SYNERGY Electricity Retail Licence (ERL1) Performance Audit Report

November 2012







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1. PURPOSE

This document presents the findings emanating from the 2012 Electricity Retail Licence Audit that was carried out at the Electricity Retail Corporation t/a Synergy ("Synergy") by BDO Audit (WA) Pty Ltd ("BDO").

2. INTRODUCTION

A retail licence is required for the sale of electricity to customers under Part 2 of the Electricity Industry Act 2004 ("the Act").

The Economic Regulation Authority ("the Authority") granted the Electricity Retail Corporation (t/a Synergy) with an Electricity Retail Licence ("ERL") on 30 March 2006¹. This licence requires the Electricity Retail Corporation (herein after referred to as "Synergy") to act in accordance with the Electricity Industry Act 2004 ("the Act") and applicable regulations, codes and individual conditions contained within the licence.

Section 13 of the Act obliges Synergy to provide the Authority with a performance audit ("the Audit") conducted by an independent expert acceptable to the Authority on a periodic basis. BDO was approved by the Authority to undertake the performance audit for the period 1 July 2010 to 31 December 2011.

Performance audits are required to be undertaken in accordance with the Authority's *Audit Guidelines: Electricity, Gas, and Water Licenses August 2010.* Furthermore, in executing the audit, the auditor is required to consider Synergy's license obligations for retailing electricity as contained within the Authority's reference manual *"Electricity Compliance Reporting Manual May 2011"*.

3. SCOPE OF WORK

The legal entity that is the subject of this performance audit is Synergy. The period covered by the audit is 1 July 2010 to 31 December 2011. The authoritative legislation and regulations under which, and in accordance with which, this performance audit is required to be conducted are based on Section 13 of the Act. This states that "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 time period over which the audit was conducted was from March 2012 to August 2012 which included planning, fieldwork, reporting and the presentation of results to Synergy management and the Economic Regulation Authority.

Synergy's licence indicates that the required performance audit should encompass:

- The terms and conditions of the licence; and
- Any other relevant matter in connection with the applicable legislation that the Authority determines should form part of the performance audit.

The Authority's *Electricity Compliance Reporting Manual (May 2011)* makes provision for applicable legislation within relevant sections, citing the following regulations and codes:

¹ The retail licence was originally granted to Western Power Corporation on 30 March 2006 and transferred to Synergy on its establishment on 1 April 2006.



<u>Act</u>

• Electricity Industry Act 2004: Licence Conditions and Obligations (Section 12)

Regulations

- Electricity Industry (Obligation to Connect) Regulations 2005 (Section 10)
- Electricity Industry (Customer Contracts) Regulations 2005 (Section 11)

<u>Codes</u>

- Electricity Industry Customer Transfer Code 2004 (Section 9)
- Code of Conduct for the Supply of Electricity to Small Use Customers (Section 14)
- Electricity Industry Metering Code 2005 (Section 15)

Licence

• Electricity Retail Licence 1 (Section 13 and 17)

Performance reporting

• Reporting information - retail licensees (Section 18.2)

BDO's approach to planning and executing the audit was based on Australian/New Zealand Standard 4360:2004, since superseded by ASNZS/ISO 3100:2009 "Risk Management - Principles and Guidelines".

4. AUDIT OBJECTIVES

The purpose of this performance audit was to assess the effectiveness of measures taken by Synergy to meet the obligations of the performance and quality standards specified in its ERL, along with related legislation and regulations, including:

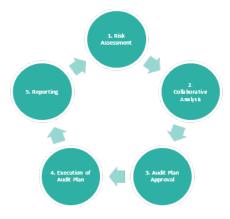
- Process compliance the effectiveness of systems and procedures in place throughout the audit period, including the adequacy of internal controls.
- Outcome compliance the actual performance against standards prescribed in the licence throughout the audit period.
- Output compliance the existence of the output from systems as prescribed in the licence throughout the audit period, i.e. to determine whether proper records exist which are sufficient to provide assurance that procedures are being consistently followed and controls are being maintained.
- Integrity of performance reporting the completeness and accuracy of the performance reporting to the Authority.
- Compliance with any individual licence conditions the requirements imposed on the specific licensee, or specific issues to be followed up that are advised by the Authority.
- Compliance attitude, including management attitudes, governance frameworks and Board oversight



5. APPROACH

The Audit required an assessment of Synergy's compliance with the requirements of its retail licence and related regulations. To this end, BDO executed the Audit using standard methodology (AS/NZS/ISO Standard 31000) as approved by the Authority within the *Audit Guidelines: Electricity, Gas and Water Licences* ("the Guidelines") - August 2010. The audit was also be conducted with reference to ASAE 3500 "Performance Engagements", and in consultation with the Authority where required

The diagram below depicts the approach adopted by BDO in undertaking the performance audit:



5.1 Risk Assessment

This stage involved the review of Synergy's risk and control ratings and reconciliation to the Authority's Audit Guidelines risk methodology.

BDO developed a compliance risk matrix, which encompasses the current ratings listed within the Synergy Compliance Register. BDO then reconciled the inherent risk ratings listed in that Compliance Register to the Authority risk methodology ratings to determine whether the outcomes matched.

5.2 Collaborative Analysis

Following the initial assessment, risks were reviewed with stakeholders to determine their knowledge and opinions concerning applicable risks, and to understand their attitude to compliance. One aim was to determine whether or not a 'compliance culture' was in evidence.

Ratings were independently reviewed and queries noted for further discussion with management; this stage consisted of risk workshops and consultation with key staff members.

BDO presented the risk assessment based on information obtained from Synergy and classified in accordance with the methodology explained above to determine the following:

- Comparison of 2010 2012 risk ratings and any changes in risk profiles.
- Identify key staff and contacts for the duration of the fieldwork.
- Attitude to compliance and frequency of risk and control reviews.



This also provided BDO with an opportunity to review processes in order to identify any areas for improvement. It is necessary that this should occur prior to undertaking our testing procedures, and is in accordance with the Audit Guidelines.

Along with the risk and control analysis, meetings were held with relevant members of management to determine progress made since the previous Audit to resolve any issues that were raised, and to review the activities undertaken to promote compliance and risk awareness. The attitude to compliance and risk was also observed during workshops and will be reviewed during subsequent testing.

Test programmes were developed based on audit priority, which was determined from the outcome of the risk and control assessment.

5.3 Audit Plan Approval

Following the completion of the risk workshops and supporting activities, each obligation was reviewed and risk prioritised according to its inherent risk rating using the Authority's methodology. The relevant management team members were asked to confirm the applicable risk and control ratings prior to completion of the plan. The outcome of this is tabled below.

Risk Rating	Original Risk Ranking Per Risk Workshops
High	27
Medium	82
Low	172
Not Applicable*	6
Duplicate obligations	221, 222, 227, 238

Table 7: Risk Rankings

* Refers to obligations which are not applicable to Synergy as a retailer, Synergy has withdrawn the product / service in question, obligation not defined in the Code of Conduct, etc.

Further review of the plan noted the duplication of four obligations within the Manual; Type 1 obligations applicable to Synergy were listed in the Manual as 221, 222, 227 and 238 but should be renumbered 235, 236, 251 and 252 in the Manual.



The obligation numbers which were referenced as Type 1 had been applied to different Type 2 obligations. Four duplicate obligations have since been removed from the Type 2 obligations and the Type 1 obligations have been re-referenced correctly.

There are four non-applicable obligations. These are explained below:

Manual	Licence	Regulation	Obligation	Reason for non-application
Ref	Condition		genen	
107	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Act section 41(6)	A licensee must pay the costs of taking an interest in land or an easement over land.	Synergy does not have any interest in land or an easement over land.
152	Electricity Industry Act section 82	Code of Conduct clause 2.7(5) Integrated Regional Licence condition 23.1 Retail Licence condition 23.1	An electricity marketing agent must comply with a notice on or near premises indicating that the customer does not wish to receive unsolicited mail or other marketing information.	Synergy does not visit premises unsolicited.
304	Electricity Industry Act section 82	Code of Conduct clause 13.3(2)	A retailer must keep a copy of each complaint referred to in clause 13.3(1) (including complaints made directly to a retailer).	The obligation as described does not exist in the Code of Conduct.
372	Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1	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.	Synergy does not undertake the installation of meters.



As part of the audit process, BDO met with the Authority who explained that they would like certain breaches and risks investigated thoroughly. This followed notifications received by the Authority from independent parties. Details of these notifications were not provided to BDO or Synergy. As a consequence of this, the inherent risk ratings of applicable obligations were revised from either low or medium inherent risk to high inherent risk.

We note that, concerning Compliance Manual Obligation 164 and 165, the service product ("EvenPay") associated with these obligations was discontinued by Synergy in October 2011. This notwithstanding, the Authority requires it to be examined because a Section 32 breach notice had been issued in respect of Compliance Manual Obligation 165. As a result, these obligations have been re-rated from being "not applicable" to a "high inherent risk".

Similarly, concerning Obligation 361, although this is not applicable and the issue has been raised with the Public Utilities Office (formerly the Office of Energy) and the Authority, the Authority has advised that comments regarding the issue will be assessed for validity. As such, the obligation remains within the Plan and has been prioritised accordingly.

The revised risk rankings are summarised in the table below.

Risk Rating	Revised Risk Ranking per feedback
	from the Authority
High	55
Medium	67
Low	162
Not Applicable	4

Table 8: Revised Risk Rankings

The final Audit Plan was approved by the Authority on 18th April 2012.



5.4 Execution of the Audit Plan

This stage involved the testing of risk and control ratings developed during the Collaborative Analysis workshops. The execution stage comprises a singular audit priority assessment of each obligation.

Testing took the form of interviews, walk throughs, observation and discussion, and substantive testing within requisite areas, in accordance with our sample test population below.

BDO's sampling methodology is aligned to best practice adopted by the internal audit profession. We have adopted this sampling methodology for this ERL1 engagement. The methodology has been presented and discussed with the Authority who has deemed it to be acceptable.

Audit Priority	Sample Size
1	30
2	20
3	10
4	5
5	1

The Authority's guidelines indicate that compliance with applicable obligations may be reported using the following structure:

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 of 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
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6. CULTURE OF COMPLIANCE

Through the risk workshops and reaffirmed through our detailed fieldwork procedures, we have noted that both Synergy management and staff have a positive, proactive culture and attitude towards compliance. Management has designed and implemented processes, controls and systems to ensure compliance with licence obligations. All staff members have undergone extensive training to ensure they fully understand obligations that impact their immediate work functions. Refresher training programs are carried out at regular intervals.

The SAP business application is fully embedded into the organisation; staff members are now familiar with the business process requirements and protocols that were established as part of the SAP rollout. This increased level of competence, together with the intensive training regime has been a catalyst in improving Synergy's overall level of compliance with licence conditions.

7. AUDIT TEAM MEMBERS AND TIME UNDERTAKEN TO COMPLETE AUDIT

Audit Members	Hours
Jeeva Maistry, Director	115
Laura McNama, Manager	95
Lih Ling Ma, Manager	30
Jonathan Tukimin, Advisor	354
Daniel Tan, Advisor	326
Prakash Premkumar, Advisor	326
TOTAL	1,246



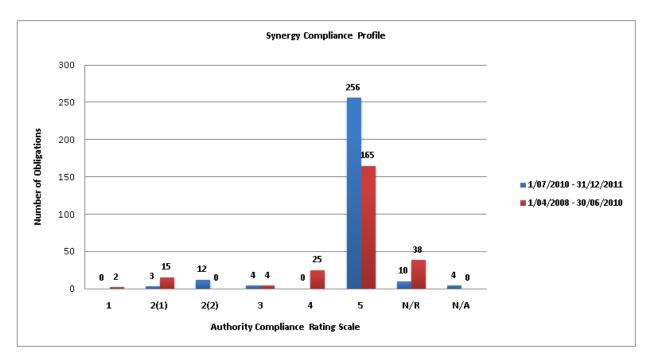
8. COMPLIANCE SUMMARY

The performance audit covers Synergy's electricity retail licence, ERL1, for the period 1 July 2010 to 31 December 2011 and tested a total of 288 licence obligations. The following graph illustrates the Synergy's compliance profile.

The 2010/11 Performance Audit report rated licence conditions 133, 164, 165, 167, 179, 195 and 324 as non-compliant (rating 2). As the relevant processes were not identified as non-compliant and subsequently corrected until part way through the audit period, this audit report is required to retain the non-compliant rating. During the period July 2010 to December 2011, Synergy addressed the causes of these non-compliances by implementing remedial actions. This audit focussed on testing the controls and processes since the implementation of those remedial actions and determined that no further recommendation or action plan is required to address the past non-compliance.

For the purpose of the current audit, compliance rating 2 has been split into two categories:

- Category 1 Compliance rating 2 requiring corrective action.
- Category 2 Compliance rating 2 not requiring corrective action.



While 288 obligations were tested in total, the above graph shows 289 obligations. The reason for the variance is due to obligation 167 being split into category 2(1) and 2(2).



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Rating					
						1	2	3	4	5	N / R
235	Code of Conduct Clause 7.6	Moderate	Likely	High	Strong					~	
236	Code of Conduct Clause 7.7(1)	Major	Probable	High	Strong					~	
251	Code of Conduct Clause 9.6(1)	Major	Unlikely	High	Moderate					~	
252	Code of Conduct Clause 9.6(2)	Major	Unlikely	High	Moderate					~	
6	Electricity Industry Customer Transfer Code clause 3.2(2)	Minor	Probable	Low	Strong					~	
7	Electricity Industry Customer Transfer Code clause 3.4 (1)	Minor	Unlikely	Low	Strong		*				
8	Electricity Industry Customer Transfer Code clause 3.5 (3)	Minor	Likely	Medium	Strong					~	
9	Electricity Industry Customer Transfer Code clause 3.6 (2)	Minor	Likely	Medium	Strong					>	
16	Electricity Industry Customer Transfer Code clause 3.9 (1)	Minor	Probable	Low	Strong					~	
17	Electricity Industry Customer Transfer Code clause 3.9(2)	Minor	Probable	Low	Strong					~	



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Compliance Rating					Compliance Rating				
						1	2	3	4	5	N / R					
18	Electricity Industry Customer Transfer Code clause 3.9 (3)	Minor	Unlikely	Low	Strong					~						
19	Electricity Industry Customer Transfer Code clause 3.9 (4)	Minor	Unlikely	Low	Strong					~						
23	Electricity Industry Customer Transfer Code clause 4.2 (2)	Minor	Probable	Low	Strong					<						
24	Electricity Industry Customer Transfer Code clause 4.3	Minor	Probable	Low	Strong					K						
25	Electricity Industry Customer Transfer Code clause 4.4 (1)	Minor	Probable	Low	Strong					*						
26	Electricity Industry Customer Transfer Code clause 4.4 (2)	Minor	Unlikely	Low	Strong					*						
27	Electricity Industry Customer Transfer Code clause 4.5 (1)	Minor	Unlikely	Low	Strong					K						
28	Electricity Industry Customer Transfer Code clause 4.6 (3)	Minor	Probable	Low	Strong					~						
29	Electricity Industry Customer Transfer Code clause 4.7.	Minor	Unlikely	Low	Strong					~						



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak			nce Rating					
						1	2	3	4	5	N / R		
30	Electricity Industry Customer Transfer Code clause 4.8(2)	Minor	Probable	Low	Strong					~			
34	Electricity Industry Customer Transfer Code clause 4.9 (6)	Minor	Probable	Low	Strong					~			
39	Electricity Industry Customer Transfer Code clause 4.11 (3)	Minor	Likely	Medium	Moderate					<			
40	Electricity Industry Customer Transfer Code clause 4.12 (3)	Minor	Probable	Low	Strong					<			
43	Electricity Industry Customer Transfer Code clause 4.15	Minor	Unlikely	Low	Strong					<			
44	Electricity Industry Customer Transfer Code clause 4.16	Minor	Probable	Low	Strong					<			
45	Electricity Industry Customer Transfer Code clause 4.17	Minor	Probable	Low	Strong					~			
48	Electricity Industry Customer Transfer Code clause 5.1 (4)	Minor	Unlikely	Low	Strong					~			
49	Electricity Industry Customer Transfer Code clause 6.2	Minor	Unlikely	Low	Strong					~			



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Rating					
						1	2	3	4	5	N / R
52	Electricity Industry Customer Transfer Code clause 6.4 (1)	Minor	Unlikely	Low	Strong					~	
53	Electricity Industry Customer Transfer Code clause 6.4 (2)	Minor	Unlikely	Low	Strong					~	
54	Electricity Industry Customer Transfer Code clause 6.6	Minor	Unlikely	Low	Strong					>	
55	Electricity Industry Customer Transfer Code clause 7.1 (1)	Minor	Unlikely	Low	Strong					>	
56	Electricity Industry Customer Transfer Code clause 7.1 (2)	Minor	Unlikely	Low	Strong					>	
57	Electricity Industry Customer Transfer Code clause 7.1 (3)	Minor	Unlikely	Low	Strong					>	
58	Electricity Industry Customer Transfer Code clause 7.2 (4)	Minor	Unlikely	Low	Strong					~	
59	Electricity Industry Customer Transfer Code clause 7.3 (2)	Minor	Unlikely	Low	Strong					~	
68	Electricity Industry Customer Transfer Code Annex 6 clause A6.2 (a)	Minor	Unlikely	Low	Strong			~			



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	pliano	ce Ra	ting	
						1	2	3	4	5	N / R
69	Electricity Industry Customer Transfer Code Annex 6 clause A6.2 (b)	Minor	Unlikely	Low	Strong					~	
70	Electricity Industry Customer Transfer Code Annex 6 clause A6.6	Minor	Unlikely	Low	Strong					~	
71	Electricity Industry Customer Transfer Code Annex 6 clause A6.7	Minor	Unlikely	Low	Strong					>	
78	Electricity Industry Act section 51 Electricity Industry (Customer Contracts) Regulations 2005	Minor	Unlikely	Low	Strong					~	
79	Electricity Industry (Customer Contracts) Regulations 2005 regulation 5	Minor	Unlikely	Low	Strong					~	
80	Electricity Industry (Customer Contracts) Regulations 2005 regulation 6	Minor	Unlikely	Low	Strong					~	
81	Electricity Industry (Customer Contracts) Regulations 2005 regulation 7	Moderate	Unlikely	Low	Strong					~	



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	oliano	ce Ra	ting	
						1	2	3	4	5	N / R
82	Electricity Industry (Customer Contracts) Regulations 2005 regulation 8	Minor	Unlikely	Low	Strong					~	K
83	Electricity Industry (Customer Contracts) Regulations 2005 regulation 9	Moderate	Unlikely	Low	Strong					~	
84	Electricity Industry (Customer Contracts) Regulations 2005 regulation 10	Minor	Unlikely	Low	Strong					~	
85	Electricity Industry (Customer Contracts) Regulations 2005 regulation 11	Moderate	Probable	Medium	Strong					•	
86	Electricity Industry (Customer Contracts) Regulations 2005 regulation 12	Minor	Unlikely	Low	Strong					~	
87	Electricity Industry (Customer Contracts) Regulations 2005 regulation 13	Minor	Probable	Low	Strong					~	
88	Electricity Industry (Customer Contracts) Regulations 2005 regulation 14	Moderate	Probable	Medium	Moderate					~	



ERA Manual Reference Number	Operating License Obligation		Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	oliano	ce Ra	ting		
						1	2	3	4	5	N / R
89	Electricity Industry (Customer Contracts) Regulations 2005 regulation 15	Moderate	Probable	Medium	Strong					~	
90	Electricity Industry (Customer Contracts) Regulations 2005 regulation 16 and 34	Moderate	Unlikely	Low	Strong					~	
91	Electricity Industry (Customer Contracts) Regulations 2005 regulation 17	Moderate	Unlikely	Low	Strong					~	
92	Electricity Industry (Customer Contracts) Regulations 2005 regulation 18	Minor	Unlikely	Low	Strong					~	
93	Electricity Industry (Customer Contracts) Regulations 2005 regulation 19	Minor	Unlikely	Low	Strong					~	
94	Electricity Industry (Customer Contracts) Regulations 2005 regulation 20	Minor	Unlikely	Low	Strong					~	
95	Electricity Industry (Customer Contracts) Regulations 2005 regulation 21	Minor	Probable	Low	Strong					~	



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Rati								
						1	2	3	4	5	N / R			
96	Electricity Industry (Customer Contracts) Regulations 2005 regulation 32	Minor	Probable	Low	Strong					~	ĸ			
97	Electricity Industry (Customer Contracts) Regulations 2005 regulation 33.2	Minor	Probable	Low	Strong					~				
98	Electricity Industry (Customer Contracts) Regulations 2005 regulation 33(3) and (4)	Minor	Unlikely	Low	Strong					~				
100	Electricity Industry (Customer Contracts) Regulations 2005 regulation 38	Minor	Likely	Medium	Strong					~				
101	Electricity Industry Act section 13(1)	Minor	Unlikely	Low	Strong					~				
105	Electricity Industry Act section 17 (1)	Minor	Unlikely	Low	Strong					~				
106	Electricity Industry Act section 31(3)	Minor	Unlikely	Low	Strong					~				
107	Electricity Industry Act section 41(6)	NA	NA	NA	NA			N/	A					



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Ratin					
						1	2	3	4	5	N / R
108	Electricity Industry Act section 54(1)	Minor	Unlikely	Low	Strong					~	K
109	Electricity Industry Act section 54(2)	Minor	Unlikely	Low	Strong					~	
110	Electricity Industry Act section 76	Minor	Unlikely	Low	Strong					~	
111	Electricity Industry Act section 101	Minor	Unlikely	Low	Strong					~	
113	Electricity Industry Act section 115(2)	Minor	Unlikely	Low	Strong					~	
114	Retail Licence condition 23.1	Minor	Probable	Low	Moderate					>	
115	Retail Licence condition 23.2	Minor	Unlikely	Low	Strong					>	
116	Retail Licence condition 24.2	Minor	Unlikely	Low	Strong					>	
117	Retail Licence condition 24.3	Minor	Unlikely	Low	Strong					•	
118	Retail Licence condition 25.1	Minor	Unlikely	Low	Strong					•	
119	Retail Licence condition 12.1	Minor	Unlikely	Low	Strong			~			
120	Retail Licence condition 13.4	Minor	Unlikely	Low	Strong					•	
121	Retail Licence condition 14.2	Minor	Unlikely	Low	Strong					•	
123	Retail Licence condition 15.1	Minor	Unlikely	Low	Strong					~	
124	Retail Licence condition 16.1	Minor	Unlikely	Low	Strong		*				



ERA Manual Reference Number	License Obligation Major Moderate		r Likely High erate Probable Mediu		Adequacy of existing controls Strong Moderate Weak		Com	oliano	e Ra	ting	
						1	2	3	4	5	N / R
125	Retail Licence condition 17.1 and 17.2	Minor	Unlikely	Low	Strong					~	
126	Retail Licence condition 18.1	Minor	Unlikely	Low	Strong					>	
127	Code of Conduct clause 2.1 Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
128	Code of Conduct clause 2.2 Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					>	
129	Code of Conduct clause 2.3(1) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					>	
130	Code of Conduct clause 2.3(2) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					>	
131	Code of Conduct clause 2.3(3) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
132	Code of Conduct clause 2.4(1) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
133	Code of Conduct clause 2.4(2) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong		∨ *				
134	Code of Conduct clause 2.4(3) Retail Licence condition 23.1	Moderate	Likely	Medium	Strong					~	



ERA Manual Reference Number	Operating License Obligation	e Risk of existing					Com	oliano	ce Ra	ting	
						1	2	3	4	5	N / R
135	Code of Conduct clause 2.4(4) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
136	Code of Conduct clause 2.5(1) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
137	Code of Conduct clause 2.5(2) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					•	
138	Code of Conduct clause 2.5(3) Retail Licence condition 23.1	Moderate	Likely	Medium	Strong					~	
139	Code of Conduct clause 2.5(4) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
140	Code of Conduct clause 2.5(5) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
141	Code of Conduct clause 2.6(1) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					>	
142	Code of Conduct clause 2.6(2) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
143	Code of Conduct clause 2.6(3) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Ratin				ting	
						1	2	3	4	5	N / R
144	Code of Conduct clause 2.6(4) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
145	Code of Conduct clause 2.6(5) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
146	Code of Conduct clause 2.6(6) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
147	Code of Conduct clause 2.6(7) and 2.6(8) Retail Licence condition 23.1	Minor	Probable	Low	Strong					•	
148	Code of Conduct clause 2.7(1) Retail Licence condition 23.1	Minor	Probable	Low	Strong					~	
149	Code of Conduct clause 2.7(2) Retail Licence condition 23.1	Minor	Probable	Low	Strong					>	
150	Code of Conduct clause 2.7(3) Retail Licence condition 23.1	Minor	Probable	Low	Strong					>	
151	Code of Conduct clause 2.7(4) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~	
152	Code of Conduct clause 2.7(5) Retail Licence condition 23.1	NA	NA	NA	NA			N/	A		



Manual L	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	ce Ra	e Rating					
						1	2	3	4	5	N / R			
153	Code of Conduct clause 2.8 Retail Licence condition 23.1	Moderate	Likely	Medium	Strong		*							
154	Code of Conduct clause 2.11(1) Retail Licence condition 23.1	Minor	Likely	Medium	Strong					~				
155	Code of Conduct clause 2.11(2) Retail Licence condition 23.1	Minor	Unlikely	Low	Strong					~				
156	Code of Conduct clause 3.1(1)	Minor	Unlikely	Low	Strong					~				
157	Code of Conduct clause 3.1(2)	Minor	Unlikely	Low	Strong					>				
158	Code of Conduct clause 4.1	Moderate	Probable	Medium	Strong		>							
159	Code of Conduct clause 4.2(2)	Minor	Unlikely	Low	Strong						•			
160	Code of Conduct clause 4.2(3)	Minor	Unlikely	Low	Strong						•			
161	Code of Conduct clause 4.2(4)	Minor	Unlikely	Low	Strong						>			
162	Code of Conduct clause 4.2(5)	Minor	Unlikely	Low	Strong						•			
163	Code of Conduct clause 4.2(6)	Minor	Unlikely	Low	Strong						•			
164	Code of Conduct clause 4.3(1)	NA	NA	NA	NA		*							
165	Code of Conduct clause 4.3(2)	NA	NA	NA	NA		*							



Manual Li	License Risk Obligation Major Likely High Moderate Probable Med	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	oliano	ce Ra	ting			
						1	2	3	4	5	N / R
166	Code of Conduct clause 4.4	Minor	Probable	Low	Strong					•	
167	Code of Conduct clause 4.5(1)	Minor	Likely	Medium	Strong		*				
168	Code of Conduct clause 4.5(3)	Minor	Probable	Low	Strong					>	
169	Code of Conduct clause 4.6(1)	Moderate	Probable	Medium	Strong					<	
170	Code of Conduct clause 4.6(2)	Moderate	Unlikely	Low	Strong					>	
171	Code of Conduct clause 4.7	Moderate	Probable	Medium	Strong					>	
172	Code of Conduct clause 4.8(1)	Moderate	Probable	Medium	Strong					~	
173	Code of Conduct clause 4.8(2)	Minor	Likely	Medium	Strong					~	
174	Code of Conduct clause 4.8(3)	Minor	Likely	Medium	Strong					~	
175	Code of Conduct clause 4.9	Moderate	Probable	Medium	Strong					~	
176	Code of Conduct clause 4.10	Moderate	Probable	Medium	Strong					>	
177	Code of Conduct clause 4.11(1)	Moderate	Probable	Medium	Strong					•	
178	Code of Conduct clause 4.11(2)	Moderate	Probable	Medium	Strong					>	
179	Code of Conduct clause 4.12(1)	Moderate	Probable	Medium	Strong		*				



Manual Li	al License ence Obligation	Moderate	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	pliand	ce Ra	ting	
						1	2	3	4	5	N / R
180	Code of Conduct clause 4.13	Moderate	Unlikely	Medium	Strong					•	
181	Code of Conduct clause 4.14(1)	Moderate	Probable	Medium	Strong					>	
182	Code of Conduct clause 4.14(2)	Moderate	Probable	Medium	Strong					>	
183	Code of Conduct clause 4.15(1)	Moderate	Probable	Medium	Strong					K	
184	Code of Conduct clause 4.15(2)	Moderate	Probable	Medium	Strong					>	
185	Code of Conduct clause 4.16	Moderate	Probable	Medium	Moderate					~	
186	Code of Conduct clause 4.17(1)	Moderate	Probable	Medium	Strong					~	
187	Code of Conduct clause 4.17(2)	Moderate	Probable	Medium	Moderate		> *				
188	Code of Conduct clause 4.18(2)	Moderate	Probable	Medium	Strong					~	
189	Code of Conduct clause 4.19(2)	Moderate	Probable	Medium	Strong					~	
190	Code of Conduct clause 4.19(3)	Moderate	Probable	Medium	Strong					>	
191	Code of Conduct clause 4.19(4)	Moderate	Probable	Medium	Strong					•	
192	Code of Conduct clause 5.1	Minor	Unlikely	Low	Strong					•	
193	Code of Conduct clause 5.2(1)	Minor	Probable	Low	Strong					~	



Manual Lice	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Rating								
						1	2	3	4	5	N / R			
194	Code of Conduct clause 5.2(2)	Minor	Unlikely	Low	Strong			•						
195	Code of Conduct clause 5.3	Moderate	Likely	Medium	Strong		*							
196	Code of Conduct clause 5.4	Minor	Unlikely	Low	Strong					>				
197	Code of Conduct clause 5.5	Minor	Probable	Low	Strong					>				
198	Code of Conduct clause 5.6(1)	Minor	Likely	Medium	Moderate					>				
199	Code of Conduct clause 5.6(2)	Moderate	Probable	Medium	Strong					<				
200	Code of Conduct clause 5.6(3)	Moderate	Probable	Medium	Strong					<				
201	Code of Conduct clause 5.6(4)	Minor	Likely	Medium	Strong					>				
202	Code of Conduct clause 5.7(1)	Minor	Likely	Medium	Strong					>				
203	Code of Conduct clause 5.7(2)	Minor	Likely	Medium	Strong					>				
204	Code of Conduct clause 5.7(4)	Minor	Likely	Medium	Strong					>				
205	Code of Conduct clause 5.8(1)	Minor	Probable	Low	Strong			>						
206	Code of Conduct clause 5.8(2)	Minor	Probable	Low	Strong					>				
207	Code of Conduct clause 5.8(3)	Minor	Probable	Low	Strong					>				



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	pliand	ce Ra	ting	
					1	2	3	4	5	N / R	
208	Code of Conduct clause 6.1(1)	Moderate	Likely	High	Strong					~	
209	Code of Conduct clause 6.1(2)	Minor	Likely	Medium	Strong					•	
210	Code of Conduct clause 6.1(3)	Minor	Probable	Low	Strong					>	
211	Code of Conduct clause 6.2(1)	Minor	Probable	Low	Strong					>	
212	Code of Conduct clause 6.2(2)	Minor	Probable	Low	Strong					>	
213	Code of Conduct clause 6.2(3)	Minor	Probable	Low	Strong					~	
214	Code of Conduct clause 6.3	Minor	Likely	Medium	Strong					~	
215	Code of Conduct clause 6.4(1)	Minor	Likely	Medium	Strong					>	
216	Code of Conduct clause 6.4(2)	Minor	Likely	Medium	Strong					~	
217	Code of Conduct clause 6.6(1)	Moderate	Probable	Medium	Strong					~	
218	Code of Conduct clause 6.6(2)	Minor	Likely	Medium	Strong					>	
219	Code of Conduct clause 6.7	Minor	Likely	Medium	Strong					>	
220	Code of Conduct clause 6.8	Minor	Likely	Medium	Strong					>	
221	Code of Conduct clause 6.9(1)	Minor	Likely	Medium	Strong					~	



