code participant must not make a test or audit request that is inconsistent with any access arrangement or agreement.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There were no requests in the audit period (there are no meters to be tested and no customers).	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 426</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 5.27</i>	
Upon request, a current user must provide the network operator with customer attribute information that it reasonably believes are missing or incorrect within the timeframes prescribed.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no requests as there are no customers.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	



<b>Item 433</b> Licence condition 5.1	Compliance rating Not Applicable
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 6.1(2)</i> A user must, in relation to a network on which it has an access contract, comply with the rules, procedures, agreements and criteria prescribed.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No access contracts have been entered into; there are no requests for access and accordingly there are no customers.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 435</b> Licence condition 5.1	Compliance rating Compliant 5
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 7.2(1)</i> Code participants must use reasonable endeavours to ensure that they can send and receive a notice by post, facsimile and electronic communication and must notify the network operator of a telephone number for voice communication in connection with the Code.	
<b>Observations</b>	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: n/a	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The requirement is satisfied as prospective users can be contacted by post, facsimile or electronic communication means.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 437</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 7.2(4)</i> A Code participant must notify its contact details to a network operator with whom it has entered into an access contract within 3 business days after the network operator's request.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There is no access contract and network operators have made no requests and there are no customers.	
<b>Issues</b>	
None	



<b>Recommendations</b>
None

<b>Item 438</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 7.2(5)</i> A Code participant must notify any affected network operator of any change to the contact details it notified to the network operator at least 3 business days before the change takes effect.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There is no access contract and network operators have made no requests and there are no customers.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 439</b> Licence condition 5.1	Compliance rating Not Applicable
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 7.5</i> A Code participant must not disclose, or permit the disclosure of, confidential information provided to it under or in connection with the Code and may only use or reproduce confidential information for the purpose for which it was disclosed or another purpose contemplated by the Code.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no customers to have any data (confidential or otherwise). The data systems have secure access.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 440</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 7.6(1)</i> A Code participant must disclose or permit the disclosure of confidential information that is required to be disclosed by the Code.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: Not applicable	



Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There is no information required to be disclosed.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 441</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 8.1(1)</i> Representatives of disputing parties must meet within 5 business days after a notice given by a disputing party to the other disputing parties and attempt to resolve the dispute under or in connection with the Electricity Industry Metering Code by negotiations in good faith.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents m/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no metering disputes in the audit period.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 442</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 8.1(2)</i> If a dispute is not resolved within 10 business days after the dispute is referred to representative negotiations, the disputing parties must refer the dispute to a senior management officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.	
<b>Observations</b>	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
<b>Evidence:</b> Senior Advisor, Consultant. Documents: n/a	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no metering disputes in the audit period.	
<b>Issues</b>	
None	
<b>Recommendations</b>	
None	

<b>Item 443</b> Licence condition 5.1	Compliance rating Not Rated
<b>Licence:</b> Retail	
<i>Electricity Industry Metering Code clause 8.1(3)</i> If the dispute is not resolved within 10 business days after the dispute is referred to senior management negotiations, the disputing parties must refer the dispute to the senior executive officer of each disputing party who must meet and attempt to resolve the dispute by negotiations	



in good faith.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no metering disputes in the audit period.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 444</b>						Compliance rating			
Licence condition 5.1						Not Rated			
<b>Licence:</b> Retail									
<i>Electricity Industry Metering Code clause 8.1(4)</i>									
If the dispute is resolved by representative negotiations, senior management negotiations or CEO negotiations, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no metering disputes in the audit period.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									

<b>Item 445</b>						Compliance rating			
Licence condition 5.1						Not Rated			
<b>Licence:</b> Retail									
<i>Electricity Industry Metering Code clause 8.3(2)</i>									
The disputing parties must at all times conduct themselves in a manner which is directed towards achieving the objective of dispute resolution with as little formality and technicality and with as much expedition as the requirements of Part 8 of the Code and a proper hearing and determination of the dispute, permit.									
<b>Observations</b>									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
<b>Evidence:</b> interviewed Senior Advisor, Consultant. Documents: n/a									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no metering disputes in the audit period.									
<b>Issues</b>									
None									
<b>Recommendations</b>									
None									