ERA Manual Reference Number	Operating License Obligation	License	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Risk of existing controls High Strong Medium Moderate			Compliance Rating						
						1	2	3	4	5	N / R			
222	Code of Conduct clause 6.9(2)	Minor	Unlikely	Low	Strong					~				
223	Code of Conduct clause 6.10(1)	Minor	Unlikely	Low	Strong					>				
224	Code of Conduct clause 6.10(2)	Moderate	Probable	Medium	Strong					>				
225	Code of Conduct clause 6.10(3)	Minor	Probable	Low	Strong					>				
226	Code of Conduct clause 6.10(4)	Minor	Probable	Low	Strong					<				
227	Code of Conduct clause 6.10(5)	Minor	Probable	Low	Strong					>				
228	Code of Conduct clause 6.10(7)	Minor	Probable	Low	Strong					~				
229	Code of Conduct clause 6.11	Moderate	Likely	High	Strong					~				
230	Code of Conduct clause 7.1	Moderate	Likely	High	Strong					>				
231	Code of Conduct clause 7.2	Moderate	Likely	High	Strong					~				
232	Code of Conduct clause 7.3	Minor	Unlikely	Low	Strong					~				
233	Code of Conduct clause 7.4	Minor	Probable	Low	Strong					•				
238	Code of Conduct clause 8.1(1)	Minor	Likely	Medium	Strong					•				
239	Code of Conduct clause 8.1(2)	Minor	Likely	Medium	Strong					>				



ERA Manual Reference Number	Operating License Obligation	License	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	oliano	ce Ra	ting	
						1	2	3	4	5	N / R
243	Code of Conduct clause 9.2(2)	Minor	Unlikely	Low	Moderate					~	
244	Code of Conduct clause 9.3(1)	Minor	Unlikely	Low	Moderate					>	
245	Code of Conduct clause 9.3(2)	Minor	Unlikely	Low	Moderate					<	
246	Code of Conduct clause 9.3(3)	Minor	Unlikely	Low	Strong					>	
247	Code of Conduct clause 9.4	Major	Probable	High	Strong					~	
248	Code of Conduct clause 9.5(1), (2), (3)	Minor	Unlikely	Low	Moderate						~
250	Code of Conduct clause 9.5(5)	Minor	Unlikely	Low	Moderate						>
254	Code of Conduct clause 9.7	Minor	Probable	Low	Strong					~	
255	Code of Conduct clause 9.8	Moderate	Probable	Medium	Strong					>	
256	Code of Conduct clause 9.9	Minor	Likely	Medium	Weak					>	
257	Code of Conduct clause 9.10(1)	Minor	Unlikely	Low	Moderate					>	
259	Code of Conduct clause 9.10(4)	Minor	Unlikely	Low	Moderate					>	
260	Code of Conduct clause 9.11(1)	Moderate	Unlikely	Medium	Strong					•	
261	Code of Conduct clause 9.11(2), (7)	Moderate	Unlikely	Medium	Moderate					~	



ERA Manual Reference Number	Operating License Obligation	cense	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	igh Strong edium Moderate		Com	pliand	ce Ra	ting	
						1	2	3	4	5	N / R
262	Code of Conduct clause 9.11(3)	Moderate	Unlikely	Medium	Moderate					>	
263	Code of Conduct clause 9.11(4)	Moderate	Unlikely	Medium	Moderate					~	
264	Code of Conduct clause 9.11(6)	Moderate	Unlikely	Medium	Moderate					>	
265	Code of Conduct clause 9.12	Moderate	Unlikely	Medium	Strong					<	
266	Code of Conduct clause 9.13(1)	Moderate	Unlikely	Medium	Strong					>	
267	Code of Conduct clause 9.13(2), (3)	Moderate	Unlikely	Medium	Strong					<	
268	Code of Conduct clause 9.14(2), (3)	Minor	Unlikely	Low	Moderate						>
269	Code of Conduct clause 10.1(1)	Moderate	Unlikely	Medium	Strong					>	
270	Code of Conduct clause 10.1(2)	Minor	Probable	Low	Strong					>	
271	Code of Conduct clause 10.1(3)	Minor	Probable	Low	Strong					>	
272	Code of Conduct clause 10.2(1)	Minor	Unlikely	Low	Strong					>	
273	Code of Conduct clause 10.2(2)	Minor	Unlikely	Low	Strong					•	
274	Code of Conduct clause 10.2(3)	Minor	Unlikely	Low	Strong					>	
275	Code of Conduct clause 10.2(4)	Minor	Unlikely	Low	Strong					>	



Manual License	Operating License Obligation	ense	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	oliano	ce Ra	ting	
						1	2	3	4	5	N / R
276	Code of Conduct clause 10.3	Minor	Probable	Low	Strong					>	
277	Code of Conduct clause 10.3A	Minor	Unlikely	Low	Strong					~	
278	Code of Conduct clause 10.4	Minor	Likely	Medium	Strong					>	
279	Code of Conduct clause 10.5	Minor	Probable	Low	Strong					~	
287	Code of Conduct clause 10.9	Minor	Likely	Medium	Strong					~	
288	Code of Conduct clause 10.10(1)	Minor	Probable	Low	Strong					<	
289	Code of Conduct clause 10.10(2)	Minor	Likely	Medium	Strong					>	
290	Code of Conduct clause 10.10(3)	Minor	Unlikely	Low	Strong					>	
291	Code of Conduct clause 10.11(1)	Moderate	Probable	Medium	Strong					<	
292	Code of Conduct clause 10.11(2)	Moderate	Probable	Medium	Strong					>	
294	Code of Conduct clause 10.12(2)	Minor	Probable	Low	Strong					•	
295	Code of Conduct clause 12.1(1)	Moderate	Unlikely	Low	Strong					•	
296	Code of Conduct clause 12.1(2)	Moderate	Likely	Medium	Strong		*				
297	Code of Conduct clause 12.1(3)	Minor	Likely	Medium	Strong					>	



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	d Inherent Risk High Medium Low	Risk of existing controls High Strong Medium Moderate		Com	oliano	ce Ra	ting	
						1	2	3	4	5	N / R
298	Code of Conduct clause 12.2	Minor	Likely	Medium	Strong					~	
299	Code of Conduct clause 12.3	Minor	Probable	Low	Strong					~	
300	Code of Conduct clause 12.4	Minor	Probable	Medium	Strong					~	
301	Code of Conduct clause 13.1	Minor	Unlikely	Low	Strong					~	
302	Code of Conduct clause 13.2	Minor	Probable	Low	Strong					~	
303	Code of Conduct clause 13.3(1)	Minor	Probable	Low	Strong					>	
304	Code of Conduct clause 13.3(2)	NA	NA	NA	NA			N	Ą		
305	Code of Conduct clause 13.4	Minor	Likely	Medium	Strong					>	
306	Code of Conduct clause 13.5	Minor	Probable	Low	Strong					>	
307	Code of Conduct clause 13.6	Major	Unlikely	High	Strong					>	
308	Code of Conduct clause 13.7	Minor	Unlikely	Low	Moderate					•	
318	Code of Conduct clause 13.15(1)	Minor	Unlikely	Low	Strong					•	
319	Code of Conduct clause 13.15(3)	Minor	Unlikely	Low	Strong		~				
320	Code of Conduct clause 14.1(1)	Minor	Probable	Low	Strong					>	



ERA Manual Reference Number	Operating License Obligation	License	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak	Compliance Rating							
						1	2	3	4	5	N / R		
322	Code of Conduct clause 14.2(1)	Minor	Probable	Low	Strong					>			
324	Code of Conduct clause 14.3(1)	Minor	Likely	Medium	Strong		*						
325	Code of Conduct clause 14.3(2)	Minor	Probable	Low	Strong					K			
328	Code of Conduct clause 14.6(1)	Minor	Unlikely	Low	Strong					•			
349	Electricity Industry Metering Code clause 3.16(3)	Major	Probable	High	Strong					~			
361	Electricity Industry Metering Code clause 3.16(5)	Minor	Unlikely	Low	Strong					>			
363	Electricity Industry Metering Code clause 3.18(1)	Minor	Unlikely	Low	Strong					>			
372	Electricity Industry Metering Code clause 3.27	NA	NA	NA	NA			N	4				
379	Electricity Industry Metering Code clause 4.4(1)	Moderate	Likely	High	Strong					~			
380	Electricity Industry Metering Code clause 4.5(1)	Moderate	Likely	High	Strong					~			
381	Electricity Industry Metering Code clause 4.5(2)	Moderate	Likely	High	Strong					~			
393	Electricity Industry Metering Code clause 5.4(2)	Moderate	Likely	High	Strong					~			



ERA Manual Reference Number	Operating License Obligation	License	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	of existing controls Strong	Compliance Rating							
						1	2	3	4	5	N / R		
395	Electricity Industry Metering Code clause 5.5(3)	Moderate	Unlikely	Medium	Strong					~			
406	Electricity Industry Metering Code clause 5.16	Minor	Unlikely	Low	Strong						•		
407	Electricity Industry Metering Code clause 5.17(1)	Moderate	Unlikely	Medium	Strong					~			
408	Electricity Industry Metering Code clause 5.18	Major	Probable	High	Moderate					~			
409	Electricity Industry Metering Code clause 5.19(1)	Minor	Probable	Low	Moderate					~			
410	Electricity Industry Metering Code clause 5.19(2)	Minor	Probable	Low	Moderate					~			
411	Electricity Industry Metering Code clause 5.19(3)	Major	Probable	High	Strong					~			
412	Electricity Industry Metering Code clause 5.19(4)	Major	Probable	High	Strong					~			
414	Electricity Industry Metering Code clause 5.19(6)	Moderate	Unlikely	Medium	Strong					~			
420	Electricity Industry Metering Code clause 5.21(5)	Minor	Probable	Low	Strong					~			
421	Electricity Industry Metering Code clause 5.21(6)	Minor	Probable	Low	Strong					*			



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	pliand	ce Ra	ting	
						1	2	3	4	5	N / R
439	Electricity Industry Metering Code clause 5.27	Minor	Probable	Low	Strong					~	N
446	Electricity Industry Metering Code clause 6.1(2)	Major	Unlikely	High	Strong					>	
448	Electricity Industry Metering Code clause 7.2(1)	Major	Unlikely	High	Strong					>	
450	Electricity Industry Metering Code clause 7.2(4)	Major	Unlikely	High	Strong					~	
451	Electricity Industry Metering Code clause 7.2(5)	Moderate	Probable	Medium	Strong						~
452	Electricity Industry Metering Code clause 7.5	Major	Unlikely	High	Strong					~	
453	Electricity Industry Metering Code clause 7.6(1)	Major	Unlikely	High	Strong					>	
454	Electricity Industry Metering Code clause 8.1(1)	Major	Unlikely	High	Strong					~	
455	Electricity Industry Metering Code clause 8.1(2)	Major	Unlikely	High	Strong					~	
456	Electricity Industry Metering Code clause 8.1(3)	Major	Unlikely	High	Strong					~	
457	Electricity Industry Metering Code clause 8.1(4)	Major	Unlikely	High	Strong					*	



ERA Manual Reference Number	Operating License Obligation	Consequence Major Moderate Minor	Likelihood Likely Probable Unlikely	Inherent Risk High Medium Low	Adequacy of existing controls Strong Moderate Weak		Com	olianc	e Rat	ting	
						1	2	3	4	5	N / R
458	Electricity Industry Metering Code clause 8.3(2)	Minor	Unlikely	Low	Strong					~	K
483	Electricity Industry (Licence Conditions) Regulations regulation 8	Minor	Probable	Low	Strong					>	
484	Electricity Industry (Licence Conditions) Regulations regulation 8	Minor	Probable	Low	Strong					>	
485	Electricity Industry (Licence Conditions) Regulations regulation 6	Minor	Probable	Low	Strong					>	
486	Electricity Industry (Licence Conditions) Regulations regulation 6	Minor	Probable	Low	Strong					>	
493	Electricity Industry (Customer Contracts) Regulations 2005 regulation 40	Moderate	Likely	Medium	Strong					~	

✓* denotes category 2 - Compliance rating 2 not requiring corrective action



9. REVIEW OF PREVIOUS FINDINGS

As part of the Audit, recommendations from the 2010 Audit (being the prior year audit) were followed up to determine whether Synergy had implemented the recommendations in order to remediate the audit weaknesses. All recommendations with a compliance rating of 1, 2 or 3 were followed up. The outcome of the follow up audit is explained in the accompanying tables.

For the purpose of this report, we spilt up this section into two parts:

- Section 9.1 -all previous findings with a Section 32 Breach Notice.
- Section 9.2 all previous findings with no Section 32 Breach Notice.



9.1 REVIEW OF PREVIOUS FINDINGS - STATED IN SECTION 32 BREACH NOTICE



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
7 (7)	Identified an instance in 2008 where 50 requests for historical consumption data was made within one business day, which is greater than prescribed 20 requests for historical consumption data in a business day. The "Network Procedures and Process" manual did not identify the current author and reviewer of the manual. Further, there is reference to the old information system IBAAN and CIS.	 Although, the network operator's web portal rejects any data requests that are more than the prescribed amount, Synergy should: Reconcile the number of data request submitted to the number of verifiable consents obtained on a daily basis; and Ensure that a supervisory review is undertaken on a daily basis over the manual records of the data request history. Synergy update their "Network Procedures and Process" manual to reflect the current staff responsible for updating, managing and reviewing the document. Further, the manual should make reference to the current information system and be consolidated with the "Churn-In Process - Electricity" (DMS# 3304495v1) and "Churn out process" (DMS# 3302899v1) documents. 	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for non compliance with obligation description 7. Notwithstanding this, Synergy has remediated the deficiency. Under the current network operator's system, if the number of requests for standing or historical consumption data is more than the prescribed amount within a business day, an error message will be displayed. Furthermore, Synergy has implemented a control of daily supervisor review of all historical data requests. This check is important in ensuing the obligation is not breached. The "Network Procedures and Process" manual has been updated and referenced accordingly. This recommendation has been addressed.



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
119 (133) 121 (135)	Testing of non-standard contracts identified an instance where the customer was not provided the information specified in Clause 2.4(2) of the Code of Conduct before entering into the contract. We also found that, in circumstances where a customer was sent mail through the post, Synergy does not retain copies of postal records to ensure the customer received the specified information. Review of sample of non-standard contracts indicated that the written acknowledgement in the non-standard contract did not address the customer's acknowledgment for the provision of the specified information in Clause 2.4(2) of the Code of Conduct.	 Synergy personnel within the Retail Sales Team be reminded of the requirement to submit the specified information in clause 2.4(2) of the Code of Conduct. Further, the Area Manager should periodically review the e-mails prior to being sent to the customer and that postal records be retained to ensure the specified information is being sent. The Code of Conduct was amended on 1 July 2010. There is now no requirement for a retailer to obtain written acknowledgement that the information in sub-clause 2.4(2) has been provided. The obligation is now limited to an electricity marketing agent and not a retailer. As a result of the change, there are no further recommendations in this regard. Provide training to the Retail Sales Team, and any other Corporation staff engaged in activities that result in the Corporation entering into contracts 	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for non compliance with obligation description 133. Notwithstanding this, Synergy has remediated the deficiency. Within Synergy's SAP customer relationship management system a "task" is issued to the sales administration team with instructions to package and issue the specified information to customers. When this task has been actioned, the task is then recorded as closed: "completed status". All actions on CRM tasks are system date and time stamped, therefore providing appropriate records on information sent. Based on audit testing these recommendations and requirements have been addressed.



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
		 with customers covered by the Code of Conduct, to ensure that those staff are aware of the requirement to provide the information specified in clause 2.4(2) of the Code of Conduct to each of those customers. Implement a process to ensure that all relevant records needed to demonstrate compliance with clause 2.4(2) of the Code of Conduct are retained for at least two years as required by clause 13.1 of the Code of Conduct. 	
142 (158)	Through interviews held with the Billing Team Leader, T & T, Transaction Co- ordinator Customer Support Team revealed that the implementation of SAP had adversely impacted Synergy's ability to issue a bill within the timeframes specified under the Code of the Conduct. Further discussions with the Transaction Co-ordinator Customer Support Team, review of the unbilled exception report and sampling of bills confirmed that Synergy issued bills for periods greater than 90 days without the consent of the	 Continue with the root cause analysis through the examination of SAP's configuration and reporting from SAP. Assess and document the impact of the unidentified root causes which negatively impact the "business as usual" processes and escalate in accordance with the change management protocols. Implement processes to monitor the application and timely removal of bill 	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for issuing 116,000 bills for a period of greater than 90 days during the period April 2008 to June 2010. As at 31 December 2011, there were approximately 1,300 customer bills that remained unbilled for a period >90 days of which 30% was within Synergy's control, 39% was within Western Power's control and 31% was



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
	customer.	 blocks by authorised Synergy staff. In addition, the ERA as part of its section 32 breach notice required Synergy to: 1. Implement a process that prevents Corporation staff from removing bill blocks that will result in a customer receiving a bill at a frequency greater than one month interval prescribed in Clause 4.1 of the Code of Conduct. 2. Implement the process necessary to ensure that transactions for which the SAP billing system cannot automatically produce a bill are detected, rectified and the resultant bill issued to the customer in a timeframe that complies with clause 4.1 of the Code of Conduct. 	within a customer's control. Synergy has established business reporting, work practices and procedures as well as significantly increasing personnel dealing with this matter to minimise the incidence of not-billed performance on its customers. Synergy has provided monthly reports to the Authority on the unbilled accounts and related performance measures since March 2010 and the >90 day unbilled number has consistently trended significantly downwards since June 2010. These recommendations and requirements have been addressed consistent with Synergy's undertakings to the Authority. Based on the audit testing BDO notes Synergy has established business reporting, work practices and procedures as well as significantly increasing personnel dealing with this matter to significantly reduce unbilled accounts over the audit period (and beyond) as well as exceeding its target unbilled rate of



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
			 4,000 (within and outside its control and 2,000 within its control) at any point in time. BDO notes Synergy has the following arrangements in place to maintain or improve its current unbilled performance: Continuation of its root cause and monitoring analysis through the examination of system configuration and reporting. Synergy will continue to assess and document the impact of the unidentified root causes which negatively impact the "business as usual" processes and escalate in accordance with our change management protocols to implement system or process changes as required; Reducing unbilled account levels not within its control, by working with Western Power to automate market transactions to provide necessary energy data and improved reporting and communication; and.



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
			on issues that may impact their accounts, resulting in them reaching the >90 day unbilled through mechanisms such as bill inserts for self read customers and estimated accounts explaining their obligations to provide metering data.
149 (165)	Due to the inappropriate bill smoothing set-up within SAP customers are not being provided the correct amount of the estimated bill. The current set-up within SAP is not designed to Synergy's bill smoothing arrangement and has resulted in customers being issued with inaccurate estimated bills. Synergy is unable to provide customers with an accurate estimation under the bill smoothing arrangement due to the incorrect set-up of the business rules within SAP. SAP automatically re-estimates the amount payable as a result of a 6 month	 Recommend that Synergy: Re-examine the formula responsible for calculating the estimates relating to bill smoothing and make the appropriate corrections. Consider developing a customisation within SAP that would document when a review of a bill smoothing customer account had been performed. Re-examine the business rules supporting the direct debit function relating to bill smoothing arrangements and make the necessary corrections to ensure that the direct debit date remains unchanged unless 	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for not estimating its bill smoothing product, EvenPay in accordance with the Code of Conduct. Approximately 2000 customers were impacted. Based on our discussions with the Billing Manager and the Manager Retail Regulatory & Compliance we were advised that Synergy removed the "EvenPay" product from the market on 21 October 2011 in response to the product operating in breach of the Code of Conduct and pending required changes to the Code of Conduct.



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
	review and, if the amount is below 10%, a review notice is not recorded on the customer's account to denote that a review had been performed. Although the direct debit was occurring on the date that the customer designated, the wrong date for the debit to occur was displayed in the bill. Rather than the bill specifying the date in which the customer nominated for the direct debit to occur, the bill specified the direct debit would occur on the due date of the bill.	otherwise agreed.	This recommendation has been addressed.
163 (179)	Post SAP implementation, Synergy is unable to change a customer to an alternative tariff within 10 business days, where the customer satisfied the eligibility criteria. Review of the incident register noted Synergy reported an instance of non-compliance in respect of this licence obligation.	 Synergy should: Engage additional resources to enable clearing of the back log of tasks. Develop an exception report for the ongoing identification of outstanding tariff change requests. Consider developing a customisation that would provide for the prioritisation of tasks which are subject to specified timeframes under the Code of Conduct. 	 In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for not changing customers to alternative tariffs in accordance with Code of Conduct timeframes. Notwithstanding the above, Synergy has implemented the following active actions: 1. Synergy recruited 10 additional staff in September 2010 for the next six months to assist clearing



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
			 backlog of tasks. 2. A change request was submitted to the Change Council in December 2010 to develop an exception report for identification of outstanding tariff change requests. 3. Synergy considered the implementation of items 1 and 2 to satisfactorily address the incident and as such have not implemented recommendation 3. This recommendation has been addressed.
171 (186)	Interviews held with Manager Credit Management, Team Leader Customer Resolutions, Billing Team Leader and review of policies and procedures, we determined that Synergy does have processes in place to manage compliance with regard to this requirement (clause	Synergy should implement a process within the SAP complaints specifications which would enable prioritisation for those matters that have a prescribed timeframe within the Code of Conduct.	Interviews held with Manager Credit Management, Team Leader Customer Resolutions, Billing Team Leader and review of policies and procedures, we determined that Synergy does have processes in place to manage compliance with regard to this



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
179 (195)	4.17(2)) under the Code of Conduct.	1. Synergy should implement within the	requirement under the Code of Conduct. This recommendation has been addressed. In the 2010/11 Annual Electricity
	on a direct debit arrangement had an amount deducted from his/her bank account which was different from what was agreed with Synergy in the verifiable consent	 direct debit knowledge base a requirement for a Customer Service Representative to advise the customer of the impact of historical debt which is due or open, that it is linked to the current account. 2. Synergy should provide further training to Customer Service Representatives with regards to establishing direct debits and confirm the information required to be communicated to the customer prior to the customer's verifiable consent being obtained. 	 Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for not advising customers that direct debit would recover historical debt. Notwithstanding this, Synergy has implemented the following: Amended the debit transfer letter which notifies customers that direct debit will recover historical debt. Amended the direct debit terms to specify direct debit will recover historical debit. Amended the web declaration to specify that direct debt will recover historical debt. Amended CSR scripts and direct debit declaration to specify direct debit.



Licence Condition Reference (2009 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
			 Revised the standard operating procedure and trained CSR staff on the new standards This recommendation has been addressed.



9.2 REVIEW OF PREVIOUS FINDINGS - NOT STATED IN SECTION 32 BREACH NOTICE



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
120 (134)	Synergy failed to provide certain elements of the information specified in Clause 2.4(2) of the Code of Conduct to 175,000 existing customers who entered into a standard form contract as a result of moving to a new supply address. Specifically, the information relating to how they may obtain the Customer Service Code and information on the safe use of electricity, on or before the customer's first bill.	No further recommendation is required as Synergy have undertaken remedial action in July 2010 to ensure that the customer has been provided the specified information. We reviewed the amended bill and confirm that the requirements have been addressed.	The requirement for the omitted information to be provided to customers was addressed by amendments to Synergy's bill content. Synergy amended its bill to ensure the previously omitted information was provided to all customers. This remedial action is beyond that required in the current Customer Service Code (2010). This recommendation has been addressed.
139 (153)	Review of the 2010 Incidence Register revealed that Synergy disclosed customer information to a third party that should not have been disclosed.	 Synergy address the potential future breaches of the Privacy Act 1998 through: Continuous training; and Periodic review of privacy training programs, content and methods. 	 In its 2010/2011 and 2011/12 Annual Electricity Retail Compliance Report, Synergy identified and advised the Authority of instances: Unauthorised release to third parties by not correctly identifying customers. Data such as date of birth was appended to addresses on Western Power planned outage notifications. Notwithstanding this, Synergy has remediated the deficiency. Synergy has an extensive training



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
			 program in place for privacy matters which will continue to be enhanced and improved, especially in relation to new personnel. For example, Synergy staff and relevant contractors are required to undertake annual privacy training and attain designated pass marks. Privacy incidents experienced during the audit period have been used for training purposes to limit future occurrences. In situations where privacy incidents have occurred due to system issues, system change requests have been made and implemented. This recommendation has been addressed.
151 (167)	The Authority identified that Synergy had not included the information on dependant child rebate on the customer's bill. A number of customers on bill smoothing arrangements did not receive accurate account information on their bill.	 Synergy adopts the following proced for future changes to the bill: Process map the licence obligati Compare SAP processes relevant this licence obligation; Identify the gap(s) and perform customisation(s) necessary to address the gap; 	affected by this issue were manually reversed and re-billed and issued with letters advising of the dependent child rebate repayment by November 2011 and March 2012 respectively.



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
		 Document and record the new process; Test for accuracy and completeness of bill information as prescribed by the Code of Conduct. Provide further SAP training to its staff. 	Based on audit testing and bill sampling, BDO is satisfied Synergy has undertaken necessary actions required to address these recommendations.
167 (183)	Through interviews held with Customer Services Officer and sample testing performed, an instance was identified where a customer had not received their final bill.	Synergy should investigate and develop an exception report function that would enable the business to detect final bill matters that remain outstanding due to failing to passing through the ISU interface to the back end of SAP.	The issuing of the final bill is automated within SAP. This recommendation has been addressed.
178 (194)	Payment numbers entered by customers through Synergy's web portal undergo a validation check through Modulus 11 to determine if the payment number is valid. However, the payment number is not directly validated against the SAP database prior to payment acceptance. If a corresponding customer account	 Synergy should introduce a validation protocol that confirms the payment number against customer account details (such as the business partner agreement or the supply address) prior to processing the payment. Training should be undertaken to ensure those responsible for the oversight of Electronic Funds 	 Synergy has not implemented an automatic validation protocol that confirms the credit card payment number against customer details prior to processing the payment. Validation of the payment number for credit card payments received via the web and interactive voice response (IVR) was prioritised and planned to be implemented in two parts. The Web validation via the Zumba project and IVR



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
	cannot be located, the customer's payment is placed into suspense account for manual follow-up. As a result, customers have received a reminder notice for payment. After customers had made payment, there appears to be payments being allocated incorrectly.	Transfer is conversant with the Electronic Funds Transfer Code of Conduct.	 through PCI project. The web validation was implemented via change request 341 on 29 September 2011. IVR validation is being implemented as part of the PCI project and is scheduled for implementation by 31 October 2012. In the interim it will continue with its manual validation process. Synergy has implemented a training regime to ensure staff members responsible for the oversight of the Electronic Funds Transfer are conversant with the Electronic Funds Transfer Code of Conduct. Recommendation 1 has not been fully addressed. Recommendation 2 has been addressed.
211 (230) 212 (231)	Synergy reported as part of its 2009/10 compliance report to the Authority that Synergy identified a small number of customers were disconnected in error due a number of reasons including the wrong person being identified for disconnection and in response coaching and feedback were provided to Synergy staff to mitigate future occurrences.	No recommendation was made as at the time of the Audit, Synergy undertook certain actions to mitigate the reoccurrence of wrongful disconnections including, increased supervision, increased review of CSR interaction, provision of notices relating to disconnections procedures, further call monitoring,	Sample based testing of disconnections undertaken confirmed that customers have been provided reminders, warnings, disconnection notices and performed disconnection of electricity at a supply address in accordance and in excess of Code of Conduct requirements.



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
		increased training and coaching of its staff.	Further, that reminder and disconnection notices did contain the information with regards to Synergy's contact number for billing and payment enquiries. Synergy also provided information relating to its financial hardship policy and how Synergy may assist under such circumstances. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
224 (244)	Synergy could not locate the completed Residential Account Application Forms from either the pre-payment meter customer or Goldfields Indigenous Housing Office. Synergy confirmed that one of its staff visited the community and obtained the required consent. However, the record of that consent was not located.	Synergy re-affirms document retention and record keeping requirements through training.	Synergy has trained staff on its documentation retention standards. This recommendation has been addressed.



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
274 (302) 275 (303) 277 (305) 279 (306)	With the Implementation of SAP in September 2009 all historic customer data from the legacy customer information system was retained in an Oracle database (Valhalla) inclusive of data used to produce the 2007/2008 and 2008/2009 performance indicator reports. All source code used to produce the performance indicator reports was retained. This information was not readily available during the audit period as it was on back-up tape. Synergy extracted the original reports from the tape back ups.	No further recommendation is required as Synergy replaced their previous CIS information system with SAP in 2009.	N/A



Licence Condition Reference (2010 Electricity Compliance Reporting Manual)	Issue	Recommendation	Observation
294 (324)	The automated acknowledgement response functionality which produces an acknowledgement letter was not operating correctly within SAP during the audit period. As SAP's automated acknowledgement functionality was not operating as intended, the acknowledgement of a complaint or query has reverted to a manual process. The Customer Resolution Team Leader indicated that due to the increase in the volume of complaints received, the Customer Resolution Division did not have resources to ensure that all written queries or complaints had been acknowledged or responded to within the timeframes specified.	 Synergy should investigate the root cause of the automated acknowledgement functionality failure and where practicable correct such failure to enable the functionality to operate in accordance with business requirements. Where feasible, Synergy should consider allocating temporary resources to the Customer Resolution Division to address the outstanding complaints and queries. Synergy should consider the development of a customisation within the complaints functional specifications to provide for prioritisation of outstanding complaints or queries in accordance with Code of Conduct timeframe requirements. 	A new letter has been drafted to automatically be sent to customers acknowledging receipt of their complaint to meet this timeframe, which will enable staff to focus on complaint investigations and resolution. In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy reported that it had failed to respond to written complaints within the prescribed timeframe of 20 days. Since this breach, Synergy has implemented a new management structure, increased resources and new complaints handling procedures during the audit period which has reduced complaint volumes. Synergy has considered recommendation 3 to be a longer term solution in the event that recommendations 1 and 2 are demonstrated to be unsuccessful in addressing the matter. This recommendation has been addressed.



10. AUDIT OPINION

Except for the matters identified in Section 9 - Detailed Findings - Non-Compliant (Compliance Ratings 1 and 2) and any effects thereof, we are satisfied that Synergy had policies, procedures and systems in place to support compliance with the licence conditions and associated regulations and codes, for the period 1 July 2010 to 31 December 2011.

BDO Audit (WA) Pty Ltd

Jeeva Maistry Director

19th of November 2012



11. DETAILED FINDINGS - NON COMPLIANT (COMPLIANCE RATINGS 1 AND 2)

The management responses highlighted in this section constitutes the post audit implementation plan (other than those matters which have no recommended actions for compliance).



Licence	Code of Conduct clause 13.15(3)	
Condition		
Operating	Electricity Industry Act section 82	
Licence	Lieutierty industry Act section oz	
Obligation		
Compliance	319	
Manual	517	
Reference		
Obligation	A copy of each report must be given to the Minister and the Authority not	
Description	less than 7 days before it is published.	
Reporting Type	2	
Compliance	2	
Rating		
Audit Observation	Synergy advised that it had published its performance reports on Friday 30 September 2011 but provided the reports to the Authority and to the Minister for Energy on Monday 26 September 2011 which was less than the seven days notification period required by clause 13.15(1)(b) of the Code of Conduct.	
Recommendation	The importance of complying with mandatory deadlines needs to be reaffirmed to all business units.	
Manager Responsible	Manager Retail Regulatory and Compliance	
Management Response	The ERA and Minister for Energy were not provided with the required 7 day advance notice due to Synergy inadvertently publishing the performance report on its website hosting environment.	
Management Implementation Plan(s)	 In response to the incident, Synergy implemented the following procedure: Any time sensitive content that has an embargo on its live date will be placed in the staging environment until just before it is required to go live. 	
	 Once time embargoed content is published to the staging environment - no other content will be published until the time sensitive content has gone live. Communicated to relevant staff provisions regarding time under the <i>Interpretation Act 2004</i>. 	
Implementation Date	5 October 2011	
BDO Follow up	 Any time sensitive content that has an embargo on its live date will be kept out of the staging environment until just before it is required to go live. Once time embargoes content is published to the staging environment - no other content will be published until the time sensitive content has gone live. A more rigorous post implementation review will be undertaken by after each publication to ensure that time critical content has not accidentally been published 	



One method lie and a	Code of Conduct alound 2.0
Operating Licence	Code of Conduct clause 2.8
Obligation	Integrated Regional Licence condition 23.1
	Retail Licence condition 23.1
Compliance	153
Manual Reference	
Obligation	A retailer and an electricity marketing agent must comply with the
Description	National Privacy Principles as set out in the Privacy Act 1998 in relation to
	information collected under Part 2 of the Code of Conduct.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy
	advised the Authority of instances:
	, s
	Unauthorised release to third parties by not correctly identifying
	customers.
	 Data such as date of birth was appended to addresses on Western Power
	planned outage notifications.
	plannea outage normeations.
	Synergy identified and reported to the Authority as part of its 2010/11
	electricity compliance report it was not able to identify the exact number
	of affected customers without individual data analysis, but estimated
	approximately 9,300 national meter identifiers potentially impacted by this
	issue. Synergy undertook a range of remedial actions to address this issue
	with remedial actions complete by 31 December 2011.
	Discussions with the Contact Centre Manager and Contact Centre
	Compliance Coordinator and review of the policies and procedures
	indicated that Synergy do have processes in place to ensure compliance
	with the National Privacy Principles as set out in the Privacy Act 1998.
	Synergy Contact Centre Team leaders monitor phone calls and provide
	ongoing coaching and training (Safetrac program) with regards to Code of
	Conduct requirements.
	We further noted that Synergy has an extensive training program in place
	for privacy matters which are continuously enhanced and improved,
	especially in relation to new personnel. For example, Synergy staff and
	relevant contractors are required to undertake annual privacy training and
	attain designated pass marks.
	attain aosignatoa passinairo.
	In response to privacy incidents experienced during the audit period
	previously, Synergy has:
	providusly, synci gy nas.
	Issued bulletins, reminders and other communications to all contact
	centre staff highlighting the need to protect customer personal
	information;
	 Designed, tested and implemented system changes to prevent further
	occurrence;
	 Updated Synergy's knowledge base (reference centre); and
	Provided staff coaching and feedback to relevant Synergy employees and
	contractors on the correct procedure for dealing with the instances of
	privacy incidents.
	privacy monorman



	 From reviewing Synergy's training register, we noted that two sales team members, one credit management staff and one billing staff had not completed the annual Safetrac refresher training. Synergy identified and reported to the Authority as part of its 2011/12 electricity compliance report the following privacy incidents: On 142 occasions (affecting 161 customers) incidents were incurred with respect to: (i) the customer identification procedure was not strictly adhered to; (ii) information was provided to, or records were updated by, a third party without the customer's consent; (iii) incidents occurred where customer records were updated incorrectly or actions undertaken which related to a different customer; and (iv) written responses were mailed to the incorrect supply address. Situations where a customer service representative updates a mailing address in the billing system (SAP) and any customer information fields are left blank, then any fields containing existing information, such as telephone number and/or email address would be overwritten and then appear blank. Customers can nominate other people as contacts on their Synergy account. In doing so, the customer authorises the contact person(s) to perform any actions or receive any information pertaining to the account as per the customer. The billing system (SAP) terminology for a customer record is Business Partner (BP). When adding a contact person (s) if that person does not have an existing BP, one is created. If a contact person subsequently establishes an account in their own name, all the interaction notes from the account in which they are a nominated as a contact person is removed as a contact for the original account.
Manager Responsible	Manager Energy Markets Operations and Support Manager Billing Services Manager Credit Management
Recommendation	The importance of ensuring staff complete the refresher training needs to be reaffirmed to all managers and Synergy continues to actively monitor its staff with respect to compliance with privacy laws.
Management Response	 Sales, Billings Services and Credit Management to commit to ensuring staff complete the privacy refresher training and continue to monitor staff compliance with privacy laws. The Learning & Development department will report to senior management on privacy compliance by area on a monthly basis and highlight areas of non-compliance. Through the use of bulletins all relevant staff and contractors were advised of the impact of not correctly identifying customers and were requested to remain diligent to ensure the correct customer was mailed correspondence. Call monitoring processes continue to be used to identify further privacy incidents.



Management Implementation Plan(s)	 Management will continue to reinforce the importance of completing annual SAFETRAC privacy training to all staff and continue to monitor staff compliance with privacy laws. A new process has been implemented across Synergy's contact centres for team leaders to follow in relation to privacy incidents and strategies to prevent reoccurrence. This includes having the affected CSR listen to the call, identify the non-compliance, provide an explanation for their non- compliance and then signing a declaration confirming they understood
	they have not adhered to Synergy's privacy requirements/process. This signed declaration is then given to Synergy's human resource department for record keeping.
	2. A system SAP was implemented in September 2011 to remedy the issue.
	 A system change request is scheduled for production in December 2012 to address this issue.
Implementation	1. Ongoing
Date	2. September 2011
	3. December 2012



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.1
Licence	
Obligation	
Compliance	158
Manual	
Reference	
Obligation	A retailer must issue a bill no more than once a month and at least once every
Description	three months unless the circumstances specified exist.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for issuing 116,000 bills for a period of greater than 90 days during the period April 2008 to June 2010. As at 31 December 2011, there were approximately 1,300 customer bills that remained unbilled for a period >90 days. A report was extracted from SAP and BDO confirmed the >90 days unbilled numbers per the SAP report to the numbers reported in the 31 December 2011 report. No exceptions were noted. Based on our discussions with the Billing team and confirmed through observation, we noted that SAP has an inbuilt control that prevents a second bill from being generated within 30 days of the first bill.
	Overall we noted that the greater than 90 days unbilled accounts have significantly reduced over the audit period.
Recommendation	Synergy should continue to ensure that the number of unbilled customer bills >90 days are reduced.
Manager Responsible	Manager Billing Services
Management Response	Synergy has expended considerable resources to reduce the incidence and impact of unbilled accounts over the audit period as depicted below.
Management Implementation Plan(s)	Synergy has established business reporting, work practices and procedures as well as significantly increasing personnel dealing with this matter to minimise the incidence of not-billed performance on its customers. Synergy has provided monthly reports to the Authority on the unbilled accounts and related performance measures since March 2010 and the >90





Licence	Electricity Industry Act section 82
Condition	
Operating Licence Obligation	Code of Conduct clause 4.5(1)(h), (j),(k) and (l)
Compliance Manual Reference	167
Obligation Description	A retailer must include minimum prescribed information on the customer's bill, unless the customer agrees otherwise.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2011/2012 Annual Electricity Retail Compliance Report, Synergy reported:
	1. With respect to B1 collective bill the average daily cost of electricity consumption and average daily consumption was not included on the bill.
	 1.4 million bill notifications were sent stating a fee may be charged if a bill is paid late but included an incorrect reference to the charge.
	3. Customers who were receiving one or more concessions did not receive the standard concessions message on their bill.
Manager Responsible	Manager Retail Markets and Products
Recommendation	Synergy needs to address the compliance requirement.
Management Response	 Synergy has briefed the Authority and the Public Utilities Office on its proposal to retire the B1 tariff given its very small customer base and given it no longer markets the product due to the existence of the SmartPower and PowerShift time of use tariffs. (The tariff was originally introduced by the State Energy Commission in the 1970s.) The Authority in its final report "Inquiry into the Efficiency of Synergy's Costs and Electricity Tariffs 4 July 2012" determined that "The Authority considers that the B1 Residential Hot Water Tariff should be removed, or merged with the A1 Tariff." In the interim, Synergy considers the customer impact of the missing information to be nominal as the currently omitted information can be easily calculated from existing information on the bill (total consumption, amount due and supply period). During the audit period Synergy received one B1 customer complaint. The requirement to update the overdue notice fee was deployed in November 2011. In addition the project plan to implement tariff changes in July 2012 was successfully deployed in July 2012 without issue. The Manager Billing Services is the owner of the bill and has accountability for ensuring any change to regulatory messages are only approved after receiving formal written approval from the Legal, Regulatory and Audit team.
Management Implementation Plan(s)	 Consistent with the Authority's determination Synergy is currently preparing its proposed B1 tariff removal strategy to obtain state government approval to remove the tariff which will require legislative



	 amendments. Synergy expects to present the strategy to the state government as part of the 2012/2013 state budget process. The timeframe for a state government decision on the tariff removal is at the government's decision and outside of Synergy's control. 2. The overdue notice was updated to reflect the current late payment fee charge in November 2011. 3. The concessions message to customers already receiving concessions was expanded to include the required statement in January 2012.
Implementation Date	 June 2013). November 2011 January 2012



Licence	Electricity Industry (Licence Conditions) Regulations
Condition	
Operating	Electricity Industry Customer Transfer Code clause 3.4 (1)
Licence	
Obligation	
Compliance	7
Manual	
Reference	
Obligation	A retailer, unless otherwise agreed, must submit a data request
Description	electronically and must not submit more than a prescribed number of
	standing or historical data requests in a business day.
Reporting Type	2
Compliance	2
Rating	
Audit	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted
observation	that it was issued with a section 32 breach notice for issuing more (50) than
	the maximum number (20) of data requests to Western Power on one
	occasion. We noted that Synergy has implemented mechanisms to ensure
	compliance with the obligation.
	The "Network Procedures and Process" manual is a user guide for the
	operation of customer transactions between the network operator and
	Synergy. Synergy requests data for each exit point through the network
	operator's web portal.
	From our sample selection, we did not identify any instances of more than
	20 requests for historical data per day being made.
	Under the current network operator's system, if the number of requests for
	standing or historical consumption data is more than the prescribed amount
	within a business day, an error message will be displayed.
	Furthermore, Synergy has implemented a control of daily supervisor review
	of all historical data requests. This check is important in ensuing the
	obligation is not breached.
Recommendation	Nil



Licence	Retail Licence condition 16.1
Condition	
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	124
Manual	
Reference	
Obligation	A licensee must provide the Authority, in the manner prescribed, any
Description	information the Authority requires in connection with its functions under the Electricity Industry Act.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted its 2009/10 Regulatory Compliance Report was submitted to the Authority on 1 September 2010, less than 24 hours after the due date.
	Since March 2010, Synergy had been required to provide a monthly report for "Bills Issued Greater than 90 Days."
	Discussions with the Legal, Regulatory and Audit department confirmed that Synergy had submitted the reports in the manner prescribed by the Authority during the audit period and continues to do so.
	We noted that Synergy has adequate processes to ensure that the Authority is provided with the information requested in the manner specified.
	Discussions held with the Legal, Regulatory and Audit department and review of performance and compliance reports submitted to the Authority confirmed that Synergy had provided other information as required in connection with the performance of its function in the manner and timeframe specified.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.4(2)
Licence	
Obligation	100
Compliance Manual	133
Reference	
Obligation	Where the customer has entered into a new contractual relationship with a
Description	retailer or electricity marketing agent, the retailer or electricity marketing agent must give the information specified to the customer.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for non compliance with obligation description 133 i.e. for not providing one customer with a copy of the required information (which is contained within its customer service charter). We noted that Synergy has implemented mechanisms to ensure compliance with the information provision obligation.
	Through enquiries made with the Contact Centre Manager, Contact Centre Compliance Coordinator, Retail Sales Manager and Retail Sales Compliance Coordinator, it was revealed that Synergy does not enter into standard – form contracts as a result of door to door marketing.
	Discussions with the Retail Sales Compliance Coordinator revealed a customer is provided a copy of the Customer Service Charter, a copy of the Contract and the terms and conditions through post or as attachments in an e-mail. The specified information is contained within the Customer Service Charter issued to new contractual customers and on the customer's bill.
	Within Synergy's SAP customer relationship management system a "task" " is issued to the sales administration team with instructions to package and issue the specified information to customers. When this task has been actioned, the task is then recorded as closed: "completed status". All actions on CRM tasks are system date and time stamped, therefore providing appropriate records on information sent.
Recommendation	Nil



1 *****	
Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.3(1)
Licence	Code of Conduct clause 4.3(2)
Obligation	
Compliance	164 & 165
Manual	
Reference	
Obligation	
Description	
164	In respect of any 12 menth paried on respirit of a request by a systemary a
104	In respect of any 12 month period, on receipt of a request by a customer, a retailer may provide a customer with estimated bills under a bill smoothing arrangement.
165	If a retailer provides a customer with estimated bills under a bill smoothing arrangement the retailer must ensure that the conditions specified are met.
Reporting Type	2,2
Compliance	2
Rating	
Audit	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted
Observation	that it was issued with a section 32 breach notice for not estimating its bill
	smoothing product, EvenPay in accordance with the Code of Conduct.
	Approximately 2000 customers were impacted.
	Pased on our discussions with the Dilling Manager and the Manager Detail
	Based on our discussions with the Billing Manager and the Manager Retail
	Regulatory & Compliance we were advised that Synergy removed the
	"EvenPay" product from the market on 21 October 2011 in response to the
	product operating in breach of the Code of Conduct.
Recommendation	Nil
Management	Synergy is reviewing options to re-instigate a bill smoothing product that
Comment	meets customer needs and is compliant with the Code of Conduct for the
comment	
	Supply of Electricity to Small Use Customers (Code of Conduct). We are
	currently awaiting enactment of requested amendments to the Code of
	Conduct as a pre-requisite to commencement of the build of the product and
	the subsequent relaunch.
	1. Await legislation of Synergy's required changes to the Code of Conduct.
	2. Develop a business case for development of the product.
	3. Develop the product and prepare for launch.
	4. Launch product.
	Contingent of extent and timing of Code of Conduct changes. Product
	launch is estimated at 6 months after required legislative changes however,
	this will need to be confirmed closer to the time dependent upon availability
	of organisational resources and priorities
	or organisational resources and priorities



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.5(1)(i)
Licence	
Obligation	
Compliance	167
Manual	
Reference	
Obligation	A retailer must include minimum prescribed information on the customer's
Description	bill, unless the customer agrees otherwise.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy recorded non compliance with respect to not displaying the value of concessions (predominantly the dependent child rebate) provided to the customer. Details of this issue were contained within the previous ERL 1 performance audit published on the Authority's website.
	In its 2011/2012 Annual Electricity Retail Compliance Report, Synergy reported:
	1. 396 REBS customers did not receive the dependant child rebate on their bill.
	2. Approximately 597 customers did not receive their concession in 2011/12. This was caused by the concession cards being reactivated through an incorrect method. Synergy is currently preparing a report to identify the exact period of the concession entitlement underpayment.
	3. For the financial year 2011/2012, 52,866 customers received a repayment for the rebates that they were undercharged. The undercharged period was August 2009 - June 2011. Note: The number of customers do not equate to number of repayments on a 1:1 basis as some customers would have received more than one concession repaid. The number of repayments for the 2011/12 was 68,040. Synergy's concession repayment project is currently in the final stages where Synergy needs to repay customers for the period May 2011 to 17 March 2012. The number of repayments equals 31,216 accounts with a dollar value of \$3,497,506.
	Based on our discussions and a review of a sample of bills, we noted that Synergy has reconfigured its SAP system, processes and procedures to ensure the value of concessions that any customer is eligible for are clearly displayed on the bill.
	Based on discussions and from the review of sampled customer bills, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Manager Responsible	Manager Billing Services



Recommendation	Nil
Management Response	1. A system change to SAP was implemented to ensure the dependent child rebate was applied to eligible REBS customer accounts. All affected customers were re-issued with bills applying the dependent child rebate and repaid their entitlements, together with a letter of explanation.
	 Customers who did not receive the full rebate they are entitled to will be repaid by December 2012. A billing system change will automatically ensure the correct re-activation process occurs.
	 Since January 2010 Synergy has undertaken a comprehensive review of all rebates applied to accounts and associated processes. There were three phases to the repayment of underpaid concession rebates:
	 Phase One: Provided for the repayment of active accounts that were underpaid up until the end of June 2011.
	 Phase Two: In this phase Synergy repaid inactive (i.e. closed customer) accounts that had been underpaid rebates. This phase occurred during the period November 2011 - February 2012.
	 Phase Three: In this final stage of repayments, Synergy is repaying all active and inactive accounts that were underpaid their concession entitlements from May 2011 to 17 March 2012.
	In each repayment phase Synergy has made every effort to keep all customers informed, this includes outbound calling, sending letters and having a designated concession phone line set up so that customers who called regarding the underpayment issues would be able to speak directly to a specialist Synergy contact person.
	The numerous system changes implemented have minimised the risk of customers not receiving their correct rebate entitlements, enhancing the functions Synergy can offer to increase first call resolution and limiting work being referred to back office departments as well as making current processes more streamlined and user friendly to reduce any risk of staff errors.
	Synergy completed a full data cleanse of all Centrelink and Department of Veteran's Affairs concession card holders on 17 March 2012 as well as an increase and decrease to the number of dependent children customers had registered for the concession on their Synergy accounts. The small minority of customers who may not have been correct after the data cleansing exercise required a more manual approach.
	The system changes resulted in the automated validation system being reactivated on 24 April 2012. This ensures customers will continue to receive the correct entitlement. Synergy has monitored this system extensively to ensure there are no issues caused by it. Synergy has also installed processes so that if issues do arise, it can easily identify them and take the appropriate action prior to any underpayments occurring. This includes automatic emails to specific inboxes as well as business process exceptions (i.e. system rejections) being created to notify Synergy of potential errors.
Management Implementation Plan(s)	 Refer above. Refer above.
	3. The many system changes implemented have resulted in the automated



	concession validation system now running successfully and correctly. There have also been system changes deployed to streamline our internal processes and procedures.
Implementation Date	 August 2011 End December 2012 As of the 17 March 2012 all concession rebates have been applied to accounts correctly. By the end of December 2012, Synergy aims that the following would have happened: All underpayments of concession rebates would be repaid except for those held against inactive accounts in situations where Synergy was not able to locate or contact the former account holder. The rebates review project commenced in 2010 successfully concluded. The business moved to business as usual activity.



ConditionOperatingConditionLicenceObligationObligation17ManualReference	
Obligation Compliance 17 Manual	
Compliance 17 Manual	
Manual	
	rotailor must change the sustemer to an alternate tariff within the parted
	rotailor must change the sustaments an alternate tariff within the naried
	retailer must change the customer to an alternate tariff within the period
	becified if the customer applies to receive an alternate tariff and emonstrates to the retailer that they satisfy the conditions of eligibility.
Reporting Type 2	
Compliance 2 Rating	
Observation th to Ap	its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for not changing customers alternative tariffs in accordance with Code of Conduct timeframes. opproximately 5000 customers were impacted. Synergy has implemented the llowing active actions:
•	Reviewed customer communication and the Authority approved standard form contract to ensure customers are advised that tariff eligibility is contingent on meter changes being in place. Reviewed and updated standard operating protocols, including Synergy's knowledge base. Requested Western Power to comply with the Metering Code timeframes with respect to meter changes / reprogram within the metropolitan and regional areas.
al Sy as pla	ur sample testing noted one instance where a customer was changed to an ternative tariff outside of the Code's timeframes. Based on advice by mergy, we understand that this occurred due to Synergy's actions and not a result of a delay in Western Power changing the meter. This breach took ace in September 2010 due to a high number of task backlogs that Synergy as experiencing at the time.
br	ne breach occurred prior to Synergy being issued with the section 32 reach notice (February 2011) and also before the required remedial action ate for the matter (June 2011).
	rom our sample selection the above mention incident was the only acception identified.
	ased on advice by management, Synergy has employed additional staff to ear the backlog.
a	e note that Synergy's approved standard form contract specifies that when tariff switch requires a meter change then the tariff switch doesn't ommence until the meter change has occurred.
Recommendation Ni	I



Licence	Electricity Industry Act section 82
Condition Operating	Code of Conduct clause 4.17(2)
Licence	
Obligation	
Compliance	187
Manual	
Reference	
Obligation	A retailer must inform the customer of the outcome of the review of a bill as
Description	soon as practicable, but, in any event, within 20 business days from the date
	of receipt of the request for review.
Reporting Type	2
Compliance	2
Rating	
Audit Observation	This matter forms part of the section 32 breach notice issued to Synergy in February 2011 which Synergy remedied in June 2011.
	rebludiy 2011 which synergy remedied in Julie 2011.
	Interviews held with Manager Credit Management, Team Leader Customer
	Resolutions, Billing Team Leader and review of policies and procedures, we
	determined that Synergy does have processes in place to manage compliance
	with regard to this requirement under the Code of Conduct.
	Under the Code of Conduct a complaint is defined as an expression of
	dissatisfaction made to an organisation related to its products or services or its complaints handling process itself where a response or resolution is
	explicitly or implicitly expected.
	Based on our discussions, we understand that Synergy typically treats a
	customer requesting a review of a bill to be a complaint in accordance with
	the Authority's complaints handling guideline as the customer request
	involves an expression of dissatisfaction requiring a response.
	The request for a bill is typically received by a CSR who refers the matter to
	complaints who in turn will then raise a task to Billing to review the bill.
	Synergy has made a concerted effort in addressing the large number of
	matters / customer request requiring resolution.
	We selected a sample of customer requests and noted that in all instances,
	Synergy performed the bill review and advised the customer of the outcome
	within 20 business days.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.3
Licence	
Obligation	
Compliance	195
Manual	
Reference	
Obligation	A retailer must, prior to commencing a direct debit, obtain the customer's
Description	verifiable consent and agree to the specified conditions for the direct debit.
Reporting Type	2
Compliance	2
Rating	
Audit Observation	In the 2010/11 Annual Electricity Retail Compliance Report, Synergy noted that it was issued with a section 32 breach notice for not advising customers that direct debit would recover historical debt.
	From our discussions, walk through procedures and sample testing of voice recordings, we noted that Synergy has implemented the following procedures:
	 Amended the debit transfer letter which notifies customers that direct debit will recover historical debt.
	 Amended the direct debit terms to specify direct debit will recover historical debit.
	 Amended the web declaration to specify that direct debt will recover historical debt.
	 Amended CSR scripts and direct debit declaration to specify direct debit will recover historical debt.
	 Revised the standard operating procedure and trained CSR staff on the new standards.
	Our sampling of voice recordings did not identify any breaches.
	Based on our enquiries, review of the protocols and the review of sampled voice recordings, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 12.1(2)
Compliance Manual Reference	296
Obligation Description	A retailer and distributor must develop, maintain and implement a complaints handling process that meets the specified requirements.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy reported that it failed to respond to verbal customer complaints within the timeframe specified in its complaints policy. Subsequent to this breach, Synergy implemented a new management structure for complaints. Our discussions with the Customer Advocate, Complaints Team Leader and review of relevant policies and procedures, noted that Synergy has a complaints handling procedure which documents the requirements, processes and actions for handling complaints and dispute resolution. Synergy's complaint handling process cited AS/ISO 10002:2006 and the definition of a complaint is consistent with the standard. Synergy's complaint handling procedures acts as a point of reference for
	handling complaints. The Contact Centre Knowledge Base is used by Customer Service Representatives. In addition, training is provided to staff on handling and resolving complaints.
	Based on our discussions and reaffirmed through our review of the complaints handling documentation, we are satisfied that Synergy carries out regular reviews of its complaints handling process to ensure compliance with the Code.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 14.3(1)
Compliance Manual Reference	324
Obligation Description	A retailer must acknowledge and respond to a written query or complaint by a customer within the timeframes prescribed.
Reporting Type	2
Compliance Rating	2
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy reported that it had failed to respond to written complaints within the prescribed timeframe of 20 days. Since this breach, Synergy has implemented a new management structure for handling complaints. Synergy's complaint volumes were published by Synergy as part of its 2010/11 electricity retail licence performance report (available on Synergy's website). Furthermore, we note that Synergy was reporting to the Authority on a
	monthly basis during the audit period the number of monthly complaints that were not responded to within the timeframes specified by the Code of Conduct. The Authority advised Synergy in August 2011 that it had decided to cease its monthly monitoring of compliance on the basis of improvements to Synergy's complaints handling performance.
	 From our sample selected for testing, we noted that Synergy has: Acknowledged all queries and complaints within 10 business days of receipt and Provided a response to all queries or complaints within 20 business days.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



12. DETAILED FINDINGS -COMPLIANT (COMPLIANCE RATING 3)

The management responses highlighted in this section constitutes the post audit implementation plan.



1.1	
Licence Condition	Electricity Industry (Licence Conditions) Regulations regulation 5(2)
Operating	Electricity Industry Customer Transfer Code Annex 6 clause A6.2 (a)
Licence	Electricity industry customer transfer code Annex o clause A0.2 (a)
Obligation	
Compliance	68
Manual	
Reference	
Obligation	A network operator and a retailer must use reasonable endeavours to ensure
Description	that its information system on which electronic communications are made is operational 24 hours a day and 7 days a week.
Reporting Type	NR
Compliance Rating	3
Audit Observation	Based on our discussions with T&T and confirmed by Synergy's Internal Audit team, it was noted that Synergy did not have IT Disaster Recovery Plan for the audit period. The lack of an IT Disaster Recovery Framework was raised in an Internal Audit Report dated June 2011.
	From our discussions, we understand that a project is currently underway in order to develop an IT Disaster Recovery Plan as part of a wider Business Continuity Plan.
Manager Responsible	Manager Program Delivery
Recommendation	Synergy should develop and implement an IT Disaster Recovery Plan.
Management Response	Agreed.
Management Implementation Plan(s)	In response to the Synergy's 2011 internal audit, Synergy commenced in the second half of 2011 the IT Disaster Recovery upgrade project to ensure Synergy is capable of recovering from disaster situations. The strategy addresses the key applications, technical infrastructure and supporting outsourced services. The project also delivers a disaster recovery action plan and recovery procedures ensuring Synergy has a coordinated framework for deploying resources and skills in the event of a disaster situation.
Implementation Date	1 July 2012
BDO Follow Action	Synergy has developed an IT Disaster Recovery "DR Action Plan" DMS#3499045. The objectives of the Action Plan are:
	 Present the Master Recovery Process including Order and Schedule of Activities Define Recovery Management team structure Define Recovery Team Roles & Responsibilities Define the DR Communication Plan Define the Application Recovery Order & Grouping Present a definitive list of subsidiary DR Procedures for individual step- by-step Recovery Plans per Application / Infrastructure Service



Licence	Electricity Industry Act section 11
Condition	
Operating	Retail Licence Condition 12.1
Licence	
Obligation	
Compliance	119
Manual	
Reference	
Obligation	A licensee and any related body corporate must maintain accounting records
Description	that comply with the Australian Accounting Standards Board Standards or equivalent International Accounting Standards.
Reporting Type	2
Compliance Rating	3
Audit Observation	Synergy maintains a register of all financial policies. These financial policies are reviewed regularly and any changes are tabled at the Audit & Legal Compliance Committee for review and ratification.
	Accounting policies are published in Synergy Annual Financial Statement. Reviewed the 2010/11 Annual Financial Statement that was published on the Synergy website, the directors have declared in section 6 of the Corporate Governance Statement that accounting standards have been applied during the preparation of financial accounts.
	However the Auditors Independent Report has not been included as part of the Annual Financial Statement.
	Hence, the reader is unable to ascertain whether the published results are in fact the audited results and what the final audit opinion was.
Manager Responsible	Manager Finance
Recommendation	The Auditors Independent Report should be included as part of the published Annual Financial Statement.
Management Response	Agreed. The Auditor's Independent Report was originally uploaded when Synergy's annual report was tabled in Parliament however, it was inadvertently removed when the Annual Report was subsequently separated into its report on operations and its financial report. Synergy's annual report including the auditor's report has now been uploaded to Synergy's website on 14 June 2012.
Management Implementation Plan(s)	The requirement to publish the annual report including the auditor's report was added to Synergy's regulatory calendar on 14 June 2012.
Implementation Date	14 June 2012
BDO Follow up Action	Reviewed the regulatory calendar and noted that the independent auditor's report is now included. Further, noted that the auditor's report for the 2011/12 financial year has since been included in the 2011/12 financial statements and are available on Synergy's website.



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.2(2)
Licence	
Obligation	
Compliance	194
Manual	
Reference	
Obligation	A retailer must comply with the Electronic Funds Transfer Code of Conduct
Description	in making an electronic payment.
Reporting Type	2
Compliance Rating	3
Audit	Synergy has established an access account service protocol with the
Observation	Commonwealth Bank of Australia (CBA). Incoming credit card payments can be processed via the phone (IVR) or the internet (WEB). The IVR and WEB applications validate credit card details through CBA.
	However, based on discussions with Synergy staff it was noted that the payment number is not directly validated against the payment number recorded in SAP. If credit card payments received cannot be matched to a customer number, the payment is placed in a suspense account and manually followed up.
	This audit observation was also noted in the 2010 ERL1 Compliance Audit.
	Through discussions and observation, it was noted that Synergy has implemented a training regime to ensure staff responsible for the oversight of the Electronic Funds Transfer are conversant with the Electronic Funds Transfer Code of Conduct.
	Synergy advised the IVR payment validation was not implemented in June 2012 (its proposed remedial action date) for a number of reasons, principally due to if the IVR solution was implemented prior to the final PCI solution then an interim process would be required to track and process credit card payments were tracked and processed. This was seen to be to great a risk when dealing with customers who have made an urgent payment to avoid disconnection. A decision was made by the Synergy's project board to align the IVR and SAP/web changes into a single production release. Synergy proposes an implementation date of 31 October 2012. In the interim it will continue with its manual validation process.
Manager Responsible	Manager Program Delivery
Recommendation	Synergy should introduce a validation protocol that confirms the credit card payment number against customer details prior to processing the payment.
Management Response	Validation of the payment number for credit card payments received via the web and interactive voice response (IVR) was prioritised and planned to be implemented in two parts. The Web validation via the Zumba project and IVR through PCI project.



	The web validation was implemented via change request 341 on 29 September 2011. IVR validation is being implemented as part of the PCI project and is scheduled for implementation on 23 June 2012.
Implementation	Web - 29 September 2011
Date	IVR - 31 October 2012
BDO Follow Up	Web validation
Action	A change request was initiated on 29 September 2011 in relation to the validation of payments on the web DMS#3449838.
	The change was initiated and on 29 September 2011. Tested successfully
	with no bugs, meaning that there was a positive recommendation to
	transport the change into production. The testing was quality assured on 29
	September 2011. Thereafter formally accepted by the business on 29
	September 2011. Refer DMS 3377503v1



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.8(1)
Licence	
Obligation	
Compliance	205
Manual	200
Reference	
Obligation	A retailer must comply with the Conduct Principles set out in the guideline
Description	on debt collection issued by the Australian Competition and Consumer Commission.
Reporting Type	2
Compliance	3
Rating	
Audit Observation	Review of the debt management process noted that Synergy's debt recovery actions require the customer to be provided written notification of those amounts above a nominated threshold. In the event the customer has not responded, the customer is escalated to the Credit Management Team who has been provided the necessary training to manage the interaction with the customer throughout this process.
	If Synergy's recovery attempts have not been successful, the matter is referred to an approved outsource debt recovery professionals such as Dunn and Bradstreet.
	Our review of Synergy's internal controls relating to debt collection adhere to section 60 of the ACCC Trade Practices Act during the audit period and ensure that debtors are treated fairly and are not harassed, coerced or mislead as to the nature of their debt
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
	In its 2011/2012 Annual Electricity Retail Compliance Report, Synergy identified and reported if a bill is generated and a customer has an overdue balance, Synergy's standard bill messaging advises customers that by not paying the outstanding balance customer's are at risk of disconnection. Customers who are registered as life support are not at risk of disconnection for non-payment however, some life support customers received the standard bill message which does not apply to them. This occurrence was identified by Synergy's life support project which is reviewing all facets of its life support customers registered with Synergy. These customers who had an outstanding balance on their bill would have received the standard bill message for an overdue balance.
Manager Responsible	Manager Billing Services
Recommendation	Nil



Management Response	The issue has been progressed through Synergy's credit management collections strategy project. As part of this project the business and system processes that determine the wording that appears on the life support customer bills when their accounts are overdue and consequently actions have occurred to amend the bill. While the message that appeared on the bill stated life support customers risk disconnection if they do not pay their bill this will not occur as these customers are flagged in SAP as requiring life support and the SAP system prohibits any life support customer from being disconnected.
Management Implementation Plan(s)	The bill message was amended on 2 October 2012.
Implementation Date	2 October 2012



13. DETAILED FINDINGS - COMPLIANT (COMPLIANCE RATING 4 & 5)



Licence	Electricity Industry Act section 82
Condition	5
Operating	Code of Conduct Clause 7.6
Licence	
Obligation	
Compliance	235
Manual	
Reference	
Obligation	A retailer or a distributor must not arrange for disconnection or to
Description	disconnect a customer's supply address in the circumstances specified,
	subject to the exception specified
Reporting Type	1
Compliance	5
Rating	
Audit	Based on our discussion with the Credit Management team and
Observation	supplemented by a review of policies and procedures pertaining to
	disconnections and the SLA between Synergy and Western Power, Synergy
	has processes in place to align the disconnection practices with the
	requirement under the Code of Conduct.
	Synergy has established a "business as usual" practice whereby
	disconnections are not conducted mid-week after specified Code
	timeframes, on a Friday, Saturday, Sunday or a public holiday. Sample
	testing of disconnections times did not reveal any exceptions with regard to
	this obligation.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
	1



Condition Code of Conduct Clause 7.7(1) Lecence Obligation Compliance 236 Manual Reference Obligation A retailer must undertake the actions specified in circumstances where the customer provides the retailer with confirmation that a person residing at the customer's supply address requires life support equipment. Reporting Type 1 Compliance 5 Rating 1 Audt Interviews with the Team Leader Credit Management, review of policies and procedures relating to life support, we determined that Synergy has processes and practices in place to ensure where a confirmation from an appropriately qualified medical practitioner that a person residing at the customer's supply address requires life support, Synergy: • Has a register which records the customer's supply address as a life support equipment address: • Gives the customer's distributor relevant information (and requires receipt notification from the distributor's records and registers: and • Not arrange for disconnection for failure to pay a bill while the person continues to reside at the address and require the use of life support equipment. We observed and obtained a copy of the register which recorded the customer's supply address requires life support quire that the register is communicated to the distributor an anothly basis, which was confirmed through observation. Review of the disconnection policies and requires to a stomer's a upply address requires to be undertak	Licence	Electricity Industry Act section 82
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Obligation Description A retailer must undertake the actions specified in circumstances where the customer provides the retailer with confirmation that a person residing at the customer's supply address requires life support equipment. Reporting Type 1 Compliance Rating 5 Audit Observation Interviews with the Team Leader Credit Management, review of policies and procedures relating to life support, we determined that Synergy has processes and practices in place to ensure where a confirmation from an appropriately qualified medical practitioner that a person residing at the customer's supply address requires life support, Synergy: • Has a register which records the customer's supply address as a life support equipment address; • Gives the customer's distributor relevant information (and requires receipt notification from the distributor) about the customer's supply address for the purposes of updating the distributor's records and registers; and • Not arrange for disconnection for failure to pay a bill while the person continues to reside at the address and require the use of life support equipment. We observed and obtained a copy of the register which recorded the customer's supply address as an address where the customer on a monthly basis, which was confirmed through observation. Review of the disconnection policies and procedures provide for actions to be undertaken to ensure that it does not disconnect for failure to pay a bill where a customer has been identified as residing at a supply address. Based on our enquiries, review of documentation and sa		
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Recommendation Nil		have concluded that there are adequate and effective controls in place to
	Recommendation	Nil



	Electricity in the last on Action 20
Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct Clause 9.6(1)
Licence	Code of Conduct Clause 9.6(2)
Obligation	
Compliance	251 & 252
Manual	
Reference	
Obligation	
Description	
251	A retailer must not operate a pre-payment meter at the supply address of a residential customer if the residential customer, or a person residing at the residential customer's supply address, requires life support equipment.
252	If a pre-payment meter customer notifies a retailer that a person residing at the supply address depends on life support equipment, the retailer must undertake the actions specified.
Reporting Type	1, 1
Compliance	5
Rating	
Audit	Discussions with the Community Normalisation Project Team indicated that,
Observation	prior to the installation of pre-payment meters, GIHO was informed of the Code of Conduct's restriction relating to the operation of a pre-payment meter at supply address where a resident required life support equipment.
	Pre-payment meter applications were reviewed by the Project Team and GIHO to confirm that a person residing at a supply address did not require life support equipment. The Project Team compared the pre-payment meter applications to the life support register maintained by Synergy to ensure that a pre-payment meter was not installed at a supply address where resident required life support equipment was to reside.
	Vouching of the pre-payment meter customers to the Life Support Register was performed and no exceptions were noted.
	Furthermore, our testing confirmed that, upon notification of life support dependency by a pre-payment meter customer, Synergy would notify the network operator of the requirement to change the pre-payment meter. Further, the pre-payment meter customer will be offered the standard form contract for the supply of electricity and Synergy's life support process will be initiated.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry (Licence Conditions) Regulations
Condition	Electricity industry (Electrice conditions) Regulations
Operating	Electricity Industry Customer Transfer Code clause 3.2(2)
Licence	Electricity Industry Customer Transfer Code clause 3.5 (3)
Obligation	Electricity Industry Customer Transfer Code clause 3.6 (2)
Obligation	
	Electricity Industry Customer Transfer Code clause 3.9 (3)
	Electricity Industry Customer Transfer Code clause 4.2 (2)
	Electricity Industry Customer Transfer Code clause 4.3
	Electricity Industry Customer Transfer Code clause 4.4 (1)
	Electricity Industry Customer Transfer Code clause 4.4 (2)
	Electricity Industry Customer Transfer Code clause 4.5 (1)
	Electricity Industry Customer Transfer Code clause 4.6 (3)
	Electricity Industry Customer Transfer Code clause 4.7.
	Electricity Industry Customer Transfer Code clause 4.8(2)
	Electricity Industry Customer Transfer Code clause 4.9 (6)
	Electricity Industry Customer Transfer Code clause 4.11 (3)
	Electricity Industry Customer Transfer Code clause 4.12 (3)
	Electricity Industry Customer Transfer Code clause 4.15
	Electricity Industry Customer Transfer Code clause 5.1 (4)
	Electricity Industry Customer Transfer Code clause 6.2
	Electricity Industry Customer Transfer Code clause 6.4 (1)
	Electricity Industry Customer Transfer Code clause 6.4 (2)
	Electricity Industry Customer Transfer Code clause 6.6
	Electricity Industry Customer Transfer Code clause 0.0
	Electricity Industry Customer Transfer Code clause 7.1 (2)
	Electricity Industry Customer Transfer Code clause 7.1 (3)
	Electricity Industry Customer Transfer Code clause 7.2 (4)
	Electricity Industry Customer Transfer Code clause 7.3 (2)
Compliance	
Compliance	6,8,9,18,23,24,25,26,27,28,29,30,34,39,40,43,
Manual	45,48,49,52,53,54,55,56,57,58,59
Reference	
Obligation	
Description	
6	A retailer must submit a separate data request for each exit point unless
	otherwise agreed.
8	A retailer must withdraw "a request for" historical consumption data if the
	contestable customer's verifiable consent ceases to apply before the
	network operator provides the historical consumption data.
9	A retailer must pay any reasonable costs incurred by the network operator
	for work performed in relation to a withdrawn request for historical
	consumption data.
18	A retailer must not disclose a contestable customer's data to any other
	person without the verifiable consent of the contestable customer, except in
	the circumstances defined.
23	A retailer must submit a separate customer transfer request for each exit
23	point unless otherwise agreed.
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24	A retailer's reason for a transfer must be specified in the customer transfer request form as either to transfer a contestable customer to the retailer which submitted the customer transfer request or to reverse an erroneous transfer.
25	A retailer may only submit a customer transfer request if it has an access contract for the network, unless it is to reverse an erroneous transfer.
26	A retailer that submits a customer transfer request to reverse an erroneous transfer must ensure the transfer was made in error and, if it is an incoming retailer, confirm the identity of the previous retailer.
27	A retailer, unless otherwise agreed, must submit a customer transfer request electronically and must not submit more than a prescribed number of customer transfer requests in a business day or with the same nominated transfer date.
28	A retailer must withdraw a customer transfer request if the contestable customer's verifiable consent ceases to apply before the transfer occurs.
29	A retailer must nominate a transfer date in a customer transfer request in accordance with specified timeframes, except if the customer transfer request is to reverse an erroneous transfer.
30	A retailer must pay any reasonable costs incurred by a network operator for providing and/or installing a meter if a customer transfer request is withdrawn.
34	A network operator and retailer must agree to a revised nominated transfer date in certain circumstances.
40	The parties to an access contract must negotiate in good faith any necessary amendments to the access contract arising from certain circumstances.
43	In the case of a transfer to reverse an erroneous transfer, a network operator and all affected retailers (and the independent market operator if applicable) must act in good faith to ensure that the rights and obligations of the affected contestable customer are as they would have been had the erroneous transfer not occurred.
45	A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer.
48	A network operator and a retailer must comply with approved communication rules.
49	A licensee's notice in relation to a data request or customer transfer request must identify the exit point to which it relates.
52	A retailer must notify its contact details to a network operator within three business days of a request.
53	A retailer must notify any change in its contact details to a network operator at least three business days before the change takes effect.



54	A network operator or a retailer must send required electronic communications to the applicable electronic communication address, in accordance with Annex 6.
55	For a dispute in respect of a matter under or in connection with the Electricity Industry Customer Transfer Code, any disputing party must meet within five business days of a request from another disputing party and attempt to resolve the dispute by negotiations in good faith.
56	If the negotiations in 7.1(1) of the Electricity Industry Customer Transfer Code do not resolve the dispute within 10 days after the first meeting, the dispute must be referred to the senior executive officer of each disputing party who must attempt to resolve the dispute by negotiations in good faith.
57	If the dispute is resolved, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution.
58	A disputing party that refers a dispute to the Authority must give notice to the Authority of the nature of the dispute, including specified details.
59	A disputing party must at all times conduct itself in a manner which is directed towards achieving the objectives in clause 7.3(1) of the Electricity Industry Customer Transfer Code.
Reporting Type	All Type 2, except 55,56, 59 which is NR
Compliance Rating	5
Audit Observation	
6	The "Network Procedures and Process" manual is a user guide for the operation of customer transactions between the network operator and Synergy.
	Synergy requests data for each exit point through the network operator's web portal. Each exit point is identified by a unique market identifier, known as NMI. Therefore, any request for data, Synergy must provide the NMI.
	A request for data from the Contract Manager within the Retail Sales Team must identify the NMI and be provided to the Industrial and Commercial Transaction Officer.
	Through our enquiries with the Risk and Compliance Coordinator we are satisfied that there are appropriate policies and procedures to ensure that data requests are made for each exit point.
8	The Retail Sales Team is responsible for communicating to the Industrial and Commercial Transactions Officer if a customer's verifiable consent ceases to apply.
	We noted that the withdrawal for the request for historical consumption had not occurred during the audit scope period. We confirmed through examination of the data request log and discussions with the Customer Transactions Officer that there has not been a withdrawal of historical consumption data.



9	The network operator would invoice Synergy for the different types of services offered within the country and metropolitan zones i.e. provision of various metering services as identified within the SLA. Also, the network operator would send a separate invoice in relation to network access charges. We identified that there has been no withdrawn request for historical consumption data. If a withdrawal of historical consumption data were to occur, this would be noted in the data request Excel sheet. The network operator would not separately charge for the withdrawal of historical consumption data as this would be incorporated in the network access charges.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
18	Discussion with the Manager of Networks Regulatory and Compliance, Retail Sales Team and review of the customer transfer procedures, we observed that Synergy cannot disclose customer information to any person without a verifiable consent except in the circumstance defined.
	Our review also noted that Synergy requires a verifiable consent on a prescribed form from the customer prior to providing the data to a consultant or agent.
	Synergy employees have signed confidentiality agreements with the requirement of not to disclose third party information to any other person. Testing confirmed that Synergy have processes in place to ensure that they do not disclose contestable customer's data to any other person without the verifiable consent of the contestable customer.
23	Our interviews with the Industrial and Commercial Transaction Officer indicated that the application for a customer transfer request must have a NMI, which the unique identifier assigned to each exit point. The NMI number is supplied on the verifiable consent form or the notes on a task within SAP.
	Our review of the sampled customer transfer request forms revealed that each request had a NMI.
24	Synergy submits transactions under the Customer Transfer Code (CT Code) to Western Power through the Web Portal. The web portal will only accept a transfer for a contestable customer or to reverse an erroneous transfer. The design and operation of the Web Portal is regulated under the Communications Rules (which is approved by the Authority). The "drop down" menu within the customer transfer request form will only permit a customer transfer or reverse an erroneous transfer.
	The Web Portal (designed and operated) by Western Power operates in accordance with the Communications Rules and the CT Code.
	Based on our enquiries and review of the systems, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.



25	Based on our discussions with the Manager Network Regulatory and Compliance and review of the signed access contract confirmed, that
	Synergy has valid access arrangements to submit customer transfer request forms.
	In the absence of valid access contracts, Synergy would not be able to submit customer transfer request forms through network operator's web portal.
	Based on our enquiries and review of the systems, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.



26 Based on our discussions with the Risk and Compliance Coordinator indicated that in order to reverse an erroneous transfer, the Industrial and Commercial Transactions Officer would have to submit an erroneous transfer through the network operator's web portal. Further, the submission for the erroneous transfer can be made by the incoming or outgoing retailer. If a contestable customer is transferring out and is erroneous, then the other retailer must submit the erroneous transfer and subsequent to that Synergy would receive an e-mail receipt from the network operator of the erroneous transfer. Contract Managers in the Retail Sales Team would verify that the transfer is an error and needs to be transferred back to Synergy. In some situations the network operator would advise Synergy if there was an erroneous transfer for a customer transferring out. If there is an erroneous transfer for a contestable customer that is coming into Synergy, the Contract Manager in Retail Sales Team would inform that the customer is not transferring in. Synergy would make the erroneous request through the web portal. The Risk and Compliance Coordinator advised that the previous retailer is not identified where the transfer has been made in error The network operator would have knowledge of the previous retailer as it is the conduit between the retailers. Potential Erroneous Transfers: Transfers (are not immediate and) have a lead time and parties get early warning of pending transfers. The notification process under the Customer Transfer Code (CTC) provides Synergy with early visibility of a proposed transfer. Synergy is able to determine situations where it has not submitted a customer transfer request (CTR) for a proposed transfer and bring the matter to the attention of the network operator before the (potential erroneous transfer) is given effect. In these circumstances there is no erroneous transfer and the CTC does not require Synergy or the network operator to identify the previous retailer. Note in this case there has been no transfer and network operator corrects the error in the proposed nominated transfer date. However, it is important to note that the CTC does not require the network operator or the IMO to cooperate or assist Synergy to identify the previous retailer under clause 4.4 in the event there is an actual erroneous transfer. Actual Erroneous Transfer: If for some reason there is an actual erroneous transfer then Synergy does and must identify the previous retailer. This is typically done with the assistance of the customer and network operator in order to give effect to clause 4.15 of the CTC. That is, to rectify the error. Therefore, in summary, Synergy does identify the previous retailer, if there is an actual erroneous transfer, because it is also a necessary perquisite to rectify an erroneous transfer and to give effect to clause 4.15 of the CTC and any party (including the network operator) who does not permit the exchange of such information would be in breach of this clause 4.15. Based on our enquiries and review of the systems, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.



27	Examinations of customer transfer requests and discussions with the Risk and Compliance Coordinator indicated that requests can only be made through the network operator's web portal.
	Further, the network operator's web portal has system controls to ensure that the number of customer transfer requests or same nominated transfer dates is rejected if the number exceeds the prescribed amount.
	Contract Managers within the Retail Sales Team would provide the nominated transfer date through an e-mail or through the task within SAP.
	Based on our enquiries and review of the systems, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
28	The withdrawal of a customer transfer request must be initiated by the customer and the Retail Sales team would be the conduit to inform the Industrial and Commercial Transactions Officer.
	Our discussions with the responsible Synergy staff provided that if a transfer has not been completed and Synergy who submitted the original transfer request can initiate the withdrawal by selecting the "Request Withdrawal" tab in the customer transfer request form. However, if the customer transfer request form has been processed, then Synergy would have to submit an erroneous transfer through the network operator's web portal.
	Based on our enquiries and review of the systems, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
29	Our discussions with the Risk and Compliance Coordinator, review of policies and procedures and through testing, we confirmed that the network operator's web portal would automatically reject any nominated transfer dates that exceed the specified timeframes.
	The Retail Sales Team would provide the nominated transfer date. The Industrial and Commercial Transaction Officer would inform the Retail Sales Team if the nominated transfer date exceeds the specified timeframes and would require a revision of the nominated transfer date from the Contract Managers in the Retail Sales Team.
	Based on our enquiries and review of the systems, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.



30	Synergy has entered into a Service Level Agreement (SLA) with the network operator to provide various metering services. The SLA includes information on the costs and timeframes of metering work and services, including scheduled and off-cycle meter reading, electricity meter upgrades and installations, retailer credit management work and the provision of metering data for these tasks.
	The network operator would invoice Synergy on a monthly basis for the different types of services provided.
	We noted that the network operator will act upon the service request Synergy makes within the SLA and be charged accordingly. Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition.
34	Based on our discussion we noted that Synergy would have to withdraw the initial nominated transfer date and the customer transfer would have to be resubmitted through the web portal. The Contract Managers within the Retail Sales Team are responsible for providing the nominated transfer date and any revision of the nominated transfer date must be checked with the Contract Managers in the Retail Sales Team.
	The network operator's web portal is used as the gateway for nominating and agreeing to a revised nominated transfer date. The revised date must agree with the parameters set within the web portal.
	Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition.
39	Our discussions with the Risk and Compliance Coordinator noted that once the customer request form is completed with nominated transfer date, meter readings from the network operator are provided in half hour intervals on the nominated transfer date.
	If there are any issues with the interval meter readings, it may be due to the inability of the network operator gaining access to the customer's meter to change or reprogram it to an interval meter. The network operator would have to inform Synergy of the situation and subsequently inform the customer of the situation. As a result, the nominated transfer date would have to be revised.
	Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition, including clause 4.11(3) of the Customer Transfer Code.



40	Our discussions with the Manager Networks Regulatory and Compliance revealed that Synergy has an access contract with the network operator which has been approved by the Authority.
	During the audit period we noted that there has been no amendment to the access contract as it already gives effect to the requirements and objectives of the Customer Transfer Code.
	Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition.
43	Discussions with the Risk and Compliance Coordinator advised that the communication between the network operator and Synergy would be conducted through e-mail and the web portal to ensure reasonable measures are taken to restore rights and obligations of the affected contestable customer are as they would have been had the erroneous transfer not occurred.
	Furthermore, the Retail Sales Team would follow up with a contestable customer to ensure that the transfer is consistent with the contestable customer's request to transfer in or transfer out.
	Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition.
45	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it had breached this obligation as a customer that churned to another retailer continued to be billed by Synergy after the account had been closed and transferred to the new retailer. One customer was impacted. Synergy has implemented corrective action to ensure compliance with the obligation. This single occurrence was a result of a human error and is considered non-material in terms of the number of transactions performed. Synergy has since reiterated, by way of training and compliance workshops, the key procedures that staff need to adhere to prevent future re-occurrence. Synergy has existing systems in place via its regulatory incident register to capture and report regulatory incidents and breaches.
	Enquiries with the Risk and Compliance Coordinator indicated that within the information system, a note and a billing block is placed against the customer contract that is "churning out" to ensure that the customer transferring out is not billed until they are transferred out. Once transfer confirmation receipt is received from the network operator, the bill block is removed, enabling the last bill to be issued.
	Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition.



48	Our discussions with Synergy staff indicated that the current information system has been developed to ensure that it complies with communication rules. The Market Data Hub is a fully integrated application handling Electricity and Gas transactions. It is a gateway that manages the communication protocols to the market place. Synergy's information system was built to translate information external to Synergy and vice versa. The "Retail Bridge" was used as the gateway between Synergy and the external marketplace. Synergy's Market Transactions System Landscape and functional specifications address the key processes and intent of the communication rules.
	The Build Pack defines the procedures, processes and methods used to communicate between the network operator and Synergy.
	We reviewed a sample of B2B transactions that relate to the requirements of the communication rules.
	Through our review of processes and discussions we are satisfied that Synergy complies with this licence condition.
49	Enquiries with the Risk and Compliance Coordinator indicated that Synergy would not be able to make a data request or customer transfer request without a NMI. The NMI is provided on the customer's verifiable consent form.
	The NMI is the unique identifier assigned to each exit point.
	Through our enquiries with Synergy staff and review of the relevant documentation we are satisfied that Synergy has complied with this licence condition.



52	Discussions with the Risk and Compliance Coordinator and review of policies and procedures we are satisfied that Synergy has processes in place to notify its contact details to a network operator within three business days of a request.
54	Through discussions and observation, we verified that network transactions are communicated and processed via the Web Portal or WP Metering Services Centre. Networks.ROCC@westernpower.com.au & Energy.Sales@synergy.net.au are the email addresses used by Western Power and Synergy respectively. Where Synergy makes a communication by email in respect to a transfer under the Code, then Synergy uses Western Power's nominated email address: metering.customer.transfer.requests@westernpower.com.au.
55 to 58	Through our examination of the framework and discussions with the Manager, Networks Regulatory and Compliance we are satisfied that Synergy has a dispute resolution framework in place to ensure compliance with the licence conditions specified. Our enquiries during the audit period revealed that no notice of dispute had been issued. Synergy has a framework in place that mirrors the obligations dispute resolution, escalation requirements specified under the Transfer Code.
Recommendation	Nil



Licence	Electricity Industry (Licence Conditions) Regulations regulation 5(2)
Condition	Licentery mastry (Licence conditions) Regulations regulation (2)
Operating	Electricity Industry Customer Transfer Code clause 3.9 (1)
Licence	
Obligation	
Compliance	16
Manual	
Reference	
Obligation	A retailer may only use data relating to a contestable customer to provide a
Description	contestable customer with a quotation for the supply of electricity by the retailer to the contestable customer or to initiate a transfer in relation to a contestable customer.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Discussions with the Industrial and Commercial Transactions Officer indicated that a data request would only be made following a request from the Retail Sales Team. The Retail Sales Team uses the data to provide a quotation for the supply of electricity for a contestable customer that wishes to transfer to Synergy from another retailer.
	We reviewed the control procedures as per the Networks Process & Procedures document, and verified that a process for requesting and providing consumption history data exists.
	As per discussion with the Manager Business Sales & Support, for all customer transfer requests, signed copies of both the verifiable consent form and customer transfer requests are required to be obtained.
Recommendation	NII



Licence	Electricity Industry (Licence Conditions) Regulations regulation 5(2)
Condition	Electricity Industry Customer Transfer Code clause 2,0(2)
Operating Licence	Electricity Industry Customer Transfer Code clause 3.9(2)
Obligation	47
Compliance	17
Manual	
Reference	
Obligation	A retailer must not aggregate a contestable customer's historical
Description	consumption data with that of other contestable customers for the purposes of internal business development, if requested not to do so by the customer.
Reporting Type	2
Compliance	5
Rating	
Audit	Enquiries with the Retail Sales Team revealed that the verifiable consent
Observation	form provides the contestable customer an opportunity to inform Synergy if
	the contestable customer does not want their data to be aggregated for
	internal business development purposes.
	The Retail Sales Team would inform the Marketing Division if the contestable customer communicated that they do not want their historical consumption data to be aggregated for the purposes of internal business development. The Marketing Division would ensure that the historical consumption data for these contestable customers is stored in an Access database. Further, an interaction note is put against the customer's account.
	The Marketing Division confirmed that to date there have been no requests by a contestable customer not to aggregate the historical consumption data for internal business development purposes.
	Through our enquiries, we are satisfied Synergy has procedures in place to ensure that a contestable customer's historical consumption data is not used for internal development purposes if requested by the contestable customer.
Recommendation	NII



Licence	Electricity Industry (Licence Conditions) Regulations regulation 5(2)
Condition	
Operating	Electricity Industry Customer Transfer Code clause 3.9(4)
Licence	
Obligation	
Compliance	19
Manual	
Reference	
Obligation	A retailer must keep a copy of the verifiable consent received from a
Description	contestable customer for two years.
Reporting Type	2
Compliance	5
Rating	
Audit	Through our testing and discussions with the Manager Business Sales &
Observation	Support revealed that Synergy retained the verifiable consent for two years after the date the verifiable consent was given. The verifiable consent is saved into the Document Management System and Energy Sales Inbox.
	The Industrial and Commercial Transactions Officer would not proceed to obtain the historical consumption without sighting the verifiable consent from the contestable customer.
	Reviewed the control procedures as per the Networks Process & Procedures document, and verified that there is a control stating that the verifiable consent form received from a contestable customer must be kept for 2 years. In addition, the training guidelines for using the verifiable consent form was obtained from the Manager Business Sales & Support which outlines the instructions for processing the form and ensuring legal requirements are satisfied.
	Through our testing and enquiries we satisfied that Synergy has complied with this licence condition.
Recommendation	Nil



Licence	Electricity Industry (Licence Conditions) Regulations regulation 5(2)
Condition	Electricity industry (Licence conditions) Regulations regulation 5(2)
Operating	Electricity Industry Customer Transfer Code clause 4.16
Licence	Liectherty industry customer mansier code clause 4.10
Obligation	
Compliance	44
Manual	44
Reference	
	An incoming retailer must retain a conv of a verifical concept given by a
Obligation Description	An incoming retailer must retain a copy of a verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request for two years, except in the case of a customer transfer request to reverse an erroneous transfer.
Reporting Type	2
Compliance	5
Rating	
Audit	Through our testing and discussions with the Manager Business Sales &
Observation	Support revealed that Synergy retained the verifiable consent for two years after the date the verifiable consent was given. The verifiable consent is saved into the Document Management System and Energy Sales Inbox. The Industrial and Commercial Transactions Officer would not proceed to obtain the historical consumption without sighting the verifiable consent from the contestable customer.
	Reviewed the control procedures as per the Networks Process & Procedures document, and verified that there is a control stating that the verifiable consent form received from a contestable customer must be kept for 2 years. In addition, the training guidelines for using the verifiable consent form was obtained from the Manager Business Sales & Support which outlines the instructions for processing the form and ensuring legal requirements are satisfied.
	Through our testing and enquiries we satisfied that Synergy has complied with this licence condition.
Recommendation	Nil



1.1	
Licence	Electricity Industry (Licence Conditions) Regulations regulation 5(2)
Condition	
Operating	Electricity Industry Customer Transfer Code Annex 6 clause A6.2 (b)
Licence	Electricity Industry Customer Transfer Code Annex 6 clause A6.6
Obligation	Electricity Industry Customer Transfer Code Annex 6 clause A6.7
Compliance	69, 70, 71
Manual	
Reference	
Obligation	
Description	
69	A network operator and a retailer must establish a mechanism to generate
	an automated response message for each electronic communication (other
	than an automated response message) received at the electronic
	communication address.
70	The originator of an electronic communication must identify itself in the
	communication.
71	The originator of an electronic communication must use reasonable
	endeavours to adopt a consistent data format for information over time, to
	facilitate any automated processing of the information by the addressee.
Reporting Type	2,2,2
Compliance	5
Rating	
Audit	Based on our review of the Business Process Definition (functional design on
Observation	how the Market Data Hub operates) and testing of a sample of automated
	response messages confirmed that Synergy have established a mechanism to
	generate an automated response message for electronic communication
	received.
	Sampling of automated response messages also confirmed that the
	electronic communication identified the originator used reasonable
	endeavours to adopt a consistent data format for information over time, to
	facilitate any automated processing of the information by the addressee.
	Based on our discussions and confirmed through our testing procedures,
	Synergy is compliant with these licence obligations.
Recommendation	NII



Licence	Retail Licence condition 5.1
Condition	
Operating	Electricity Industry Act section 51
Licence	Electricity Industry (Customer Contracts) Regulations 2005
Obligation	Electricity Industry (Customer Contracts) Regulations 2005 regulation 5
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 6
Compliance	78, 79, 80
Manual	
Reference	
Obligation	
Description	
78	Where the licensee supplies electricity under a standard form contract, the
70	standard form contract must comply with the licensee's approved standard
	form contract on the Authority's website.
	TOTH CONTRACT OF THE AUTIONTY'S WEDSITE.
79	A non standard contract must be in a format that is easy to read and
17	expressed in clear, simple and concise language.
	expressed in clear, simple and concise language.
80	A non standard contract must specify when it comes into effect and the
00	period for which it has effect.
	period for which it has effect.
Reporting Type	2,2,2
Compliance	5
Rating	
Audit	
Observation	
78	Reviewed the Authority Approved Standard Form Contract that was approved
70	in December 2007 and the Standard Electricity Agreement that was used by
	Synergy during the audit period. No differences were noted.
	Synorgy during the dualt period. No unterences were noted.
	The Authority is currently reviewing the standard form contract.
	The Authority is currently reviewing the standard form contract.
79	Our read of the non standard form contract noted that the contract is in a
	form that is easy to ready.
	Torni that is easy to ready.
80	Reviewed Synergy's Small Use Business Plan and Large Use Business Plan
00	documents and noted that the effective date is evident on both these
	documents.
Recommendation	Nil
Recommendation	



Liconco	Retail Licence condition 5.1
Licence Condition	Retail Licence condition 5.1
Operating	Electricity Industry (Customer Contracts) Regulations 2005 regulation 7
Licence	Electricity Industry (Customer Contracts) Regulations 2005 regulation 8
Obligation	Electricity Industry (Customer Contracts) Regulations 2005 regulation 9
Obligation	Electricity Industry (Customer Contracts) Regulations 2005 regulation 7 Electricity Industry (Customer Contracts) Regulations 2005 regulation 10
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 10 Electricity Industry (Customer Contracts) Regulations 2005 regulation 11
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 12
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 12 Electricity Industry (Customer Contracts) Regulations 2005 regulation 13
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 14
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 15
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 16 &
	34 Electricity Industry (Customer Contracte) Degulations 2005 regulation 17
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 17
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 18
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 19
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 20
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 21
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 32
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 33(2)
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 33(3) &
	33(4)
Compliance	81, 82, 83,84, 85, 86, 87, 88, 89, 90, 91, 92, 93, 94, 95, 96, 97, 98
Manual Reference	
81	A non standard contract must specify certain information about the retailer.
82	A non standard contract must give an exact description of the goods and
02	services the retailer will provide under the contract.
83	A non standard contract must require the customer to pay for electricity supplied under the contract.
84	A non standard contract must prohibit the customer from tampering with or
	bypassing network equipment or allowing any other person to do so.
85	A non standard contract must describe the circumstances where a retailer
	has the right to disconnect supply and is required to reconnect supply.
	5 115 1 115
86	A non standard contract must require the retailer to deal with security
	deposits and the payment of interest in the manner specified.
87	A non standard contract must describe the retailer's obligations in relation
	to the provision of prices and tariff information.
88	A non standard contract must describe the procedures to be followed by the
	retailer in relation to the preparation, issue and review of customer bills.
89	A non standard contract must describe the matters relating to the
	termination of the contract specified in the regulation.
	p



non standard contract must inform the customer that the provisions of the entract may be amended without the customer's consent and describe the ocess for amendment of the contract including requirements for approval ad the way in which the amendment will be published. The non standard contract must require the retailer to notify the customer
any amendment to the contract.
non standard contract must deal with the assignment of rights and ligations including assignment without the customer's consent.
non standard contract must describe the procedures to be followed by the tailer in responding to a complaint made by the customer.
non standard contract must specify the steps by the retailer to ensure the formation held by the retailer is dealt with in a confidential manner.
non standard contract must deal with the governing law, the effect of an valid or unenforceable provision, the way in which notice may be given ad the use of electronic communication by the retailer.
non standard contract must not include a provision that excludes, restricts modifies the Code of Conduct for the Supply of Electricity to Small Use istomers unless it is authorised by the Code.
non standard contract must include details about the cooling off period ecified in the regulation.
non standard contract must authorise the customer to terminate the ntract at any time with no less than 5 days notice.
non standard contract that is a fixed contract must describe the matters lating to the termination of the contract specified in the regulation.
erified that the non-standard contract specifies the retailer's company me, ABN, registered office address, postal address, telephone number and nail address.
eviewed sample of a non standard contracts, and have verified that there is description of the goods and services that the retailer is to provide under at particular contract.
eviewed the non-standard contract and verified that the contract specifies e payment terms and the way in which it is calculated.
eviewed the non-standard contract and confirmed that the contract ecifies that a customer must not tamper with, bypass, circumvent or herwise interfere with the electricity supply equipment.
eviewed the non-standard contract and confirmed that the contract escribes the circumstances in which the retailer has a right to disconnect pply, and when they are required to reconnect supply.



86	Reviewed the non-standard form contract and confirmed that it does have a clause dealing with security deposits. Based on our discussions with the Manager Business Sales & Support, we were advised that Synergy did not take security deposits for small use customers during the audit period. Synergy does hold security deposits for a number of customers, all of which are large-use customers.
87	Reviewed the non-standard contract and verified that the contract describes Synergy's obligations in relation to the provision of prices and tariff information.
88	Reviewed the non-standard contract and verified that the contract does specify the procedures to be followed in relation to billing (including alternative payment arrangements) and the issue and review of customer bills.
89	Reviewed Synergy's Business Plan Terms and Conditions (version 6) and verified that the document has clauses that describe conditions, circumstances, obligations and rights in relation to the contract terminations.
90	Obligation 90 which relates to regulations 16 and 34 of the <i>Electricity</i> <i>Industry (Customer Contracts) Regulations 2005.</i>
	In our view the provision is compliant on the basis that:
	(i) the contract states Synergy can amend the contract at its discretion from time to time. The non-standard contract does not require the approval of a particular person or body and therefore there is no requirement to reflect the matter under the contract.
	(ii) the contract specifies how the contract will be amended.
	(iii) the contract specifies in the event Synergy amends the contract it has an obligation to notify the customer following ERA approval of the contract amendments. For a non-standard contract Synergy provides an individual notice to the customer.
	Synergy's electricity standard form contract states any changes to the terms and conditions will be published as required by the Economic Regulation Authority. Synergy publishes its amended contract on its website following approval by the Authority.
91	Review of the non-standard form contract verified that the contract does deal with the assignment of rights and obligations, including assignment without notice to the customer's consent.
92	Review of the non-standard form contract verified that the contract includes a procedure outlining that if a customer wishes to raise a complaint concerning Synergy's performance or their electricity supply, they should first contact Synergy to discuss the issue and it will be dealt with in accordance with Synergy's customer complaints policy.



93	Verified that the customer contract specifies the steps that are to be taken by the retailer to ensure that information held by the retailer about the customer is dealt with in a confidential matter.
94	Verified that the customer contract specifies miscellaneous clauses that deal with the governing law (Section 21.8), the effect of any invalid or unenforceable provision (Section 21.10), the way in which notice can be given (21.2) and the use of electronic communication by the retailer when dealing with a customer (21.3).
95	The non-standard contract does not include a clause that excludes, restricts or modifies the Code of Conduct for the supply of electricity to Small Use customers. A specific small use code customer form of agreement has been developed to ensure code requirements are addressed.
96	Our review of the Non-standard form contract notes there is a clause stating that "You may end the agreement within 10 days from the date of signing this form of agreement (Cooling-off period)".
97	Verified that the customer contract includes a clause which states that the contract must authorise the customer to terminate at any time by giving notice to the retailer not less than 5 days before the day on which the customer wants the contract to end.
98	Verified that the non-standard contract (fixed), must authorise the customer to terminate at any time by giving notice to the retailer not less than 20 days before the day on which the customer wants the contract to end. It also specifies any amount payable by the customer, by way of penalty, in the event that the customer terminates before the expiry date.
Recommendation	Nil



Licence	
O and Hilliam	Retail Licence condition 28.1
Condition	
	Electricity Industry (Customer Contracts) Regulations 2005 regulation 38
Licence	
Obligation	
	100
Manual	
Reference	
Obligation	Where the licensee becomes aware of a customer taking a supply of
Description	electricity that is deemed to be supplied under the licensee's standard form contract, the licensee must, within 5 days after becoming aware notify the customer of the specified information.
Reporting Type	2
	5
Rating	
	Based on our discussions Manager Credit Management Strategy and a review
r t	of policies and procedures, we noted that Synergy has a process in place to monitor situations where customers are using electricity without establishing their identity for billing purposes. This situation is referred to as non- application.
	SAP is configured to monitor energy data where electricity is being consumed without a business partner contract. If this situation does arise, a letter will be auto-generated from SAP and sent out to the relevant premises within 5 days. Synergy's letter advises the customer that they have commenced taking a supply of electricity without establishing a contract and therefore have been deemed to enter into a standard form contract The letter further states if the customer does not contact Synergy within a defined period disconnection may occur. A disconnection letter is sent out 10 days later.
1	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Retail Licence condition 14.1
Condition	
Operating	Electricity Industry Act section 13(1)
Licence	Electricity industry Act section 15(1)
Obligation	404
Compliance	101
Manual	
Reference	
Obligation	A licensee must, not less than once every 24 months, provide the Authority
Description	with a performance audit conducted by an independent expert acceptable
	to the Authority.
	,
Reporting Type	NR
Compliance	5
Rating	
Audit	The Legal, Regulatory and Audit department advised that reporting
Observation	requirements are monitored through both a regulatory calendar and weekly
	work program review.
	We obtained a copy of the calendar and observed scheduling of the specific
	activities pertaining to the reporting requirements.
	detrifties per taining to the reporting requirements.
	The engagement of the current performance audit occurred within 18
	months of the previous audit. The Authority had approved the current
	performance auditors.
Decommondation	
Recommendation	Nil



Licence	Retail Licence condition 4.1
Condition	
Operating	Electricity Industry Act section 17(1)
Licence	
Obligation	
Compliance	105
Manual	
Reference	
Obligation	A licensee must pay to the Authority the prescribed licence fee within one
Description	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.
Reporting Type	2
Compliance	5
Rating	
Audit	The Legal, Regulatory and Audit department is responsible for receiving
Observation	notification for payment and sending confirmation of payment of the prescribed licence fee.
	The Authority will send an invoice for payment, which the Manager Retail Regulatory and Compliance will recommend for payment. Once recommendation has been made, the Legal, Regulatory and Audit department will forward the recommendation to Accounts for settlement. If Synergy has not yet received an invoice by a timeframe indicated within the regulatory calendar, Synergy will initiate a request for the invoice.
	We consider that the systems and processes in place adequate and effective in ensuring that licence fees would be paid as required. Our testing indicated that Synergy had been fully compliant in its payment requirements.
Recommendation	Nil



Licence	Retail Licence condition 5.1
Condition	
Operating	Electricity Industry Act section 31(3)
Licence	
Obligation	
Compliance	106
Manual	
Reference	
Obligation	A licensee must take reasonable steps to minimise the extent or duration of
Description	any interruption, suspension or restriction of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause.
Reporting Type	NR
Compliance	5
Rating	
Audit Observation	The Legal, Regulatory and Audit department, Crisis Management Team and Wholesale are responsible for minimisation of interruption, suspension or restriction to the supply of energy.
	Synergy has contractual arrangements in place with the network operator to ensure that the network operator exercises the steps necessary to minimise any network disruption to supply. If an event should occur whereby the generator is unable to supply electricity, Wholesale will purchase supply from alternate providers to help minimise disruption.
	The existence of the Crisis Management Team, the crisis management policy and contractual considerations already made demonstrate that adequate steps have been taken to ensure a minimal impact on the extent and duration of supply interruption.
Recommendation	Nil



Licence	Retail Licence condition 24.1
Condition	
Operating	Electricity Industry Act section 54(1)
Licence	
Obligation	
Compliance	108
Manual	
Reference	
Obligation Description	A retail or integrated regional licensee must not supply electricity to a small use customer otherwise than under a standard form contract or a non- standard form contract.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions confirmed that Retail (Contact Centre) and Energy Markets are
Observation	responsible for handling new contracts.
	For a standard form contract, customer's typically request Synergy to supply who is then obliged to offer to supply small use customers. Synergy confirmed that they would not supply electricity to a residence without a corresponding contract.
	We consider that the systems and processes in place were adequate and effective in ensuring that Synergy does not supply small use customers without a contract.
Recommendation	Nil



Licence	Retail Licence condition 25.4
Condition	
Operating	Electricity Industry Act section 54(2)
Licence	
Obligation	
Compliance	109
Manual	
Reference	
Obligation	A licensee must comply with any direction by the Authority to amend the
Description	standard form contract and do so within the period specified.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Based on our discussions with the Legal, Regulatory and Audit department indicated that a review of the standard form contract taking place is currently. Synergy was directed by the Authority to review its contract against the new Australian Consumer Law. The revised draft contract is currently with the Authority for review and comments.
	We noted that the process is documented in the Legal, Regulatory and Audit department's operations manual.
	Synergy has been liaising with the Authority in regards to this review, with correspondence being via mail, email and meetings.
Recommendation	Nil



Licence	Retail Licence condition 27.1
Condition	
	Electricity Industry Act section 74
Operating	Electricity Industry Act section 76
Licence	
Obligation	
Compliance	110
Manual	
Reference	
Obligation	If a designation under section 71(1) of the Electricity Industry Act is in force
Description	a licensee must perform the functions of a retailer of last resort and must
	carry out the supplier of last resort plan if it comes into operation under
	section 70 of the Electricity Industry Act.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions with Manager Retail Regulatory and Compliance revealed that
Observation	Synergy has a Supplier of Last Resort (SOLR) implementation group.
	- · · · · · · · · · · · · · · · · · · ·
	We observed that the group had taken proactive measures in developing the Supplier of Last Resort and considered the triggers necessary for the plan to be implemented. However this work is pending subject to enactment of legislation by the state government. The Authority has similarly suspended the obligation to submit the SOLR Plan pending enactment of the legislation by the state government.
Recommendation	Nil



Licence	Retail Licence condition 21.1
Condition	
Operating	Electricity Industry Act section 101
Licence	
Obligation	
Compliance	111
Manual	
Reference	
Obligation	A retail, distribution or integrated regional licensee must not supply
Description	electricity to small use customers unless the licensee is a member of an
	approved scheme and is bound by and compliant with any decision or
	direction of the electricity ombudsman under the approved scheme.
Reporting Type	2
1 3 51	
Compliance	5
Rating	
Audit	Through discussion with synergy staff and review of the electricity
Observation	ombudsman report, we confirmed that Synergy is a member of the
	Ombudsman scheme and has a member of staff appointed as key liaison.
	······································
Recommendation	Nil



Licence	Retail Licence condition 5.1
	Retail Licence condition 5.1
Condition	
Operating	Electricity Industry Act section 115(2)
Licence	
Obligation	
Compliance	113
Manual	
Reference	
Obligation	A licensee that has, or is an associate of a person that has, access to services
Description	under an access agreement must not engage in conduct for the purpose of
	hindering or prohibiting access.
Reporting Type	2
Compliance	5
Rating	
Audit	Through our interviews held with the Manager Retail Regulatory and
Observation	Compliance we determined that there were sufficient controls in place to
	ensure compliance with the obligation.
	······································
	Review of Synergy's Application Queuing Policy internal audits show no
	evidence of non-compliance that could allow conduct for the purpose of
	hindering or prohibiting access.
	mildering of promoting access.
Decommondation	Nil
Recommendation	IVII



Licence	Electricity Industry Act section 11
Condition	
Operating	Retail Licence condition 23.1
Licence	
Obligation	
Compliance	114
Manual	
Reference	
Obligation	A licensee must ensure that an electricity marketing agent of the licensee
Description	complies with the applicable codes.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Discussions with Marketing, Branding and the Legal, Risk and Audit department revealed that Knowledge Base policy and training exists in relation to these obligations. Contractors would also be bound to comply with these obligations through their contractual agreements.
	Synergy has in place a process which requires any suspected breaches of the applicable code conditions by a marketing agent to be reported to the LRA. The matter would then be investigated and, where LRA has determined that it is a confirmed breach, a report would be provided to the Authority within the prescribed annual timeframe.
	Branding and the Legal, Risk and Audit department advised that Synergy do not currently contract any marketing agents.
Recommendation	Nil



Licence	Retail Licence condition 23.2
Condition	Retail Licence condition 23.2
	Electricity Inductor Act contino 11
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	115
Manual	
Reference	
Obligation	The licensee must report a breach of the applicable code conditions by an
Description	electricity marketing agent to the Authority within the prescribed
	timeframe.
Reporting Type	2
Compliance	5
Rating	
Audit	Based on our discussions with the Legal, Regulatory and Audit department,
Observation	we understand that Synergy has in place a process which requires any
Observation	suspected breaches of the applicable code conditions by a marketing agent
	to be reported to the Legal, Regulatory and Audit department. The matter
	would then be investigated and, where the Legal, Regulatory and Audit
	department has determined that it is a confirmed breach, a report would be
	provided to the Authority within the prescribed annual timeframe.
	The Legal, Regulatory and Audit department advised that Synergy did not
	contract any marketing agents during the audit period for the purpose of
	entering into electricity supply contracts. This role is performed by Synergy
	staff.
Recommendation	Nil



Licence	Retail Licence condition 24.2
Condition	Retail Licence condition 24.2
Condition	Retail Licence condition 25.1
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	116, 117, 118
Manual	
Reference	
Obligation	
Description	
116	A licensee must, if directed by the Authority, review the standard form contract and submit to the Authority the results of that review within the time specified by the Authority.
117	A licensee must comply with any direction given by the Authority in relation to the scope, process and methodology of the standard form contract review.
118	A licensee may only amend the standard form contract with the Authority's approval.
Reporting Type	NR, NR, 2
Compliance	5
Rating	
Audit Observation	Based on our discussions with the Legal, Regulatory and Audit department indicated that a review of the standard form contract taking place is currently. Synergy was directed by the Authority to review its contract against the new Australian Consumer Law. The revised draft contract is currently with the Authority for review and comments.
	We noted that the process is documented in the Legal, Regulatory and Audit department's operations manual.
	Synergy has been negotiating with the Authority in regards to this review, with correspondence being via mail, email and meetings.
	The standard form contract review was submitted to the Authority in accordance with timeframes determined by the Authority.
Recommendation	NII



Licence	Retail Licence condition 13.4
Condition	
Operating	Electricity Industry Act section 11
Licence	5 5
Obligation	
Compliance	120
Manual	
Reference	
Obligation	A licensee must comply with any individual performance standards
Description	prescribed by the Authority.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Based on our discussions with the Legal, Regulatory and Audit department, it was conformed that while Synergy has unique obligations outlined within the Electricity Industry Act and various regulations, Synergy has had no individual performance standards prescribed by the Authority under its retail licence for the current period.
	The Legal, Regulatory and Audit department indicated that a framework exists to deal with individual performance standards if prescribed, including its licence control register, incident reporting system and compliance coordinator forum.
Recommendation	Nil



Licence	Retail Licence condition 14.2
Condition	
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	121
Manual	
Reference	
Obligation	A licensee must comply, and require its auditor to comply, with the
Description	Authority's standard audit guidelines dealing with the performance audit.
Reporting Type	2
Compliance	5
Rating	
Audit	On review of the previous year's audit report, we were able to verify that
Observation	the format and content agree to the Authority's audit guidelines. The prior
	year audit plan and current year audit plan have been agreed to the
	guidelines and approved by the ERA.
Recommendation	Nil



Licence	Retail Licence condition 15.1
Condition	
	Electricity Industry Act excetion 11
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	123
Manual	
Reference	
Obligation	A licensee must report to the Authority, in the manner prescribed, if a
Description	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.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews held with the Legal, Regulatory and Audit department revealed
Observation	
Observation	that synergy is a western Australian Government owned entity; it is unlikely
	that Synergy is a Western Australian Government owned entity; it is unlikely that they would be placed under external administration. However,
	that they would be placed under external administration. However,
Observation	that they would be placed under external administration. However, discussions with LRA advised that there are procedures in place to advise the
Observation	that they would be placed under external administration. However,
	that they would be placed under external administration. However, discussions with LRA advised that there are procedures in place to advise the Authority of any significant change in compliance status.
Recommendation	that they would be placed under external administration. However, discussions with LRA advised that there are procedures in place to advise the



Licence	Retail Licence condition 17.1 and 17.2
Condition	
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	125
Manual	
Reference	
Obligation	A licensee must publish any information it is directed by the Authority to
Description	publish, within the timeframes specified.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions with the Legal, Regulatory and Audit department confirmed that
Observation	Synergy received no direction by the Authority during the audit period to
	publish any information other than already required, such as the annual
	performance report.
Recommendation	Nil



Licence	Retail Licence condition 18.1
Condition	
Operating	Electricity Industry Act section 11
Licence	
Obligation	
Compliance	126
Manual	
Reference	
Obligation	Unless otherwise specified, all notices must be in writing.
Description	
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Discussions with the Legal, Regulatory and Audit department indicated that correspondence with the Authority has been by mail and email as well as by telephone. Verified that there is a process for communicating with the Authority, and that all notices required by the Authority must be done in writing.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.1
Licence	Retail Licence condition 23.1
Obligation	
Compliance	127
Manual	
Reference	
Obligation	A retailer must ensure that its electricity marketing agents comply with Part
Description	2 of the Code of Conduct, subject to clause 2.1A.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions with the Contact Centre Manager and Contact Centre Compliance
Observation	Coordinator indicated that Synergy ensures marketers comply with Code of Conduct requirements by monitoring of marketing phone calls, provision of ongoing coaching and training with regard to the Code of Conduct requirements.
	Enquiries with the Contact Centre Manager indicated that marketing calls are monitored against a set of agreed standards as prescribed within Synergy's quality assurance manual. Call contact records are retained within the NICE Perform system.
	Sample testing of marketing calls confirmed that Synergy has processes in place to ensure marketing representatives comply with the licence obligation.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.2
Licence	Retail Licence condition 23.1
Obligation	
Compliance	128
Manual	
Reference	
Obligation Description	An electricity marketing agent must ensure that standard and non-standard contracts are entered into in the manner and satisfying the conditions specified.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Through discussions with the Contact Centre Manager, Contact Centre Compliance Coordinator, Retail Sales Manager and Retail Sales Compliance Coordinator, and observation of business practice, we determined that the terms and conditions of a standard form contract are available to customers at no charge and are posted on the Synergy website. Further, non standard contracts are all in writing with the associated terms and conditions. The non standard contracts are posted or e-mailed to the customer at no charge for approval from the customer.
	Synergy advised that they do not engage in door to door marketing and that non-standard form contracts entered into cannot be processed until the customer signs the contract. Based on our test procedures, Synergy is compliant with the licence obligation.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.3(1)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	129
Manual	127
Reference	
Obligation	An electricity marketing agent must ensure that the information specified is
Description	provided to the customer before arranging a contract.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Enquiries made with the Contact Centre Compliance Coordinator indicated that, Synergy's Contact Centre department only handle customers who request a new connection under a standard form contract.
	Verifiable consent is implied upon a customer request. Voice recordings are retained as proof of verifiable consent. Call contact records are retained within the NICE Perform system.
	Sample testing of marketing calls confirmed that Synergy has processes in place to ensure marketing representatives comply with the licence obligation.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.3(2)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	130
Manual	
Reference	
Obligation Description	Where a standard form contract is not entered into as a result of door to door marketing or for a non-standard contract initiated by telephone or electronic means by the customer, an electricity marketing agent must obtain and make a record of the customer's verifiable consent that the specified information has been given.
Reporting Type	2
Compliance Rating	5
Audit Observation	Enquiries made with the Contact Centre Compliance Coordinator indicated that, Synergy's Contact Centre department only handle customers who request a new connection under a standard form contract. Verifiable consent is implied upon a customer request. Voice recordings are retained as proof of verifiable consent. Call contact records are retained within the NICE Perform system. Based on our enquiries, review of the protocols and the review of sampled
	voice recordings, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	, , ,
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.3(3)
Obligation	
Compliance	131
Manual	
Reference	
Obligation Description	Where a standard form contract is entered into as a result of door to door marketing or for a non-standard contract (other than that initiated by telephone or electronic means by the customer), an electricity marketing agent must obtain the customer's written acknowledgement that the specified information has been given.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	The Manager Contact Centre, Contact Centre Compliance Coordinator, Retail Sales Manager and Retail Sales Compliance Coordinator advised that Synergy does not engage in standard form contracts as a result of door to door marketing.
	Through interviews with the Retail Sales Compliance Coordinator we ascertained that Synergy requires all non standard contracts to be in writing. The customer execution of the non standard contract provides written acknowledgement that the information provided in the Code of Conduct has been given to the customer.
	Based on our enquiries, review of the protocols and review of samples of non standard contracts, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.4(1)
Licence	Retail Licence condition 23.1
Obligation	
	132
Compliance Manual	132
Reference	
Obligation Description	Where the customer has entered into a new contractual relationship with a retailer or electricity marketing agent, the retailer or electricity marketing agent must offer to provide the customer with a copy of the contract and, where this offer is accepted by the customer, provide a copy of the contract at that time or as soon as possible thereafter.
Reporting Type	2
Compliance	5
Rating	
Audit	Through discussions with the Manager Contact Centre, Contact Centre
Observation	Compliance Coordinator, Manager Retail Sales and Retail Sales Compliance Coordinator, we determined that Synergy CSRs offer to provide the customer a copy of the contract. Where this offer is accepted, CSRs provide a copy of the contract at that time or as soon as possible thereafter through an automated process within SAP.
	Through enquiries with the Contact Centre Compliance Coordinator we ascertained that a customer who has entered into a new standard form contract is provided a copy of the contract through a CSR operator initially sending a request/task to the Customer Support Service back office team.
	The back office team then act upon the task and if they do not act upon it within the specified time frame, an alert function in the system flags the team member to ensure it is completed within that timeframe.
	Enquiries with the Retail Sales Compliance Coordinator revealed that a customer who has entered into a new non standard form contract is sent a copy of the contract through post or as attachments in an e-mail before the contract is entered into.
	Sample testing of voice recordings of standard form contracts and non- standard form contracts during the audit scope period confirmed that Synergy CSR's provide a copy of the contract in a timely manner.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.4(3)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	134
Manual	
Reference	
Obligation	
Description	
134	Subject to clause 2.4(5), in circumstances where a standard form contract is not entered into as a result of door to door marketing, a retailer or electricity marketing agent must give the specified information no later than with, or on, the customer's first bill and if requested by the customer, and the customer has not previously been provided a copy of the contract, a copy of the contract must be provided to the customer at no charge.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Through enquiries made with the Contact Centre Manager, Contact Centre Compliance Coordinator, Retail Sales Manager and Retail Sales Compliance Coordinator, it was revealed that Synergy does not enter into standard - form contracts as a result of door to door marketing.
	Discussions with the Retail Sales Compliance Coordinator revealed a customer is provided a copy of the Customer Service Charter, a copy of the Contract and the terms and conditions through post or as attachments in an e-mail. The specified information is contained within the Customer Service Charter issued to new contractual customers and on the customer's bill.
	Within Synergy's SAP customer relationship management system a "task "is issued to the sales administration team with instructions to package and issue the specified information to customers. When this task has been actioned, the task is then recorded as closed: "completed status". All actions on CRM tasks are system date and time stamped, therefore providing appropriate records on information sent.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.4(4)
Obligation	
Compliance	135
Manual	
Reference	
Obligation Description	Subject to clause 2.4(5), in circumstances where a standard form contract is entered into as a result of door to door marketing or a non-standard contract, a retailer or electricity marketing agent must give the specified information and a copy of the contract before the customer has entered into the contract and the electricity marketing agent must obtain a written acknowledgement that the information has been given.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Through enquiries made with the Contact Centre Manager, Contact Centre Compliance Coordinator, Retail Sales Manager and Retail Sales Compliance
	Coordinator, it was revealed that Synergy does not enter into standard - form contracts as a result of door to door marketing.
	Discussions with the Retail Sales Compliance Coordinator revealed a customer is provided a copy of the Customer Service Charter, a copy of the Contract and the terms and conditions through post or as attachments in an e-mail. The specified information is contained within the Customer Service Charter issued to new contractual customers and on the customer's bill.
	Synergy has systems in place to record information that is sent to customers electronically in compliance with clause 2.4(4) of the Code. Within SAP, a task is issued to the Sales Administration team with instructions to package and issue specified information to the customers. When this task has been actioned, the task is then recorded as closed. All actions on CRM tasks are system updated/time stamped therefore providing appropriate records on information sent to customers.
	Based on our enquiries, review of the protocols and review of samples of contracts and customer bills, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	Electricity industry Act section 62
Operating	Code of Conduct clause 2.5(1)
Licence	Code of Conduct clause 2.5(1)
Obligation	Retail Licence condition 23.1
Compliance	136 & 137
Manual	
Reference	
Obligation	
Description	
136	An electricity marketing agent must not, when marketing, engage in conduct that is misleading, deceptive or likely to mislead or deceive or that is unconscionable.
137	An electricity marketing agent must not exert undue pressure on a customer, nor harass or coerce a customer.
Reporting Type	2,2
Compliance	5
Rating	
Audit	Interviews held with Synergy staff revealed that marketing material and
Observation	campaigns are regulated through Synergy's Corporate Affairs and Legal and Regulatory departments. These departments sign off marketing material for approval.
	The segregation of duties and supervisory review elements helps ensure marketing representatives do not engage in unethical conduct. Additionally, staffs are provided ongoing Safetrac training programs regarding the Code of Conduct requirements.
	Synergy also has an annual requirement for staff to undertake and pass an annual - test in relation to its misleading and deceptive conduct training program (via Safetrac).
	Enquiries with the Contact Centre Compliance Coordinator revealed that there have not been any complaints made by customers based on unethical behaviour by a Synergy staff member throughout the audit period in relation to a new contract.
	Based on our enquiries and review of approved Marketing material campaigns, we determined that Synergy has adequate and effective processes in place to ensure marketing representatives do not engage in unethical behaviour.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.5(3)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	138
Manual	
Reference	
Obligation	An electricity marketing agent must ensure that the inclusion of concessions
Description	is made clear to customers and any prices that exclude concessions are disclosed.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews held with Marketing indicated that a marketing representative
Observation	would provide a copy of the Customer Service Charter to customers. The Customer Service Charter and the Synergy website include a clear list of rebate eligibility based on concessions held.
	Furthermore, every Synergy bill to residential customers contains a concessions statement regarding concessions eligibility and Centrepay payment option.
	Review of Knowledge Base confirmed that materials exist regarding the inclusions and exclusions of various concession cards. Additionally, sample testing of bills confirmed the inclusion of concession
	information.
	Based on our enquiries, reviews and testing we determined that Synergy has adequate and effective processes in place to support compliance with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	Liectherty industry Act section of
Operating	Retail Licence condition 23.1
Licence	
	Code of Conduct clause 2.5(4)
Obligation	400
Compliance	139
Manual	
Reference	
Obligation	An electricity marketing agent must ensure that all standard form contracts
Description	that are entered into as a result of door to door marketing and all non-
	standard contracts are in writing.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions with the Contact Centre Manager, Contact Centre Compliance
Observation	Coordinator, Retail Sales Manager, and Retail Sales Compliance Coordinator
	indicated that Synergy does not enter into standard form contracts as a
	result of door to door marketing and all non-standard form contracts entered
	into are in writing.
	5
	Enquiries with the Retail Sales Compliance Coordinator indicated that
	Synergy CSRs must obtain customer consent in writing when entering non-
	standard form contracts. The consent form is sent to the customer who then
	signs and sends it back to Synergy for assessment. The customer is then
	offered a contract and Synergy forwards a copy of the contract to the
	customer. Once the agreement is signed by the customer, a copy of the
	signed "Agreement Application" is emailed to the customer.
	signed Agreement Application is emailed to the customer.
	Sampling of non-standard form contracts entered during the Audit Scope
	Period confirmed that all non-standard form contracts are in writing.
	r enoù commet mat an non-standard form contracts are in writing.
Recommendation	Nil
Recommendation	



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.5(5)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	140
Manual	
Reference	
Obligation	A retailer or other party must ensure that a customer is able to contact the
Description	retailer or other party on the retailer's or other party's telephone number during normal business hours for the purposes of enquiries, verifications and complaints.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Discussions with the Manager Retail Marketing revealed that a customer is able to contact the marketer through the Contact Centre department during normal business hours between 7am and 7pm, Monday to Friday, for the specified purposes.
	Synergy's Contact Centre Department ensures that CSRs are available during operating business hours through their workforce planning schedules. The Synergy telephone number is quoted on the customer invoice, web, brochures and telephone directory.
	Our review of Synergy's marketing material/campaigns and forecasted Contact Centre staff rosters confirmed that a customer is able to contact Synergy during normal business hours for the purposes of enquiries, verifications and complaints.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(1)
Obligation	
Compliance	141
Manual	
Reference	
Obligation Description	An electricity marketing agent must provide the information specified to the customer when marketing by means other than face to face and after having identified the purpose of the contact, if the contact is not by electronic means, the electricity marketing agent must ask the customer whether they wish to proceed further.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions with the Contact Centre Manager, Contact Centre Compliance
Observation	Coordinator, Retail Sales Manager and Retail Sales Compliance Coordinator it was revealed that Synergy does not contact potential new customers through direct telemarketing campaigns. However, in the case that Synergy engages in direct telemarketing
	campaigns, the Retail Sales department have a sales script and team leaders will be tasked to monitor phone calls to ensure that CSRs comply with Code of Conduct requirements.
	When dealing with existing customers, CSRs are advised that no personal information is provided to the customer before a three point identity check is completed. This means that CSRs are not required to provide the account number of the supply address. From the customer, the CSR is required to obtain three points of identification before they can provide any information about the account and proceed with the call. The CSRs are provided with an outbound calling script, including a script that the CSR's need to use when communicating with business partners.
	Based on our enquiries and review of the protocols, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	5 5
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(2)
Obligation	
Compliance	142
Manual	
Reference	
Obligation	An electricity marketing agent must, on request, provide the customer with
Description	the information specified.
Reporting Type	2
Compliance	5
Rating Audit	Disquesions with the Contact Contro Compliance Coordinates and Detail Color
Observation	Discussions with the Contact Centre Compliance Coordinator and Retail Sales
	Compliance Coordinator revealed that, Synergy CSRs are aware that they must refer the customer to the Synergy website where they may obtain the
	Synergy complaints policy and other information. Synergy's general enquiries
	telephone number (131353) is also its complaints telephone number.
	Therefore any CSR is able to receive a customer complaint. Synergy's CSRs
	would also provide their identification number to a customer if requested
	over the telephone. However, this would be a rare event. Most customers
	require a first name.
	Synergy's CSRs are instructed to have their marketing identification number
	included on all electronic messages.
	Enquiries with the Retail Sales Compliance Coordinator indicated that
	Synergy did not engage in direct telemarketing campaigns during the audit
	period. However, in the case that Synergy engages in direct telemarketing
	campaigns, the Retail Sales department have a sales script and team leaders
	monitor phone calls to ensure that CSRs provide the customer with the information encodified in Clause $2 + (2)$ of the Code
	information specified in Clause 2.6(2) of the Code.
	Based on our enquiries and review of the protocols, we have concluded that
	there are adequate and effective controls in place to support compliance
	with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(3)
Obligation	
Compliance	143
Manual	
Reference	
Obligation	An electricity marketing agent who meets with a customer face to face
Description	must:
	 as soon as practicable tell the customer the purpose of the visit;
	• wear a clearly visible and legible identity card showing the information
	specified; and
	• as soon as practicable provide the information specified in writing to the
	customer.
Reporting Type	2
Compliance	5
Rating	
Audit	Through discussions with the Manager Business Sales and Support, we
Observation	determined:
	• Synergy marketing representatives only meet with customers face to face
	for the purpose of marketing campaigns at Trade exhibitions and displays
	as Synergy does not engage in door to door marketing.
	• Synergy marketing representatives are made aware that they must wear a
	clearly visible and legible identity card showing the specified information
	as they are briefed before marketing campaigns and as soon as
	practicable tell the customer the purpose of the campaign.
	Staff members working at the trade shows are required to wear Synergy
	branded clothing or uniforms and staff ID cards which state the staff
	member's full name and ID number. Visitors to the stand are provided with
	brochures and other information available at the stand. It is at the discretion
	of customers whether they take the information or not at the trade shows.
	Based on our enquiries and review of marketing material issued to staff prior
	to campaign plans we are satisfied that Synergy complies with this licence
	condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	Lieutierty industry Act section 02
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(4)
Obligation	
Compliance	144
Manual	144
Reference	
	If when monitoring to a system on the system or indicates that they wish to
Obligation Description	If, when marketing to a customer, the customer indicates that they wish to end the contact, the electricity marketing agent must end the contact as soon as practicable and not attempt to contact the customer for the next 30 days unless the customer agrees otherwise.
Reporting Type	2
Compliance Rating	5
Audit Observation	Through enquiries made with the Manager Business Sales and Support and Retail Sales Compliance Coordinator, we determined Synergy marketing representatives did not contact potential new customers through direct telemarketing campaigns during the audit period. However, in the case that Synergy engage in direct telemarketing campaigns, the Retail Sales department have a sales script and team leaders monitor phone calls to ensure that CSR's comply with Code of Conduct requirements. Synergy advised it is not aware of requests by customers for no further contact beyond product or promotional offerings other than where a customer requests no further contact in respect to an outstanding bill(s). Synergy however, does not consider the 30 day no contact limitation applies with respect to its obligations to contact a customer in relation to issuing a bill, reminder notice or disconnection waring as these contacts (and
	associated timeframes) are specifically legislated under the Code. If a customer requests no further contact beyond these matters Synergy will consider these on a case by case basis to ensure there is no inconsistency between clause 2.6(4) and other provisions under the under the Code of Conduct.
	Through enquiries with the Marketing Department Analyst and observation, we confirmed that Synergy have a "Do Not Contact List" for the period 1 July 2010 - 31 December 2011 that is maintained within the SAP system.
	Based on our enquiries, review of the protocols and "Do Not Contact List" we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	······································
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(5)
Obligation	N /
Compliance	145
Manual	
Reference	
Obligation Description	Unless requested by the customer, an electricity marketing agent must not make contact with a customer outside the permitted call times, unless the contact is by electronic means or the contact arises outside the customer's premises in circumstances where the customer initiates contact.
Reporting Type	2
Compliance Rating	5
Audit Observation	Through interviews held with the Manager Business Sales and Support and Retail Sales Compliance Coordinator, we determined Synergy marketing representatives and CSRs did not contact potential new customers or existing through direct telemarketing campaigns or other contacts and Synergy did not engage in door to door marketing during the audit period and so these activities are not applicable.
	However, enquiries with the Retail Sales Compliance Coordinator and our review of Synergy's outbound sales script and call monitoring protocols indicated that, in the event that Synergy engages in direct telemarketing campaigns, Synergy has processes in place to ensure a marketing representative does not make contact with a customer outside the permitted call times.
	Synergy's business hours are 7:00 am - 7:00 pm Monday to Friday. However, Synergy does not commence telephone cold calling until 9:00 am and no later than 7:00 pm Monday to Friday. Any telephone cold calling on the weekend occurs consistent with permitted call times under the Code of Conduct.
	Based on our enquiries and review of the protocols, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(6)
Obligation	
Compliance	146
Manual	
Reference	
Obligation	An electricity marketing agent must ensure that contact for the purposes of
Description	marketing does not continue for more than 15 minutes past the end of the permitted call times without the customer's verifiable consent unless the contact is by electronic means.
Reporting Type	2
Compliance	5
Rating	
Audit	Through interviews held with the Manager Business Sales and Support and
Observation	Retail Sales Compliance Coordinator, we determined that Synergy marketing representatives did not contact potential new customers through direct telemarketing campaigns during the audit period.
	However, in the case that Synergy engages in direct telemarketing campaigns, Synergy has processes in place to ensure that a marketing representative does not continue for more than 15 minutes past the end of the permitted call times without the customer's verifiable consent unless the contact is by electronic means. The Retail Sales team have an outbound sales script and team leaders monitor phone calls.
	Synergy's CSRs are provided with an outbound calling script for both residential and business customers. Synergy's procedures require it to contact customers within permitted call times and to ask the customer if they wish to proceed with the call. Based on our enquiries and review of the protocols, we have concluded that there are adequate and effective controls in place to support compliance with the licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Retail Licence condition 23.1
Licence	Code of Conduct clause 2.6(7)
Obligation	
Compliance	147
Manual	147
Reference	Encode la constante de la const
Obligation	Except in response to a customer request or query, a retailer or other party
Description	must keep the specified records each time it initiates contact with a
	customer for the purposes of marketing.
Reporting Type	2
Compliance	5
Rating	
Audit	Through interviews held with the Manager Business Sales and Support and
Observation	Retail Sales Compliance Coordinator, we determined indicated that Synergy
	initiates customer contact by electronic means and at trade exhibition
	displays and campaigns for the purposes of marketing. The customer's name,
	email address or facsimile number is maintained within the SAP system when
	a contact is by electronic means.
	Through our enquiry and review of electronic correspondence and marketing
	material we are satisfied that Synergy complies with this licence condition.
	, , , , , , , , , , , , , , , , , , , ,
Recommendation	Nil



Liconco	Electricity Inductry Act section 92
Licence Condition	Electricity Industry Act section 82
Operating	Code of Conduct clause 2.7(1)
Licence	Code of Conduct clause 2.7(1) Code of Conduct clause 2.7(2)
Obligation	Retail Licence condition 23.1
Compliance	148 & 149
Manual	140 & 149
Reference	
Obligation	
Description	
148	Where the sustemer requests not to be contacted for the nurnesses of
148	 Where the customer requests not to be contacted for the purposes of marketing a retailer or other party must ensure that a customer is not contacted on its behalf in relation to the supply of electricity for a period of two years unless: the customer requests contact; or the customer has moved premises; or a retailer or other party has a legal obligation to contact the customer.
149	A retailer or other party must keep a record of each customer who has requested not to be contacted, that includes the specified information.
Reporting Type	2, 2
Compliance	5
Rating	
Audit Observation	Enquiries with the Retail Sales Manager, Retail Sales Compliance Coordinator indicated that Synergy performs a "washing" process within the marketing department before marketing campaigns and materials are issued to customers.
	When dealing with existing customers, CSRs are advised that no personal information is to the customer before a three point identity check is completed. This means that CSRs are not required to provide the account number or the supply address. From the customer, the CSR is required to obtain three points of identification before they can provide any information about the account and proceed with the call. The CSRs are provided with an outbound calling script, including a script that the CSR's need to use when communicating with business partners.
	The "do not contact" process records the relevant details of a customer who has requested not to be contacted. A "Do Not Contact" register is extracted from SAP and maintained within a Microsoft Excel spreadsheet to facilitate the "wash" process.
	Discussions with the Retail Sales Compliance Coordinator revealed Synergy marketing representatives do not contact potential new customers through direct telemarketing campaigns. However, in the case that Synergy does engage in direct telemarketing campaigns, we noted that Synergy has processes in place to ensure that a customer is not contacted in relation to the supply of electricity for a period of 2 years.
	We obtained a copy of the "Do Not Contact" register extracted from SAP, confirming that a list had been maintained by Synergy.



	Based on our enquiries, review of the outbound telemarketing protocols and examination of the "Do not Contact List" Synergy maintains record of each customer who has requested not to be contacted.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.7(3)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	150
Manual	
Reference	
Obligation	A retailer or other party must give a copy of the record to the Electricity
Description	Ombudsman or the Authority on request.
Reporting Type	NR
Compliance	5
Rating	
Audit Observation	Through enquires made with the Regulatory and Compliance Analyst, revealed that Synergy have procedures in place to ensure a copy of the "Do Not Contact" register is given to the Electricity Ombudsman or the Authority on request.
	Enquiries with the Regulatory and Compliance Analyst revealed that the Electricity Ombudsman or the Authority has not requested a copy of the record during the audit period.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.7(4)
Licence	Retail Licence condition 23.1
Obligation	Retail Electice condition 23.1
Compliance	151
Manual	151
Reference	
Obligation	A retailer or other party must provide the customer on request with written
Description	confirmation that the customer will not be contacted for the next two years.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions held with the Contact Centre Compliance Coordinator and
Observation	Products and Services Team Leader and our review of Synergy's do not
	contact protocols, revealed that a customer is provided with a written
	confirmation that the customer will not be contacted for the next two years
	upon request.
	Based on our enquiries with the Products and Services team leader and our
	review of customer request templates revealed there have not been any
	customers who have requested written confirmation not to be contacted for
	the next two years.
Recommendation	Nil
	1



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.11(1)
Licence	Retail Licence condition 23.1
Obligation	
Compliance	154
Manual	
Reference	
Obligation Description	An electricity marketing agent must keep a record of complaints about marketing carried out by or on behalf of the electricity marketing agent made by a customer or person contacted for the purposes of marketing and, on request, must give to the electricity ombudsman, within 28 days of receiving the request, all information that the electricity marketing agent has relating to the complaint.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Step by step procedure for creating and recording complaints is documented in "Knowledge Base Procedures>Complaints>Complaints>Create Complaint from Interaction".
	When a customer calls the complaints team regarding marketing carried out by or on behalf of the electricity marketing agent, the CSR creates a customer interaction log with notes regarding the situation, action taken and resolution. Per the Complaints matrix, marketing complaints during the audit period generally relate to billing, direct debit, EvenPay, SmartPower and green energy issues. Once a complaint is created, it is saved in SAP within the customer's
	interaction log. All incoming and outgoing correspondences are also saved on DMS and customer interaction log.
	Our walk through procedures of a sample of complaints notes that customer complaints are recorded in SAP. Each complaint is given a unique reference number.
	Based on our enquiries and documentation reviewed, we have concluded that there are adequate and effective controls in place to support compliance with the Licence Condition.
	BDO reviewed a sample of Synergy's responses to the Energy Ombudsman. All responses were provided to the Energy Ombudsman within 28 days.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 2.11(2)
Licence	Integrated Regional Licence condition 23.1
Obligation	Retail Licence condition 23.1
Compliance	155
Manual	155
Reference	
Obligation	A record or other information that an electricity marketing agent is
Description	required, by the Code, to keep, must be kept for at least 2 years after the last time the person to whom the information relates was contacted by or on behalf of the electricity marketing agent.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Business Partner (BP) is the name of the record of SAP which is the customer. The BP level is where the customer's personal information is stored such as name and contact details, concession information, credit card and bank account information, communication methods preference, relationships to other BPs and interaction records.
	SAP records customer information in a number of different screens and fields. All transactions, both system and manual, have been recorded in SAP since go live September 2009. Some key information was converted from CIS into SAP and the notes history is tagged with the wording "conversion". To date there has been no archiving of data in the SAP system and therefore customer information has been stored and retained over 2 years.
	1. Change history - change history is stored in BP Overview and records changes to the Business partner details, such as telephone numbers, address detail and email.
	2. BP Snapshot Notes History - Note history is a section on the BP Snapshot screen. This section allows a user to scroll through system generated messages and manual notes added to the Business partner. These notes relate to the Business partner and the contracts they hold. Some key notes from CIS have been converted into SAP and are defined by the word "conversion".
	3. Contract Management : this screen can be used to view the contacts entered into by the Business Partner. The contract details can be located from this screen, such as start date, close date, product type, product changes and the Business partner.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 3.1(1)
Licence	
Obligation	
Compliance	156
Manual	
Reference	
Obligation	If a retailer agrees to sell electricity to a customer or arrange for the
Description	connection of the customer's supply address, the retailer must forward the customer's request for the connection to the relevant distributor.
Reporting Type	2
Compliance	5
Rating	
Audit	Discussions with the Contact Centre Compliance Coordinator and Credit
Observation	Management Officer revealed that Synergy forwards customer requests for connections to the Western Power.
	Customer Service Representative or Credit Management team member are responsible for forwarding the service notification to the distributor through an automated communication protocol within SAP. Each request has a customer identification number and can be tracked through SAP. This enables the ability to monitor transactions between Synergy and Western Power.
	Through sample based testing of customer connection requests, we found that Synergy had forwarded customer reconnection requests to Western Power.
	Based on our enquiries and documentation reviewed, we have concluded that there are adequate and effective controls in place to support compliance with the Licence Condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 3.1(2)
Licence	
Obligation	
Compliance	157
Manual	
Reference	
Obligation Description	A retailer must forward the customer's request for the connection to the relevant distributor in the timeframe specified unless the customer agrees otherwise.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews with the Credit Management team and supplemented by a review of policies and procedures, we determined that Synergy has processes and practices in place to ensure that connection requests are forwarded to Western Power within the timeframe specified.
	Synergy has implemented a process to monitor connection requests, and in the instance a request has been identified as rejected, the Credit Management Officer contacts Western Power and re-affirms the information communicated to the distributor with the view of ensuring the timely provision of connection requests.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.2(2)
Licence	
Obligation	
Compliance	159,160,161,162,163
Manual	
Reference	
Obligation	
Description	
159	A retailer may only place a customer on a shortened billing cycle, without the customer's verifiable consent, in the circumstances specified.
160	A retailer must give the customer written notice of a decision to shorten the customer's billing cycle within 10 business days of making the decision.
161	A retailer must ensure that a shortened billing cycle is for a period of at least 10 business days.
162	A retailer must return a customer, who is subject to a shortened billing cycle and has paid three consecutive bills by the due date, on request, to the billing cycle that previously applied to the customer.
163	A retailer must inform a customer, who is subject to a shortened billing cycle, at least once every three months, of the conditions upon which a customer can be returned to its previous billing cycle.
Reporting Type	2,2,2,2
Compliance	NR
Rating	
Audit	Based on our discussions with the Credit Management team, we were
Observation	advised that Synergy did not require small use customers to be placed on shortened billing cycles.
Recommendation	Nil.



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.4
Licence	
Obligation	
Compliance	166
Manual	
Reference	
Obligation Description	A retailer must issue a bill to a customer at the customer's supply address, unless the customer has nominated another address or an electronic address.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Our review of the relevant procedures and process noted the Contact Centre is required to confirm the mailing address prior to the conclusion of the contact with the Customer.
	A step by step guide exists explaining how to change a customer's billing address. The process is duplicated in the standard operating procedure documents. The knowledge base states the main address is automatically used unless an alternative is requested and added onto the system.
	Sample testing of bills issued to customers and further enquiries made with Customer Complaints did not identify any exceptions and we determined that Synergy was compliant with this licence obligation.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.5(1) other than subclauses 4.5(1)(h), (i),(j), (k)
Licence	and (I)
Obligation	
Compliance	167
Manual	
Reference	
Obligation	A retailer must include minimum prescribed information on the customer's
Description	bill, unless the customer agrees otherwise.
Reporting Type	2
Compliance	5
Rating	
Audit	Based on our discussions and from review of a sample of bills, we noted that
Observation	Synergy is compliant with the obligation. SAP has been configured to meet
	the requirements of the Code of Conduct clause 4.5(1).
	Our sample testing noted that each bill selected had the prescribed
	information per the Code of Conduct clause 4.5(1).
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.5(3)
Licence	
Obligation	
Compliance	168
Manual	
Reference	
Obligation	A retailer must advise the customer of the amount of historical debt and its
Description	basis before, with or on the customer's bill, if the retailer wishes to bill the customer for the historical debt.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews held with the Credit Management team and Billing team indicated
Observation	that the bill provides the customer's historical debt, the basis of the debt and when Synergy wishes the customer to finalise the debt.
	Based on our discussions and confirmed through our sample testing that when a debt is transferred from a customer's historical account to their new account, a letter is automatically sent to the customer advising of the historical debt.
	Furthermore, it was noted that in the instance where a customer had not finalised an outstanding debt, a debt recovery process is initiated. This process involves providing the customer with a separate letter notifying the customer of an amount outstanding due to non-payment.
	Sample testing of customers bills confirmed that both the historical debt amount and the basis for the debt were clearly identified on the customer's bill.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.6(1)
Licence	
Obligation	
Compliance	169
Manual	
Reference	
Obligation	A retailer must base the customer's bill on the distributors' or metering
Description	agent's reading of the meter or the customer's reading of the meter in the circumstances specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it did not comply with the requirement to base a bill on a meter reading. When a customer moved into a new premise notification was not provided to Western Power to obtain a meter reading. Synergy has made changes to its system and processes to ensure compliance with the obligation. This incident is considered non-material in terms of the number of transactions performed. Synergy has since reiterated, by way of training and compliance workshops, the key procedures that staff need to adhere to prevent future re-occurrence. Synergy has existing systems in place via its regulatory incident register to capture and report regulatory incidents and breaches.
	All energy data must be provided by a network operator to a user under the Metering Code for billing purposes. The network operator must obtain energy data from the meter and the SLA outlines the methods the network operator uses to obtain the energy data including a customer's self read. Self read customers would contact Synergy and provide a meter reading. Synergy would record the meter reading then forward a request to the network operator to validate the meter reading provided.
	Meter Reading Order must be created before a meter read result can be uploaded into the system. A Meter Reading Order contains register-specific data and information about the planned Meter Reading, such as the Meter Reader and the scheduled Meter Reading date. Most meter reading orders and results will be processed during the nightly batch.
	Only exception cases will need to be processed manually.
	The customer's bill would then be based on the validated meter reading only.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.6(2)
Licence	
Obligation	
Compliance	170
Manual	
Reference	
Obligation	A retailer must give the customer information that explains to that customer
Description	how to read a meter correctly (if applicable) in clear, simple and concise
	language.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews held with Products team and review of the information available
Observation	to customers that explain how to read a meter correctly confirmed that
	instructions were provided for in clear, simple and concise language.
	We undertook an exercise to follow the instructions on Synergy's website
	with regards to how to read a meter. We found the instructions easy to
	follow, the information relating to the pictorial representation of meter
	dials and the meter reading.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.7
Licence	
Obligation	
Compliance	171
Manual	
Reference	
Obligation	A retailer must use its best endeavours to ensure that meter reading data is
Description	obtained as frequently as is required to prepare its bills and, in any event, at least once every twelve months in accordance with clause 4.6(1)(a) of the Code of Conduct.
Reporting Type	2
Compliance Rating	5
Audit Observation	Since the implementation of SAP Synergy is able to obtain meter readings for the preparation of a bill at a greater frequency than once every 12 months.
	The Billing Team Leader indicated that the reliance on customer meter readings has also diminished. Sample testing of customer's bills confirmed the reading type "normal" denoting an actual read was used to prepare a bill and the meter reading type "estimated" was not as prevalent.
	If a reading is not available an estimate is performed. SAP automatically inserts a bill message to customers when they are being billed at the 5th estimate reading recorded in SAP (12 months) to prompt contact to arrange access to the meter or to obtain a reading.
	After the fifth consecutive estimate a notice is printed on the bill stating that an actual read is required to be performed and requesting the customer to contact Synergy for that purpose.
	In the event that a customer does not respond to the fifth estimated bill message and prevents meter access it is likely that further estimates will occur as Synergy is reluctant to disconnect customers for preventing access to Western Power's meter. In the event Western Power obtains a meter reading a bill based on the metering reading will be issued.
	During the audit period Synergy had contractual arrangements under its Electricity Transfer Access Contract (ETAC) and Model Service Level Agreement (Model SLA) with Western Power to obtain metering data (both the ETAC and the Model SLA have been approved by the Authority).
	BDO notes Synergy has been advising the Authority on a monthly basis since March 2010 with respect to situations when metering data has not been provided by Western Power which has impacted on Synergy's ability to bill within 90 days.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.8(1)
Licence	
Obligation	
Compliance	172
Manual	
Reference	
Obligation	A retailer must give the customer an estimated bill in the manner specified,
Description	if the retailer is unable to reasonably base a bill on a reading of the meter.
Reporting Type	2
Compliance	5
Rating	
Audit	Sampling of customer bills confirmed customers had been issued with
Observation	estimated bills during the audit period. The information on the estimated
	bills was compliant with the Code of Conduct clause 4.8(1).
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition Operating	Code of Conduct clause 4.8(2)
Licence	
Obligation	
Compliance	173
Manual	
Reference	
Obligation Description	A retailer must, in a visible and legible manner, specify the stated information on the customer's bill, in circumstances where the customer's bill is estimated.
Reporting Type	2
Compliance Rating	5
Audit Observation	Enquiries made with the Customer Support Team confirmed that records are maintained within SAP's customer account interaction field pertaining to the reason for estimation of a customer's bill.
	Sample testing of customer bills revealed that, for those bills estimated, reading type "estimation" was clearly visible and the customer informed that they can contact Synergy if they require further information regarding their estimated bill, if they require a verification of a meter reading or require a meter read. A review of the Customer Charter also confirmed that the customer can contact Synergy for any bill related enquiry. Observation of sampled SAP's customer account interaction fields revealed the basis for estimation had been recorded.
	We observed that Synergy has policies, procedures and processes in place for the provision of information to customers relating to estimated bills.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.8(3)
Licence	
Obligation	
Compliance	174
Manual	
Reference	
Obligation Description	A retailer must tell a customer, on request, the basis and reason for the estimation.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews held with the Contact Centre Division, observation of SAP and
Observation	review of Synergy's billing processes, we confirm that reason for estimation
	is recorded within the SAP interaction field of the customer account.
	Sample testing of customer bills revealed that, for those bills estimated,
	reading type "estimation" was clearly visible and the customer informed that they can contact Synergy if they require further information for an
	estimated bill. A review of the Customer Charter also confirmed that the
	customer can contact Synergy for any bill related enquiry. Observation of
	sampled SAP's customer account interaction fields revealed the basis for
	estimation had been recorded.
	Observations noted that Customer Support Officers have the ability to access
	SAP customer interaction fields and review the basis for estimation. Our
	discussions with the Customer Service Representative confirmed that their
	understanding of the Code of Conduct requirements for the provision of
	information in this regard.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
	1



Condition Operating Licence Obligation Code of Conduct clause 4.9 Compliance Manual Reference 175	
Licence Obligation Compliance 175 Manual Reference	
ObligationCompliance175ManualReference	
Compliance 175 Manual Reference	
Manual Reference	
Reference	
Obligation Where the retailer gives a customer an estimated bill and the meter is	
Description subsequently read the retailer must include an adjustment on the next bil	I
to take account of the actual meter reading.	
Reporting Type 2	
Compliance 5	
Rating Audit Interviews held with Credit Management Team and Billing Team Leader and Lead	
Observation review of Synergy's policies and procedures relating to bill adjustments, w	
determined that Synergy have adequate and effective processes and	
practices to ensure that in the instance a customer's bill is required to be	
adjusted as a result of an actual meter reading, an adjustment is made to	
the customer's bill.	
The adjustment process is performed by the Customer Support Team as a	
result of customer contact centre follow-up, check reads and meter data	
validation process.	
From our testing of a sample of customer bills and review of the customer	
transaction history in SAP, confirmed that adjustments have occurred whe	
a meter has been subsequently read and we have observed on the next bi	
Based on our enquiries and review of documentation, we have concluded	
that there are adequate and effective controls in place to support compliance with the Licence condition.	
compliance with the Licence condition.	
Recommendation Nil	



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.10
Licence	
Obligation	
Compliance	176
Manual	170
Reference	
Obligation Description	A retailer must use its best endeavours to replace an estimated bill with a bill based on an actual reading if the customer satisfies the requirements as specified.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Through discussions held with the Billing Team Leader and review of billing policies and procedures, we determined that Synergy replaces a customer's bill with a bill based on actual meter reading where the customer satisfied the requirements specified.
	We examined billing and transaction history and found replacement bills had been provided to the customer in this regard.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.11(1)
Licence	
Obligation	
Compliance	177
Manual	177
Reference	
Obligation	A retailer must request the distributor or metering agent to test the meter if
Description	a customer requests the meter to be tested and pays any reasonable charge of the retailer for testing the meter.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions held with the Billing Team Leader and review of the policies and procedures pertaining to meter data validation and check reads, we confirmed Synergy has a process in place to ensure that a request is made to the distributor if a customer requests a meter test.
	Observation of customer account transaction history demonstrated instances where a distributor or metering agent performed a test and the outcome of that test.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.11(2)
Licence	
Obligation	
Compliance	178
Manual	
Reference	
Obligation	If the meter is tested and found to be defective, the retailer's reasonable
Description	charge for testing the meter (if any) is to be refunded to the customer.
Reporting Type	2
Compliance Rating	5
Audit Observation	Review of policies and procedures pertaining to meter test process and sample based testing confirmed that customers had not been charged for a meter test, where the meter had been determined to be defective. Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.13
Licence	
Obligation	
Compliance	180
Manual	
Reference Obligation	A rotailar must give the systemar written notice prior to changing the
Description	A retailer must give the customer written notice prior to changing the customer to an alternative tariff if the customer's electricity use has changed and the customer is no longer eligible to continue to receive an existing, more beneficial tariff.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on discussions with the Customer Transaction Officer, Billing Team Leader and review of billing policies and procedures, we noted that Synergy has a process in place to provide a customer with a written notice prior to changing the customer to an alternative tariff.
	Sampling check reads, meter tests and written notifications provided to customers confirmed that where a tariff change is to be effected, the current tariff and the new tariff had been clearly identified. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.14(1)
Licence	
Obligation	
Compliance	181
Manual	
Reference	
Obligation Description	A retailer may recover any amounts undercharged to a customer as a result of a change in the customer's electricity use for the period of up to 12 months prior to the date on which the retailer provided notice in the specified manner.
Reporting Type	NR
Compliance Rating	5
Audit Observation	A review of Synergy's policies and procedures relating to the billing process confirmed that the period in which Synergy seeks to recover any undercharged amount is limited to the timeframe specified within the Code of Conduct.
	Samplings of bills issued to customers confirmed that the recovery of undercharged amounts has not exceeded a 12 month period in accordance with policies, procedures and Code of Conduct requirements.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	5
Operating	Code of Conduct clause 4.14(2)
Licence	
Obligation	
Compliance	182
Manual	
Reference	
Obligation	A retailer must repay any amounts overcharged to a customer as a result of
Description	a change in the customer's electricity use.
Reporting Type	2
Compliance	5
Rating	
Audit	Sampling based testing of customers accounts where overcharging has
Observation	occurred, Synergy has repaid the customer the amount identified in
	accordance with its policies and procedures. Further, where instructions
	have been provided by the customer relating to the preferred repayment
	method, Synergy has complied with their request.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Deserves and a time	N!!
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.15(1)
Licence	
Obligation	
Compliance	183
Manual	
Reference	
Obligation Description	A retailer must use reasonable endeavours to arrange for a final bill if a customer requests the retailer to issue a final bill at the customer's supply address.
Reporting Type	NR
Compliance Rating	5
Audit Observation	Based on our discussions and a review of related policies and procedures, we noted that Synergy has processes in place to ensure final bills are being issued and sent to the customer's supply address upon request by customer. The issuing of the final bill is automated within SAP.
	Selected a sample of final bills and we noted instances where a customer requested that the final bill be sent to the customer's supply address, Synergy had complied with this request.
	Based on our sample selection, we did not note any exceptions.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.15(2)
Licence	
Obligation	
Compliance	184
Manual	
Reference	
Obligation	A retailer must repay the customer any amount in credit at the time of
Description	account closure.
Reporting Type	2
Compliance	5
Rating	
Audit	Through enquiries held with the Credit Management team and review of the
Observation	policies and procedures pertaining to credit management, we were able to confirm that Synergy has processes in place to identify the final balance of a
	customer's account at the time of closure.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating Licence Obligation	Code of Conduct clause 4.16
Compliance Manual Reference	185
Obligation Description	A retailer must review the customer's bill on request by the customer, subject to the customer paying the lesser of the portion of the bill agreed to not be in dispute or an amount equal to the average of the customer's bill over the previous 12 months, and paying any future bills that are properly due.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with the Credit Management Team Leader and Complaints Team Leader, review of related policies and procedures revealed that, where a customer has queried a bill, Synergy did not require during the audit period the customer to pay any amount due until the query or complaint has been investigated.
	A notation identifying the amount outstanding is recorded on the alert field within the customer's account details in SAP. This provides for an automatic control to prevent the requirement of the customer paying the account under dispute.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	Code of Conduct clause (17(1)
Operating	Code of Conduct clause 4.17(1)
Licence	
Obligation	186
Compliance Manual	180
Reference	
Obligation	A retailer must follow the procedures specified if a review of a bill has been
Description	conducted and the retailer is satisfied that the bill is correct or incorrect.
Description	
Reporting Type	2
Compliance Rating	5
Audit	Based on our discussions with the Credit Management Team, we noted that
Observation	Synergy has policies and procedures in place to satisfy this licence obligation.
	Once Synergy is satisfied that the bill is correct, the customer is informed of the outcome of the review and requests that the customer pays the amount due. Synergy makes the review findings available to the customer.
	Further, the customer is advised that a meter test can be arranged and that where the meter test does not identify an issue with the meter, the customer may be charged for the meter test.
	As part of the process customers are provided information with regard to Synergy's complaints handling process. The customer is provided with Customer Resolution Team and the Ombudsman contact details.
	Sampling of bills under dispute and the chronology of events confirmed that Synergy had undertaken review of bills and provided a determination relating to the correctness of the bill.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.18(2)
Licence	
Obligation	
Compliance	188
Manual	
Reference	
Obligation	A retailer must recover an amount undercharged as a result of an act or
Description	omission by a retailer or distributor in the manner specified.
Reporting Type	2
Compliance	5
Rating	
Audit	Based on our discussions with the Team Leader Credit Management we noted
Observation	that a customer is provided a written notification of the recoverable amount in the form of another bill or a written letter and an explanation for the recoverable amount.
	Based on a selected sample we noted instances where a customer has been identified as undercharged, we did not observe any instances of recovery periods exceeding the 12 month restriction. Review of letters and bills for those sample confirmed that interest was not charged and payment options were provided to enable the recovery of the undercharged amount. From our testing of a sample of customers who have been undercharged, the instalment plans agreed by Synergy with the customer are consistent with clause 6.4(2).
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	Code of Conduct clause (110(2)
Operating Licence	Code of Conduct clause 4.19(2)
Obligation	400
Compliance	189
Manual	
Reference	
Obligation	A retailer must use its best endeavours to inform the customer (including a
Description	customer who has vacated the supply address) and repay or credit any
	amount overcharged as a result of an act or omission by a retailer or
	distributor, in the manner and period specified, subject to clause 4.19(6).
Reporting Type	NR
Compliance	5
Rating	
Audit	Our enquiries about the repayment or crediting of a customer any amount
Observation	overcharged process revealed that in the instance Synergy has identified and
	confirmed a customer is due a repayment or credit as a result of
	overcharging, Synergy utilises its best endeavours to contact the customer
	and seek instructions to enable repayment.
	Our review of correspondence between customers who have been
	overcharged, we confirmed that Synergy identified the amount to be repaid,
	how the amount was determined and request for instructions from the
	customer with regards to how they wished the repayment to be made.
	Observation of dates on the letters communicated to customers, SAP
	interaction transcripts and the awareness of an overcharge being detected
	by Synergy confirmed that Synergy utilised its best endeavours to contact
	customers within 10 business days as a result of a review of a bill.
	Pared on our onguirios and review of decumentation, we have construined
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.19(3)
Licence	
Obligation	
Compliance	190
Manual	
Reference	
Obligation	A retailer must pay the amount overcharged in accordance with the
Description	customer's instructions within 12 business days of receiving the instructions.
Reporting Type	2
Compliance	5
Rating	
Audit	Review of correspondence between Synergy and its customers relating to the
Observation	repayment of overcharged amounts to a customer, and review of customer's
	accounts confirmed repayments of overcharged amounts had been
	performed within the timeframes specified under the Code of Conduct.
	Enquiries made with the Manager Credit Management revealed that
	Synergy's practice relating to refunding a customer an overcharged amount
	included notifying the customer of the amount to be repaid. Synergy then
	seeks further instructions as to how the customer would prefer the
	repayment to be made. In the event a customer does not respond, Synergy
	will credit the customer's account the amount overcharged.
	5
	Our review of the repayment of overcharging policies and procedures noted
	the alignment of timeframes specified under the Code of Conduct.
	, , , , , , , , , , , , , , , , , , ,
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 4.19(4)
Licence	
Obligation	
Compliance	191
Manual	
Reference	
Obligation	A retailer must use reasonable endeavours to credit the amount overcharged
Description	within 20 business days of the customer making the request, in
	circumstances where instructions as to payment are not received.
Reporting Type	NR
Compliance	5
Rating	
Audit	Interviews held with the Manager Credit Management indicated that in the
Observation	absence of a customer providing instructions as to how a repayment is to be made, Synergy has an automated process in place to ensure that a repayment occurs within 20 business days.
	Review of Synergy's policies and procedures pertaining to crediting a customer revealed that an alignment existed between the repayment process and the timeframe specified under the Code of Conduct.
	Observations of customers billing data within SAP confirmed that Synergy used reasonable endeavours to provide credit within 20 business days where an instruction had not been received.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.1
Licence	
Obligation	
Compliance	192
Manual	
Reference	
Obligation Description	The due date on the bill must be at least 12 business days from the date of the bill, with the date of dispatch deemed to be the date of the bill, unless the retailer specifies a later date.
Reporting Type	2
Compliance Rating	5
Audit	The due date on a bill is an automated process within SAP.
Observation	
	Based on discussions with the Billing Team Leader, we noted that, if a date was required to be changed, Transformation & Technology ("T&T") division would require instructions from an authorised delegate. As it is a Code of Conduct requirement, such requests would be communicated through Legal, Regulatory and Audit Division. Operation staff did not have access to effect such a change.
	Sample testing of bills sent to customers confirmed that the due date of the bill was at least 12 business days from the date on the bill.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.2(1)
Licence	
Obligation	
Compliance	193
Manual	
Reference	
Obligation	A retailer must offer the specified minimum payment methods.
Description	
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews held with Team Leader Billing, Team Leader Credit Management
Observation	and T & T revealed that the information required to be provided on a bill is automatically printed on the bill.
	T & T are responsible for designing the field requirements the information required to be capture on the bill once an approved instruction has been communicated to them.
	Sample testing of customer bills confirmed that Synergy offers to its customers the payment methods specified within the Code of Conduct.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.4
Licence	
Obligation	
Compliance	196
Manual	
Reference	
Obligation	A retailer must accept payment in advance from a customer on request, in
Description	the circumstances specified.
Reporting Type	2
Compliance	5
Rating	
Audit	Review of credit management documents confirmed that Synergy has
Observation	implemented a process for the management of customer requests with
	regard to advance payment. Synergy's minimum payment requirement
	coincides with the Code of Conduct's minimum amount.
	Our enquiries made with the Credit Management team confirmed that
	Synergy provides assistance to those customers who request advance
	payment arrangements.
	puyment unungements.
	We performed a walkthrough of the advance payment process and observed
	the requirement and capturing of advance payment arrangement details
	recorded against the business partner details and within the interaction
	field.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.5
Licence	
Obligation	
Compliance	197
Manual	
Reference	
Obligation	A retailer must, at no charge, offer a residential customer a redirection of
Description	the customer's bill to a third person, if requested by a customer who is
	unable to pay by a minimum payment method, due to illness or absence.
Reporting Type	2
Compliance	5
Rating	
Audit	Synergy offers to its customers the ability to redirect a bill to a third person
Observation	at no charge. The Customer Contact Centre is the responsible division for
	addressing a customer's request for bill redirection.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.6(1)
Licence	
Obligation	
Compliance	198
Manual	
Reference	
Obligation	A retailer must not charge a residential customer a late payment fee in the
Description	circumstances specified.
Reporting Type	2
Compliance	5
Rating	
Audit	Synergy has implemented automated controls to ensure that a residential
Observation	customer is not charged a late payment fee for those customers who receive
	a concession and have not received two or more reminder notices within the
	previous 12 months.
	Credit Management team has implemented a compensating control, whereby
	a report provided by Billing and Customer Resolutions is reviewed. Where a
	late fee has been charged, the amount is reversed by Credit Management
	staff prior to sending the bill to the customer.
	Sampling of bills which were part of a payment extension agreement,
	instalment plan or dispute revealed no exceptions.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.6(2)
Licence	
Obligation	
Compliance	199
Manual	199
Reference	
Obligation	A retailer must not charge an additional late payment fee in relation to the
Description	same bill within five business days from the date of receipt of the previous
	late payment fee notice.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Interviews held with Team Leader Credit Management and supplemented by a review of related policies and procedures, revealed that the Code of Conduct's requirement of not charging an additional late payment fee in relation to the same bill within 5 business days is automated in SAP, as part of the business as usual process.
	Sample based testing did not detect charging of an additional late payment fee in the circumstances specified.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.6(3)
Licence	
Obligation	
Compliance	200
Manual	
Reference	
Obligation	A retailer must not charge a residential customer more than two late
Description	payment fees in relation to the same bill and more than 12 late payment
	fees in a year.
Reporting Type	2
Compliance	5
Rating	
Audit	Synergy has implemented an automated process, policies and procedures
Observation	relating to late payment fee charges
	We noted that Synergy has a compensatory control, whereby, Credit
	Management division perform a review of late payment notifications and
	associated charges to ensure that a customer is not charged twice in relation
	to the same bill or more than 12 late payment fees in a year.
	Sampling based testing of late payment notifications and bills communicated
	to customers did not reveal any exceptions.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.6(4)
Licence	
Obligation	
Compliance	201
Manual	
Reference	
Obligation	A retailer must, if a residential customer has been assessed as being in
Description	financial hardship, retrospectively waive any late payment fee charged
	pursuant to the residential customer's last bill prior to the assessment being made.
	made.
Reporting Type	2
Compliance	5
Rating	
Audit	Based on our discussions with the Credit Management team and confirmed
Observation	through our review of policies and procedures, it is Synergy's practise to
	waive late payment fees for customers who are assesses as being in financial
	hardship.
	Our comple testing confirmed that if a sustamentic susceed to be in financial
	Our sample testing confirmed that if a customer is assessed to be in financial hardship, that Synergy has waived the late payment fees from the prior bill.
	hardship, that synergy has walked the late payment rees norm the prior bin.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.7(1)
Licence	Code of Conduct clause 5.7(2)
Obligation	000.000
Compliance	202, 203
Manual	
Reference	
Obligation	
Description	
202	A retailer must not require a customer who has vacated a supply address to pay for electricity consumed at the customer's supply address in the circumstances specified.
203	A retailer must not require a customer who was evicted or otherwise required to vacate a supply address to pay for electricity consumed at the customer's supply address in the circumstances specified.
Reporting Type	2,2
Compliance	5
Rating	
Audit Observation	Interviews held with the Credit Management team revealed Synergy does not require the customer to pay for electricity consumed at a supply address where the customer has provided notice or in the event the customer has not provided notice, confirmation of the vacation date through enquiry. The Team Leader Credit Management stated that a customer's notification pertaining to vacating a premise is recorded in SAP's interaction field
	against the customer's account. This record serves as the notification date and used as the reference date.
	If a notification has not been provided, Synergy has a process for identifying the vacation date by contacting the respective Real Estate Agent in an effort to confirm the date.
	Based on our sample testing, it was noted that Synergy has complied with clause 5.7(1) of the Code.
	We observed Synergy's policies and procedures to be aligned with the Code of Conduct requirements.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.7(4)
Licence	
Obligation	
Compliance	204
Manual	
Reference	
Obligation	A retailer must not require a previous customer to pay for electricity
Description	consumed at the supply address in the circumstances specified.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews with Team Leader Credit Management and Customer Services
Observation	Officer and a review of related policies and procedures revealed that a
	customer is not required to pay for electricity consumed at the supply
	address in the circumstances specified in the Code of Conduct.
	The disconnection procedures require final reads and final bills to be issued
	to a customer and a disconnection work order communicated to the network
	provider. Once a disconnection has been effected, the date and time is
	recorded against the customer's account. Synergy utilises these records as
	evidence of disconnection and does not require the customer to pay for
	electricity consumed past this period.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	, , , , , , , , , , , , , , , , , , ,
Operating	Code of Conduct clause 5.8(2)
Licence	
Obligation	
Compliance	206
Manual	
Reference	
Obligation	A retailer must not commence proceedings for recovery of a debt in the
Description	circumstances specified.
Reporting Type	2
Compliance	5
Rating	Conservation of the last of the second s
Audit Observation	Synergy has policies, procedures and practices in place to ensure that it does
Observation	not commence recovery of a debt from those customers who are experiencing payment difficulties or financial hardship and continue to make
	payments under an alternative payment arrangement.
	payments under all alternative payment all angement.
	The Credit Management division who is responsible for debt recovery actions
	performs a review of customer interactions field of those customers
	identified as experiencing financial hardship or payment difficulties and
	credit management files.
	Synergy regularly monitors and updates information for such customers to
	ensure recovery actions do not occur under these conditions.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 5.8(3)
Licence	
Obligation	
Compliance	207
Manual	
Reference	
Obligation	A retailer must not recover or attempt to recover a debt relating to a supply
Description	address from a person other than the customer with whom the retailer has
·	or had entered into a contract for the supply of electricity to that supply
	address.
Reporting Type	2
Compliance	5
Rating	
Audit	Interview held with the Team Leader Credit Management and Manager Credit
Observation	Management confirmed that recovery actions are undertaken only against
	those customers who entered into a contract for supply of electricity.
	Manager Credit Management provided that under contractual obligation
	Synergy can only seek recovery of a debt from the actual account holder.
	Review of credit management policies and procedures confirmed debt
	recovery action are only applicable to the account holder which is the
	customer who entered into the contract for supply of electricity.
	Sampling of debt recovery actions did not identify any exceptions in this
	regard.
	Deced on our onguirios and review of documentation, we have correlyded
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
	INII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.1(1)
Licence	
Obligation	
Compliance	208
Manual	
Reference	
Obligation Description	A retailer must assess whether a residential customer is experiencing payment difficulties or financial hardship, within three business days from when the residential customer informs a retailer that they are experiencing payment problems.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy noted that it did not assess a customer for payment difficulty / financial hardship. Only one customer was impacted by this non compliance which was due to a Synergy staff not following standard operating procedure. This incident is considered non-material in terms of the number of assessments performed.
	Synergy has implemented a process whereby a customer who advises Credit Management they are experiencing payment difficulties or financial hardship participate in an assessment program immediately. Synergy has since reiterated, by way of training and compliance workshops, the key procedures that staff need to adhere to prevent future re-occurrence. Synergy has existing systems in place via its regulatory incident register to capture and report regulatory incidents and breaches.
	Examination of policies and procedures confirmed that Synergy has processes and procedures in place to ensure that any customer experiencing financial hardship or payment difficulties will be assessed; the timeframe under which the assessment is required to be carried out is aligned with the Code of Conduct requirements.
	Observation of a sample of customer accounts and interaction fields who have contacted Synergy demonstrated assessments have been made within the timeframe specified.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.1(2)
Licence	
Obligation	
Compliance	209
Manual	
Reference	
Obligation	A retailer must give reasonable consideration to the information and advice
Description	specified when undertaking an assessment regarding payment difficulties or financial hardship.
Reporting Type	NR
Compliance	5
Rating	
Audit	Through interviews held with the Credit Management Team, and review of
Observation	policies and procedures pertaining to financial hardship, we determined that
	Synergy has processes and practices in place to ensure that its Credit Management and Case Management Officers reasonably consider information
	provided by the residential customer and information held.
	Observation of case management files revealed that Synergy retains information in both written and electronic form. A chronology of interaction
	is maintained to enable authorised staff to review and consider information
	given by the residential customer or by a relevant consumer representative.
	Enquiries made to the Case Management Officers confirmed that all
	information provided is used to assess a financial situation of a residential
	customer who has indicated they are experiencing payment difficulties or
	financial hardship.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.1(3)
Licence	
Obligation	
Compliance	210
Manual	
Reference	
Obligation	A retailer must advise a residential customer on request of the details of an
Description	assessment.
Reporting Type	2
Compliance	5
Rating	
Audit	Interviews with Manager Credit Management Team and review of policies
Observation	and procedures relating to financial hardship confirmed that Synergy has process in place to ensure that residential customers are advised of the assessment carried out.
	Review of case files and observation of SAP client interaction notes revealed that customers are advised of the outcome of an assessment. Our observations also found communications between the customer, a consumer representative organisation and Synergy with regards to assessment outcomes and where applicable alternative action plans.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	5 5
Operating	Code of Conduct clause 6.2(1)
Licence	
Obligation	
Compliance	211
Manual	
Reference	
Obligation	A retailer may not unreasonably deny a residential customer's request for a
Description	temporary suspension of actions in the circumstances specified.
Reporting Type	2
Compliance	5
Rating	
Audit	We noted that Synergy has developed and implemented policies and
Observation	procedures in place to provide for a request for temporary suspension of
	action in the circumstances specified.
	Based on our selection of samples of case management files we noted that
	Synergy has placed temporary suspension of actions where customers had
	been able to demonstrate that an appointment has been made by the
	customer with a relevant customer organisation.
	Deced on our onguirios and review of documentation, we have concluded
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
Recommendation	INII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.2(2)
Licence	
Obligation	
Compliance	212
Manual	
Reference	
Obligation	A retailer must allow a temporary suspension of actions for a period of at
Description	least 15 business days.
Reporting Type	2
Compliance	5
Rating	
Audit	Upon request made by a customer and demonstration that the customer has
Observation	made an appointment with a relevant consumer representative, Synergy temporarily suspends the customer's account for a minimum period of 15 business days.
	Our enquiries made with Credit Management team revealed that as part of Synergy's processes, the customer is provided with contact details of a relevant consumer representative organisation to assist with the assessment of a residential customer's capacity to pay. Further, Synergy has implemented a state government program called "HUGS" where customers can apply for financial assistance from the organisation itself.
	Sampling of customer accounts who have indicated financial hardship or experiencing payment difficulties confirmed that temporary suspensions have been put into place for the timeframes specified.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.2(3)
Licence	
Obligation	
Compliance	213
Manual	
Reference	
Obligation	A retailer must give reasonable consideration to a request by a residential
Description	customer or relevant consumer representative organisation to allow
	additional time to assess a residential customer's capacity to pay.
Reporting Type	NR
Compliance	5
Rating	
Audit	Through interviews held with Credit Management Team and review of
Observation	policies and procedures, we determined that Synergy has processes in place
	to ensure that it provides reasonable consideration to the relevant consumer
	representative organisation's request.
	Manager Credit Management stated that Synergy will endeavour to provide
	opportunity for the assessment of a customer's capacity to pay and where
	practicable, provide such time necessary. This request for extra time has
	also been extended to relevant representative organisations who have
	indicated that they do not have the resources to address current demand for
	financial counsellor assistance.
	Sampling of customer accounts confirmed that Synergy has considered and
	provided extra time to enable financial hardship assessments to be carried
	out.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
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Recommendation	Nil
	INII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.3
Licence	
Obligation	
Compliance	214
Manual	
Reference	
Obligation	A retailer must offer the alternative payment arrangements, and advise the
Description	residential customers that additional assistance may be available, in
	circumstances where a residential customer is assessed as experiencing
	payment difficulties or financial hardship.
Reporting Type	2
Compliance	5
Rating	5
Audit	Review of financial hardship policies and procedures confirmed that Synergy
Observation	has processes and practices to ensure that where a customer has been
	identified as experiencing payment difficulties or financial hardship an
	alternative payment arrangement is offered.
	and mative payment an angement is offered.
	Discussions with the Credit Management Team noted that the alternative
	payment arrangement is captured against the customer's account,
	information comprising of amounts to be paid, the time and frequency of
	payment is recorded.
	We determined through sampling of a number of customers with an
	outstanding balance that if the customer was assessed as experiencing either
	payment difficulty or financial hardship that they were placed on an
	alternative arrangement plan. Synergy has established a number of payment
	options that offer alternative arrangements dependent of a customer's
	financial situation including assistance through the Hardship Utility Grant
	Scheme, Power on payment plans, Power Assist and extended terms when
	paying an outstanding balance.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Decommondation	Nil
Recommendation	INII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.4(1)
Licence	
Obligation	
Compliance	215
Manual	
Reference	
Obligation Description	A retailer must offer a residential customer who is experiencing payment difficulties or financial hardship at least the specified payment arrangements.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Through interviews held with the Credit Management Team we noted that, Synergy has policies, procedures and processes in place to ensure that it offers residential customers who are experiencing payment difficulties or financial hardship additional time to pay a bill. Further, the customer is offered an instalment plan which is interest and fee free to enable the customer to pay their arrears.
	From our sample selection, we did not note any non compliance during the audit period.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
	In its 2011/2012 Annual Electricity Retail Compliance Report, Synergy identified and reported to the ERA a potential regulatory incident whereby residential payment difficulty and financial hardship customers who enter into an instalment plan with Synergy may have been charged interest during 2011/12. This event has yet to be confirmed as Synergy is currently building the necessary reporting capability to identify affected customer, if any.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.4(2)
Licence	
Obligation	
Compliance	216
Manual	
Reference	
Obligation	A retailer must take into account and specify the stated information and
Description	take the specified actions when offering an instalment plan to a residential customer experiencing payment difficulties or financial hardship.
Reporting Type	2
Compliance	5
Rating	
Audit	Review of policies and procedures for the management of alternative
Observation	payment arrangements confirmed that Synergy has processes and practices
	in place to ensure when determining a customer's instalment plan,
	consideration is given to usage needs and capacity to pay.
	The Credit Management Officers discuss with customers, the period of the plan, number of instalments and the amount of each instalment required to pay the arrears and estimated consumption during the period of plan.
	Arrangements made for an outstanding balance are calculated so that the instalment amount and frequency don't exceed the amount required to be paid and will not result in the customer being in credit at the completion of a payment plan. As customers continue to be billed during the life of the payment plan alternative arrangements are considered and can be put in place to include ongoing consumption or allow for reasonable consideration of extending payment plan at the completion of the original arrangement.
	Sampling of customers who had an instalment plan in place and review of the SAP customer interaction fields, we determined that Synergy has undertaken the actions prescribed within the Code of Conduct.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.6(1)
Licence	
Obligation	
Compliance	217
Manual	
Reference	
Obligation	A retailer must give reasonable consideration to a request by a customer, or
Description	a relevant consumer representative organisation, for a reduction of the
	customer's fees, charges, or debt.
Reporting Type	NR
Compliance	5
Rating	5
Audit	Our discussions with the Credit Management Team noted that Synergy has
Observation	developed processes and practices which provides for reasonable
	consideration to a request for a reduction of the customer's fees, charges or
	debt to be undertaken.
	Our review of the financial hardship policies and procedures confirmed the
	alignment of the requirement for reasonable consideration to be provided to
	a customer or a relevant consumer representative organisation.
	Sampling of customer bills who have requested reduction of fees, charges
	and debt noted instances where Synergy demonstrated both consideration
	and reduced the customer's debt. Applications by customer for the HUGS
	program were also demonstrated.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
Recommendation	



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 6.6(2)
Licence	
Obligation	
Compliance	218
Manual	
Reference	
Obligation	In giving reasonable consideration under clause 6.6(1), a retailer should
Description	refer to the guidelines in its hardship policy referred to in clause 6.10(2)(d).
Reporting Type	2
Compliance	5
Rating	
Audit	From our discussions we understand that all Credit Management Officers are
Observation	familiarised with Synergy's hardship policy and are required to make
	reference when giving reasonable consideration to a customer. We
	independently confirmed this through discussion with a selection of Credit
	Management Officers.
	5
	Team Leader Credit Management monitors Credit Management Officers to
	ensure that Synergy's policies and procedures are adhered. Further, that
	the information and actions undertaken by the Credit Management Officers
	are in accordance with Synergy's hardship guidelines.
	are in accordance with officing s nardship guidelines.
	Our review of the financial hardship guidelines and customer files revealed
	that the Credit Management Officers had aligned their actions to both the
	guidelines and Synergy's policies and procedures relating to credit
	management.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
Recommendation	



Licence	Electricity Industry Act section 82
Condition Operating Licence Obligation	Code of Conduct clause 6.7
Compliance Manual Reference	219
Obligation Description	A retailer must give reasonable consideration to offering a customer an instalment plan or offering to revise an existing instalment plan, in circumstances where it is reasonably demonstrated to the retailer that the customer is unable to meet its previously elected payment arrangement.
Reporting Type	NR
Compliance	5
Rating	Currently has implemented policies and presedures for gradit memory and
Audit Observation	Synergy has implemented policies and procedures for credit management. Synergy has provided its Credit Management Officers flexibility to provide for revision of alternative payment arrangement where a customer's circumstance may have changed.
	Through interviews held with the Credit Management Team, we found that Synergy assesses each customer in accordance with their individual circumstances. Credit Management Officers are authorised to re-assess a customer's ability meet a previously elected payment arrangement and offer alternative or revised payment arrangements.
	Our sampling revealed that Synergy has provided reasonable consideration for those customers who have been on an instalment plan and requested a revision.
	We noted Synergy had offered instalment plans and revised instalment plans to those customers who demonstrated they were unable to meet the obligations under a previously elected payment arrangement.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	5 5
Operating	Code of Conduct clause 6.8
Licence	
Obligation	
Compliance	220
Manual	
Reference	
Obligation	A retailer must advise the customer of the specified assistance information.
Description	
Reporting Type	2
Compliance	5
Rating	
Audit Observation	Review of the information available to customers through Synergy's bill, printed media, internet and contact centre knowledge base, we confirmed
Observation	that Synergy is able to provide to its residential customers assessed as experiencing financial hardship the specified assistance information prescribed in the Code of Conduct during the hardship assessment process with the customer.
	Our enquiries made with the Manager Contact Centre, Manager Credit Management revealed that Customer Support and Credit Management Officers are provided training and access to assistance information. Further discussions held with Customer Support Officers confirmed their understanding of this licence obligation and the requirement to provide such information to a customer upon request.
	Based on our enquiries, review of documentation and from listening to a sample of taped customer conversations, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition in terms of information provision to its residential customers assessed as experiencing financial hardship.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 6.9(1)
Obligation	Code of Conduct clause 6.9(2)
Compliance Manual	221 & 222
Reference	
Obligation	
Description	
221	A retailer must determine the minimum payment in advance amount for residential customers experiencing payment difficulties or financial hardship in consultation with relevant consumer representative organisations.
222	A retailer may apply different minimum payment in advance amounts for residential customers experiencing payment difficulties or financial hardship and other customers.
Reporting Type	2,2
Compliance Rating	5
Audit Observation	Interviews with the Credit Management Team indicated that Synergy does not seek payment in advance from customers who are experiencing payment difficulties or financial hardship.
	We found that Synergy recognises where a customer who has indicated financial hardship or experiencing payment difficulties, those customers may not be in a position to make payments in advance.
	From our sample selection we confirmed that Synergy did not require customers who have indicated financial hardship or payment difficulties to make payments in advance.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 6.10(1)
Obligation	
Compliance Manual	223
Reference	
Obligation	A retailer must develop a hardship policy to assist customers in meeting
Description	their financial obligations and responsibilities to the retailer.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with Manager Credit Management, Team Leader Credit Management, review of policies and procedures relating to financial hardship, we confirmed that Synergy has developed a financial hardship policy. We obtained a copy of Synergy's financial hardship policy. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support
Recommendation	compliance with the Licence condition. Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 6.10(2)
Obligation	
Compliance Manual	224, 227 & 228
Reference	
Obligation	
Description	A retailer must appure that the herdship policy complice with the specified
224	A retailer must ensure that the hardship policy complies with the specified criteria.
227	A retailer must, unless otherwise notified in writing by the Authority, review its hardship policy at least annually and submit to the Authority the results of that review within 5 business days after it is completed.
228	Any review of a retailer's hardship policy must have regard to the Authority's Financial Hardship Policy Guidelines.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our interview with Credit Management Coordinator that Synergy consulted relevant consumer representative organisations in the development phase of the hardship policy. The hardship policy makes reference to the Authority's Financial Hardship Policy Guidelines.
	Review of Synergy's processes and practices revealed that, all staff are provided with training surrounding financial hardship guidelines.
	Credit Management Officers are provided with additional training with regards to interacting with customers who have indicated payment difficulties or financial hardship.
	The requirement to treat customers with sensitivity and respect has been captured within the hardship guidelines including other criteria prescribed within the Code of Conduct.
	We noted that the hardship guidelines had been communicated to all relevant staff. An electronic version was available on Knowledge Base.
	Our examination of the hardship policy confirmed the inclusion of a telephone number direct to the Credit Management staff. The hardship guidelines provides for consideration for reducing or waiving of any fees where appropriate. Credit Management Officers may consider suspending disconnection or recovery processes upon approval from the delegated authority.
	Further, internal review process requires that the hardship policy is reviewed on an annual basis. We have obtained documentation relating to submission of reviews by Synergy's executive and the Authority in this regard. As part of the review process, Synergy holds discussions with relevant agencies and customer bodies. The policy and a report detailing the review process and outcome was given to the Authority with the prescribed 5 days after the review was completed.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support



	compliance with the Licence condition.
Recommendation	Nil
	Electricity Industry Act continue 00
Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 6.10(3)
Compliance Manual	225
Reference	223
Obligation Description	A retailer must give residential customers, financial counsellors and relevant consumer representative organisations details of the financial hardship policy, at no charge. The retailer must provide all residential customers identified as experiencing financial hardship, details of the hardship policy, including by post, if requested.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with the Credit Management, review of the processes relating to providing customers, financial counsellor or relevant consumer representative organisations; we confirmed that Synergy does not charge for a copy of the hardship policy. We were able to obtain a copy from the Synergy website and from Synergy's reception without charge. In addition, we were advised that it is usual practice for Synergy to post a copy of the hardship policy if requested.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 6.10(4)
Obligation	
Compliance Manual	226
Reference	
Obligation	A retailer must keep a record of the specified information related to the
Description	hardship policy.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our review of Synergy's Hardship Policy we were able to identify the:
	Approval date,
	Review date; and
	 Consumer representative organisations consulted during the
	development and review of the hardship policy.
	Based on our enquiries and review of the documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with this Licence condition.
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Decommendation	N:1
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 6.11
Compliance Manual Reference	229
Obligation Description	A retailer must consider any reasonable request for alternative payment arrangements from a business customer who is experiencing payment difficulties.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our discussions with the Credit Management Team together with a, review of policies and procedures relating to hardship revealed that Synergy extends its residential customer hardship practices to businesses, if requested. Discussions with the Credit Management identified that Synergy applies a uniform approach when considering reasonable requests for alternative payment arrangements for residential customers and businesses that may be experiencing payment difficulties and request for alternative payment arrangements. Our observation of case management files confirmed the application of this process. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 7.1
Obligation	Code of Conduct clause 7.2
Compliance Manual	230 & 231
Reference	
Obligation	
Description	
230	A retailer must give the customer a reminder notice, use its best endeavours to contact the customer and give the customer a disconnection warning, in the manner and timeframes specified, prior to arranging for disconnection of a customer's supply address for failure to pay a bill.
231	A retailer must not arrange for disconnection of a customer's supply address for failure to pay a bill in the circumstances specified.
Reporting Type	2,2
Compliance Rating	5
Audit Observation	Interviews held with the Credit Management Team revealed that the reminder notice process is automated within SAP. Synergy endeavours to establish contact with the customer through provision of payment reminders, SMS, telephone calls, field officer contact and disconnection warnings prior to performing a disconnection. Sample based testing of disconnections undertaken confirmed that customers have been provided reminders, warnings, disconnection notices and performed disconnection of electricity at a supply address in accordance and in excess of Code of Conduct requirements. Further, that reminder and disconnection notices did contain the information with regards to Synergy's contact number for billing and payment enquiries. Synergy also provided information relating to its financial hardship policy and how Synergy may assist under such circumstances. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 7.3
Compliance Manual Reference	232
Obligation Description	In relation to dual fuel contracts, a retailer must not arrange for disconnection of the customer's supply address for failure to pay a bill within 15 business days from arranging for disconnection of the customer's gas supply.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with the Credit Management and review of policies and procedures relating to disconnection of customers on dual fuel contracts, we determined that Synergy has process in place to ensure that disconnections of supply of electricity does not occur within 15 business days from arranging disconnection of customer's gas supply. Sample testing of de-energisation undertaken during the period of review did not detect any exceptions with regards to disconnection of customers who have entered into dual fuel contracts. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 7.4
Compliance Manual Reference	233
Obligation Description	A retailer must not arrange for the disconnection of a customer's supply address for denying access to the meter unless the conditions specified are satisfied.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with Credit Management Team revealed that Synergy has not disconnected a customer for denying access to a customer's supply address during the audit period. Review of policies and procedures confirmed that Synergy has processes in place to ensure that it monitors reasons for disconnections. Synergy had not requested a disconnection of a meter (for non access) for the period of the audit. No requests have been sent to Western Power for a no access issue to disconnect the meter since prior to August 2009. Sampling testing of disconnections conducted did not identify any exceptions in this regard.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 8.1(1)
Compliance Manual	238
Reference	
Obligation Description	A retailer must arrange for reconnection of the customer's supply address if the customer has remedied its breach, makes a request for reconnection, pays the retailer's reasonable charges (if any) or accepts an offer of an instalment plan for the retailer's reasonable charges.
Reporting Type	2
Compliance Rating	5
Audit Observation	Review of a sample of customer interaction history for disconnected supply addresses revealed that in the event a customer had paid the reasonable charge for disconnection or has accepted an offer of an instalment plan for reconnection, Synergy had arranged for reconnection. Sample testing of reconnection confirmed Synergy had arranged for reconnection of a customer's supply address. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 8.1(2)
Obligation	
Compliance Manual	239
Reference	
Obligation	A retailer must forward the request for reconnection to the relevant
Description	distributor within the timeframe specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with the Credit Management Team and our review of policies and procedures, we determined that Synergy has processes and practices in place to ensure that reconnection requests are forwarded to the relevant distributor within the timeframe specified. Our selection of a sample of reconnections has confirmed that Synergy's
	processes are operating effectively.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.2(2)
Compliance Manual Reference	243
Obligation Description	A distributor may only operate a pre-payment meter at a residential customer's supply address and a retailer may only offer a pre-payment meter service in an area that has been declared by the Minister by notice in the Government Gazette.
Reporting Type	2
Compliance Rating	5
Audit Observation	The electricity supply for residents of the Ninga Mia community was upgraded in July 2009 to bring the service up to a standard equivalent to residents living in nearby towns such a Kalgoorlie as part of the state government's town reserve regularisation program.
	This is consistent with details of the Minister for Energy's pre-payment declaration published in the Western Australian Government Gazette dated 29 June 2010.
	For the period of the audit, Synergy had 20 customers on pre-payment meter services.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.3(1)
Compliance Manual Reference	244
Obligation Description	A retailer must not provide a pre-payment meter service at a residential customer's supply address without the verifiable consent of the customer or the customer's nominated representative.
Reporting Type	2
Compliance Rating	5
Audit Observation	 Discussion with Community Normalisation Project Team responsible for the establishment and monitoring of the pre-payment meters and review of supporting procedures confirmed that Synergy has developed work practices to ensure compliance. These procedures take the form of: Identifying the customer or the customer's nominated representative; Documenting the requirements as a means of obtaining verifiable consent of the customer for the installation of a pre-payment meter at the supply address; Seeking approval from the Goldfields Indigenous Housing Organisation for houses not occupied; and Sending Synergy staff member to Kalgoorlie to obtain the customer's consent in order to enter into a pre-payment meter contract. For the audit period, no new customers were signed onto the pre-payment meter scheme.
	with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.3(2)
Compliance Manual Reference	245
Obligation Description	A retailer must establish an account for each pre-payment meter operating at a residential customer's supply address.
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews held with the Community Normalisation Project Team and sampling of account profile set up for each pre-payment meter within SAP, we confirmed that an account for each prepayment meter operating at a residential customer's supply address had been established.
	As at 31 December 2011, there were 20 pre-payment meter customers, all with a unique account number.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.3(3)
Compliance Manual Reference	246
Obligation Description	A retailer must not, in relation to the offer of, or provision of, a pre- payment meter service engage in conduct that is misleading, deceptive or likely to mislead or deceive or that is unconscionable, or exert undue pressure on a customer, nor harass or coerce a customer.
Reporting Type	2
Compliance Rating	5
Audit Observation	Synergy management and staff with involvement with pre-payment meters were required to complete the Code of Conduct training. Signed acknowledgements were obtained from the Learning and Development Manager for management staff, along with a list of staff that had completed Code of Conduct training.
	No pre-payment complaints were received during the audit period.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.4
Compliance Manual Reference	247
Obligation Description	A retailer must provide the prescribed information to a pre-payment meter customer in the manner stated at no charge.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions with the Community Normalisation Project Team and our review of documentation available to pre-payment meter customers confirmed that the prescribed information was presented in a manner that is clear, simple and concise and the information was available at no charge. Our review of the information provided to the pre-payment meter customers confirmed that Synergy has provided the information specified under the Code of Conduct. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 9.5(1), (2), (3)
Obligation	Code of Conduct clause 9.5(5)
Compliance Manual	248 & 250
Reference	
Obligation	
Description	
248	If a pre-payment meter customer notifies a retailer that it wants to revert
	the pre-payment meter to a standard meter, the retailer must provide the
	specified information to the customer and make arrangements with the
	distributor in the manner stated at no charge to the customer unless allowed
	under the clause.
250	A retailer must send a written notice and prescribed information to a pre-
	payment meter customer within the time frames specified advising the
	customer of the customer's rights to revert to a standard meter at no
	charge.
Reporting Type	2
Compliance Rating	NR
Audit Observation	At 31 December 2011, Synergy had 20 customers on the pre-payment meter
	scheme. We were advised that Synergy had not signed on any new clients.
	Furthermore, while Synergy has policies and procedures and contractual
	arrangements with Western Power for the provision of metering services to
	manage the pre-payment meter scheme, it has not had any requests from
	these customers to switch from pre-payment meters to a standard meter.
Recommendation	Nil
Kecommendation	INII



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 9.7
Obligation	Code of Conduct clause 9.10(1)
Compliance Manual	254
Reference	257
Obligation	
Description	
254	A retailer must ensure that a pre-payment meter service complies with the prescribed requirements.
257	If requested by a pre-payment meter customer, a retailer must make immediate arrangements to check the metering data, test the pre-payment meter or arrange for a test of the metering installation.
Reporting Type	2, 2
Compliance Rating	5
Audit Observation	Synergy is compliant with these requirements by virtue of clause 9.14(1) of the Code of Conduct.
	Synergy has not requested that the Network Provider Western Power install any new Pre-Paid Meters, other than those installed at Ninga Mia in July 2009.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.8
Compliance Manual Reference	255
Obligation Description	A retailer must ensure that recharge facilities are located and capable of being accessed in the manner specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our review of the agreement between Synergy and the recharge facility service provider confirmed that prepayment meter customers have the ability to access a recharge facility that is located within close vicinity to the pre-payment meter customer's Ninga Mia supply address. Examination of the operating times of the recharge facility allowed for pre- payment meter customers to access re-charge facilities above the minimum requirements specified within the Code of Conduct. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.9
Compliance Manual Reference	256
Obligation Description	A retailer must ensure that the pre-payment meter customer receives a benefit of a concession if the pre-payment meter customer demonstrates to the retailer that the customer is entitled to receive a concession.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our review of the Ninga Mia process documentation and the Ninga Mia Account Establishment forms noted that Synergy has listed a suite of concessions that pre-payment meter customers are entitled to. These listed concessions are in line with the requirements of the Code of Conduct. We selected a sample of pre-payment customers and noted that for the selected customers, concessions were awarded. We were advised that for the audit period, Synergy had not signed on any new clients.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
LICENCE CONdition	Lieutierty industry Act Section 02
Operating Licence Obligation	Code of Conduct clause 9.10(4) Code of Conduct clause 9.11(2), (7) Code of Conduct clause 9.11(3) Code of Conduct clause 9.11(4) Code of Conduct clause 9.11(6)
Compliance Manual Reference	259, 261, 262 & 263
Obligation Description	
259	If a pre-payment meter is found to be inaccurate or not operating correctly, a retailer must immediately arrange for the repair or replacement of the pre-payment meter, correct any overcharging or undercharging and refund any charges payable by the customer for testing the pre-payment meter.
261	If a pre-payment meter customer has been overcharged as a result of an act or omission of a retailer or distributor, the retailer must use its best endeavours to inform the pre-payment meter customer accordingly within 10 business days of the retailer becoming aware of the error and seek reimbursement instructions from the customer or credit the customer's account if permitted.
262	The retailer must pay the amount in accordance with the pre-payment meter customer's instructions within 12 business days of receiving the instructions.
263	If a retailer does not receive reimbursement instructions within 20 business days of making the request, the retailer must use reasonable endeavours to credit the amount overcharged to the customer's account.
264	If a retailer proposes to recover an amount undercharged as a result of an act or omission by the retailer or distributor, the retailer must comply with the conditions specified.
Reporting Type	2,2,2
Compliance Rating	5
Audit Observation	Interviews held with the Community Normalisation Project Team and review of the Ninga Mia process documentation we noted that Synergy has policies and procedures in place to meet the obligation requirements. If a prepayment meter customer has been overcharged as a result of an act or omission on the part of Synergy or Western Power, Synergy uses best endeavours to inform the prepayment meter customer accordingly within 10 business days of Synergy becoming aware of the error and seek reimbursement instructions from the customer. The only way this is likely to happen is if the meter was either programmed with the wrong tariff or was faulty. Recovery of undercharge amounts only applies if the undercharging is the
	result of an act or omission by Synergy or Western Power (the only way this is likely happen is if the meter was either programmed with the wrong tariff



	or faulty). This section is not relevant if the customer has obtained electricity fraudulently.
	Reviewed Synergy's BAU Processes document and verified that is contains a process outlining that should a PPM customer not provide reimbursement instructions within 20 days in circumstances where they are overcharged, reimbursement can be offered in the form of PPM cards rounded up to the nearest \$10 or a cheque.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 9.11(1)
Obligation	
Compliance Manual	260
Reference	
Obligation Description	A retailer must ensure that a pre-payment meter customer (including a pre- payment meter customer who has vacated the supply address) can retrieve all remaining credit at the time the pre-payment meter customer vacates the supply address, in circumstances where notification of the proposed vacation date has been provided.
Reporting Type	2
Compliance Rating	5
Audit Observation	 Based on our discussions, we understand that Synergy has a process in place that would enable a pre-payment meter customer the ability to retrieve all remaining credit at the time the customer vacated the supply address. Our review of the procedural documentation revealed that Synergy obtains a final meter read upon notification by the customer of their intention to vacate the supply address. Based on the final read, Synergy resets the prepayment meter and begins the credit process. The Community Normalisation Project Team stated that Synergy has not encountered any instances where pre-payment meter customers have been overcharged or required a refund. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 9.12
Obligation	
Compliance Manual	265
Reference	
Obligation	A retailer may only adjust the tariff payable by a pre-payment meter
Description	customer to recover a debt owing by that customer to recover a maximum of
	\$20 at a rate of no more than \$2 per day.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions, review of related policies and procedures and a
	walk through of the process with the Credit Management team, it was noted
	that it is Synergy's standard business practice to only recover from a pre-
	payment meter customer up to a maximum of \$20, at a rate of \$2 per day.
	The Credit Management Officers are well aware of this requirement.
	From our comple testing of the 20 pro normant mater systemates we noted
	From our sample testing of the 20 pre-payment meter customers, we noted
	that Synergy is compliant with this obligation.
Recommendation	Nil
Keeonmendation	



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 9.13(1)
Obligation	
Compliance Manual	266
Reference	
Obligation	A retailer must give reasonable consideration to a request by a residential
Description	customer or relevant consumer representative organisation for a waiver of
	any fee to replace or switch a pre-payment meter to a standard meter.
Reporting Type	2
Compliance Rating	5
Audit Observation	Examination of policies, procedures and related documents confirmed that
	Synergy has in a place a process and contractual arrangements with Western
	Power to assess and waiver fees to replace or switch a pre-payment meter
	to a standard meter.
	Synergy has 20 pre-payment meters and we were advised that Synergy has
	not had any request to either switch or replace a pre-payment meter to a
	standard meter.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.13(2), (3)
Compliance Manual Reference	267
Obligation Description	Where a retailer is informed by a pre-payment meter customer that the customer is experiencing payment difficulties or financial hardship or the retailer identifies the customer has been disconnected as specified, the retailer must use best endeavours to contact the customer as soon as reasonably practicable to provide the prescribed information in the manner stated.
Reporting Type	NR
Compliance Rating	5
Audit Observation	Based on our discussions and supplemented through a review of policies and procedures, we noted that Synergy has processes in place to ensure staff explores all possibilities to assist pre-payment meter customers who are experiencing financial hardship. Furthermore, Synergy has implemented a process whereby customers who have been disconnected more than 3 times in a 3 month period are contacted in order to be assessed for financial hardship.
	From our work, we noted that Synergy has 20 pre-payment meter customers and management asserted that there have been no disconnections or any claims of financial hardship from these customers.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 9.14(2), (3)
Compliance Manual Reference	268
Obligation Description	Where a grandfathered pre-payment meter (as prescribed) is upgraded or modified, the modified or upgraded pre-payment meter must comply with the applicable requirements.
Reporting Type	2
Compliance Rating	NR
Audit Observation	This obligation is not applicable to Synergy as we were advised that Synergy did not request Western Power to modify or upgrade a pre-payment meter during the audit period.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.1(1)
Compliance Manual Reference	269
Obligation Description	A retailer must give notice of any variations in its tariffs to each of its customers affected by a variation, in the timeframes specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Reviewed Synergy's internal controls and verified that a process is in place ensuring that notice is given of any variations in tariffs to each of the customers affected, no later than the next bill in a customer's billing cycle. The most recent variation was an increase of 5% for Ninga Mia residents which took effect as of 1 July 2011.
	Selected a sample of customers and noted that Synergy had fully complied with the Code of Conduct clause 101(1).
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 10.1(2)
Obligation	
Compliance Manual	270
Reference	
Obligation	A retailer must give a customer on request, at no charge, reasonable
Description	information on the retailer's tariffs, including alternative tariffs.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Contact Centre Compliance Coordinator revealed that Synergy gives a customer on request, at no charge, reasonable information on the retailer's tariffs, including alternative tariffs. This condition can be observed in written consent on Synergy's web page.
	Through testing we confirmed Synergy give at no charge, reasonable information on tariffs, including alternative tariffs upon request.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.1(3)
Compliance Manual Reference	271
Obligation Description	A retailer must give a customer the information requested on tariffs in the manner and within the timeframes specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Through interviews held with Team Leader Billing, Contact Centre Compliance Coordinator, review of policies and procedures relating to the provision of tariff information, we determined that Synergy has processes to ensure that customers are provided tariff related information within the timeframe specified. Based on our testing of a sample of customer requests for tariff information, it was noted that Synergy provided the required information within the 8 business day rule.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 10.2(1)
Obligation	
Compliance Manual	272
Reference	
Obligation	A retailer must, on request, give a non-contestable customer its billing data.
Description	
Reporting Type	2
Compliance Rating	5
Audit Observation	Interviews with the Team Leader Billing, Contact Centre Compliance Coordinator, Transaction Co-ordinator Customer Support, review of policies and procedures pertaining to the provision of billing data, we confirmed that Synergy has processes in place to ensure that a customer is provided billing data upon request. We confirmed that CSRs have the ability to provide billing data. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.2(2)
Compliance Manual Reference	273
Obligation Description	A retailer must give the requested billing data at no charge in the circumstances specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our interviews held with the Team Leader Billing, Manager Customer Contact Centre, Team Leader Credit Management, Team Leader Customer Resolutions, review of billing policies and procedures, we determined that Synergy has processes and practices to enable the provision of billing data for a period less than the previous two years. Sample based testing of historical billing data confirmed that the data was available in SAP. We determined that a customer can request their billing data regardless of whether it is related to a dispute or a general enquiry. The Manager Customer Contact Centre indicated that once the customer has been identified as the authorised access to account information, the Customer Service Representative can select a field for bill to be printed and sent.
	Customer's non contestable billing history is also readily available at no cost via Synergy's web portal My Account.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
	Liectherty industry Act section 62
Operating Licence	Code of Conduct clause 10.2(3)
Obligation	
Compliance Manual	274
Reference	271
Obligation	A retailer must give the requested billing data within 10 business days of the
Description	receipt of the request or payment of the retailer's reasonable charge for
Description	providing the billing data.
	p
Reporting Type	2
Compliance Rating	5
Audit Observation	Through interviews held with the Team Leader Billing, Manager Customer
	Contact Centre and review of billing policies and procedures we determined
	that Synergy has processes in place to enable the provision of billing data
	within 10 business days of the receipt of the request.
	Team Leader Billing indicated that Synergy does not charge a customer for
	the provision of billing data. Sample based testing of bills confirmed
	customers had not been charged for provision of billing data.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.2(4)
Compliance Manual Reference	275
Obligation Description	A retailer must keep a non-contestable customer's billing data for seven years.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Team Leader Billing, review of record keeping policies and procedures we determined that Synergy has processes and practices in place to ensure records are maintained for a minimum period of 7 years. Further examination of Synergy's record retention policy found that references are made to the State Records Act.
	Based on our discussions, we understand Historical data is stored in SAP and in the legacy system Valhalla.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 10.3
Obligation	
Compliance Manual	276
Reference	
Obligation	A retailer must give a residential customer on request, at no charge, the
Description	concession information specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussion with the Credit Management team and supplemented by a review of the information available of Synergy's website confirmed that the concession related information is provided at no charge. Further, Synergy's bill refers to concession eligibility.
	 We understand that information can be given to customers: in the event the customer requests concession related information, the information can be mailed or be provided during the contact the Customer Service Representative can direct the customer to the concession information page on its website.
	With regards to schemes / concessions managed by other agencies, Synergy has brochures, that disclosure the name and contact details of these organisations. This information is also disclosed on Synergy's life support equipment application forms. A notable example is rebate schemes administered by the Office of State Revenue such as Life Support Equipment Electricity Subsidy and Thermoregulatory Dysfunction Energy Subsidy Scheme.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 10.3A
Obligation	
Compliance Manual	277
Reference	
Obligation Description	A retailer must give a customer, at least once a year, written details of the retailer's and distributor's obligations to make payments to the customer under Part 14 and under any other legislation in Western Australia including the amount of the payment and the eligibility criteria for the payment.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Manager Retail Marketing and review of relevant documentation, we verified that information, regarding retailer and network operator payments under Part 14 of the Code of Conduct, are made available to customers via the "Synergy Life" magazines. The magazine is produced quarterly but provides the information annually, per the requirements of the obligation.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.4
Compliance Manual Reference	278
Obligation Description	A retailer must give a customer on request, at no charge, the general energy efficiency information specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions with Synergy staff and review of energy efficiency information available to customers, we determined that Synergy has processes in place to enable the provision of energy efficiency advice at no charge to a customer.
	From reviewing Synergy's website we were able to obtain information relating to cost effective and efficient ways to use electricity. The website also provided typical running costs of major appliances.
	Furthermore, Synergy publishes the "SmartWays" brochure which discusses practical solutions to help customers reduce their bills and provides details of appliance costs. In addition the Synergy publication "Increase your energy efficiency. Reduce your energy costs" and "Energy Advantage" publications contains information relating to energy audits. These brochures are posted out to customers who are unable or have no access to the internet. Furthermore, Synergy has developed a high account fact sheet which the CSR can use to talk / discuss with customers the ways for reducing consumption.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.5
Compliance Manual Reference	279
Obligation Description	A retailer must give information to the customer, or refer the customer to the relevant distributor for a response, if asked by a customer for information relating to the distribution of electricity.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions with the Customer Contact Centre and a review of guidelines and procedures for providing customers information about a distributor, we confirmed that Synergy has a process for the provision of information. Review of Synergy's processes revealed that, any queries relating to the distribution of electricity is required to be referred to the distributor. The Customer Service Representatives have access to distributor's general contact details and are free to provide the information to the customer upon request. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.9
Compliance Manual Reference	287
Obligation Description	A retailer and distributor must, to the extent practicable, ensure that any written information that must be given to a customer by the retailer or distributor or its electricity marketing agent under the Code of Conduct is expressed in clear, simple, and concise language and is in a format that makes it easy to understand.
Reporting Type	NR
Compliance Rating	5
Audit Observation	Discussions with the Product Manager revealed that Synergy's written information given to a customer is expressed in the specified requirements under the Code of Conduct through regulation from Synergy's Corporate Affairs, Legal and Regulatory departments who sign off the material for approval. Synergy also makes use of external copy writers to check and make necessary amendments of written information.
	Sampling of information given to a customer by Synergy under the Code of Conduct and records surrounding the drafting of that information confirmed that written information given to customers under the Code of Conduct is expressed in clear, simple, and concise language and is in a format that makes it easy to understand.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 10.10(1)
Obligation	Code of Conduct clause 10.10(3)
Compliance Manual	288, 290
Reference	
Obligation	
Description	
288	A retailer and distributor must tell a customer on request how the customer can obtain a copy of the Code of Conduct.
290	A retailer and distributor must make a copy of the Code of Conduct available for inspection, at no charge, at their offices.
Reporting Type	2,2
Compliance Rating	5
Audit Observation	Through interviews held with the Manager Contact Centre and Customer Service Representative confirmed that Synergy has practices in place to ensure that their staffs are able to advise its customers on how to obtain a copy of the Code of Conduct.
	Enquiries made with Customer Service Representatives and front reception revealed that staff were aware of where a customer could obtain a Code of Conduct.
	Enquiries with reception at Synergy Perth office, Adelaide Terrace, confirmed a copy of the Code of Conduct is available at no charge.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.10(2)
Compliance Manual Reference	289
Obligation	A retailer and distributor must make electronic copies of the Code of
Description	Conduct available, at no charge, on their web sites.
Reporting Type	2
Compliance Rating	5
Audit Observation	Through testing we confirmed an electronic copy of the Code of Conduct has been made available on the Synergy website, at no charge.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.11(1)
Compliance Manual Reference	291
Obligation Description	A retailer and distributor must make available to a residential customer on request, at no charge, services that assist the residential customer in interpreting information provided by the retailer or distributor.
Reporting Type	2
Compliance Rating	5
Audit Observation	If the customer requested interpretation services Customer Service Representatives in the Contact Centre would direct the customer to their free of charge interpretative services. We observed the process was readily accessible on Knowledge Base. Further, the interpretation service contact phone number is provided on the Customer Service Charter, customer bill and Synergy's website. Through our enquiries, we are satisfied that Synergy complies with this
	licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 10.11(2)
Compliance Manual Reference	292
Obligation Description	A retailer and, where appropriate a distributor, must include in relation to residential customers, the telephone number for their TTY services and for independent multi-lingual services and the National Interpreter Symbol with the words "Interpreter Services", on the documents specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Through our discussions we determined that Synergy include the telephone number for their special information services and for independent multi- lingual services, on the documents specified, including the customer's bill. Sampling of the documents specified confirmed that Synergy include the telephone number for their special information services and for independent multi-lingual services. Furthermore, the National Interpreter Symbol is visible on customer bills.
Recommendation	Nil



Licence	Electricity Industry Act section 82
Condition	
Operating	Code of Conduct clause 10.12(2)
Licence	
Obligation	
Compliance	294
Manual	
Reference	
Obligation	A retailer must, if requested by a customer, advise the customer of the
Description	availability of different types of meters or refer the customer to the relevant
	distributor for a response.
Reporting Type	2
Compliance	5
Rating	
Audit Observation	We were advised by the Team Leader Billing and Customer Support Officer that Synergy does not possess detailed information relating to different types of meters available to customers other than general information contained on Synergy's website <u>http://www.synergy.net.au/for_business/small_medium_business/how_can_i_r</u> <u>ead_my_meter.xhtml</u> .
	Synergy advised where customers require more information on metering types they are referred to Western Power, the meter owner.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
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Operating Licence Obligation	Code of Conduct clause 12.1(1)
Compliance Manual Reference	295
Obligation Description	A retailer and distributor must develop, maintain and implement an internal process for handling complaints and resolving disputes.
Reporting Type	2
Compliance Rating	5
Audit Observation	Synergy has a complaints handling procedure which documents the requirements, processes and actions for handling complaints.
	Synergy's complaints handling framework caters for verbal as well as written complaints. In addition, the framework has escalation procedures to ensure complaints are escalated and handled by appropriate officials within Synergy.
	Verbal complaints are normally received by the Contact Centre, who then escalates the complaints to the Customer Resolution Team.
	Where the Customer Resolution Team is unable to resolve the complaint, the complaint can be dealt with by a Team Leader or by senior managers, including the Customer Advocate. Further, the Ombudsman may forward complaints to Synergy, seeking further investigation and explanation. Customers are also advised that they may contact the Ombudsman as part of Synergy's complaint handling process.
	Complaints are recorded in SAP. Each complaint has a unique reference number. Hand written complaints are retained in Synergy's DMS with a unique reference number.
	Synergy has policies, procedures, guidelines and practices pertaining to maintaining, implementing of complaints and handling of disputes.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 12.1(3)
Compliance Manual Reference	297
Obligation Description	A retailer or distributor must at least provide the specified advice to a customer when handling a complaint.
Reporting Type	2
Compliance Rating	5
Audit Observation	 In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy reported that it failed to provide a customer with the Energy Ombudsman's telephone number upon request. This breach resulted from human error and is considered non-material given the number of tasks performed. Synergy has since reiterated, by way of training and compliance workshops, the key procedures that staff need to adhere to prevent future re-occurrence. Synergy has existing systems in place via its regulatory incident register to capture and report regulatory incidents and breaches. Synergy's complaint handling process cited AS/ISO 10002:2006 and the definition of a complaint and the accompanying processes are consistent with the standard. Synergy's complaint handling information that is available to its customers: Explains the AS/ISO requirements; Explains how complaints can be lodged; Complaints can be escalated to senior staff; Type of information that will be made available; and Identify the response time and the manner in which the complaint will be responded to.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 12.2
Compliance Manual Reference	298
Obligation Description	A retailer must comply with any guideline developed by the Authority relating to distinguishing customer queries from customer complaints.
Reporting Type	2
Compliance Rating	5
Audit Observation	Through our discussions with relevant Synergy staff and a review of the guidelines developed by the Authority, Synergy is aware of the AS/ISO 1002:2006 standard.
	We further noted that Synergy's policies and procedures distinguish between a complaint and a dispute.
	Synergy has developed management tools to ensure it is compliant with the Code; these take the form of ongoing process and documentation review, staff training, reviewing queries and quality assurance. Furthermore, information relating to a query and distinguishing this from a complaint is being reinforced throughout the Contact Centre and Customer Resolution.
	Sample based testing of letters communicated to customers confirmed that customers had been advised of their rights to raise the complaint with either the customer advocate or electricity ombudsman and were provided with their respective contact information.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 12.3
Compliance Manual Reference	299
Obligation Description	A retailer, distributor and electricity marketing agent must give a customer on request, at no charge, information that will assist the customer in utilising the respective complaints handling processes.
Reporting Type	2
Compliance Rating	5
Audit Observation	 Based on our discussions with the Manager Retail Operations Support and the Customer Advocate and review of the complaints procedures and knowledge base, we confirm that Synergy has processes in place to provide for the provision of information of complaint handling information at no charge. We further identified that Contact Centre and Customer Resolutions teams understood the requirement for provision of complaint resolution information without charge. Enquiries and observations of the contact centre, we determined that customers had been provided assistance with the complaints handling process. Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 12.4
Compliance Manual Reference	300
Obligation Description	A retailer, distributor or electricity marketing agent who receives a complaint that does not relate to its functions, must refer the complaint to the appropriate entity and inform the customer of the referral.
Reporting Type	2
Compliance Rating	5
Audit Observation	From our discussions with the Customer Resolutions teams and the Customer Advocate, we are satisfied that Synergy has processes in place to ensure complaints received that are not related to Synergy's functions are referred to the appropriate entity. We also noted that Synergy has documented procedures as well. From our discussions with the Customer Resolution Officers revealed that they were aware of the requirement to refer a non-related complaint to the relevant entity. Further, the Customer Resolution Officers were able to perform a walkthrough of the process on through SAP. We selected a sample of complaints not related to Synergy's operations and noted that the complaint was referred to the appropriate entity and the customer was made aware of this. Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 13.1
Compliance Manual Reference	301
Obligation Description	A retailer, distributor or electricity marketing agent must keep a record or other information as required to be kept by the Code of Conduct for at least two years from the last date on which the information was recorded, unless expressly provided otherwise.
Reporting Type	2
Compliance Rating	5
Audit Observation	The annual performance reports are published on Synergy's website dating back to 2007/2008, http://www.synergy.net.au/about_us/annual_report.xhtml The annual performance report contains information as required by clauses 13.2, 13.3, 13.4, 13.5 and 13.7 of the Code of Conduct. Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence	Code of Conduct clause 13.2
Obligation	Code of Conduct clause 13.4
Compliance Manual Reference	302 and 305
Obligation Description	
302	A retailer must keep a record of the total number of, and percentage of, customers under the affordability and access indicators specified.
305	A retailer must keep a record of the total number of payments and data on the average amount of payments made under the compensation indicators specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussion with T&T we understand that SAP business rules,
	technical specifications and a suite of reports have been developed to ensure that the indicators under Part 13 of the Code of Conduct are readily extracted. We confirmed this by obtaining a sample data extract from the system that was used for the preparation of the 2009/2010 and 2010/11 performance reports.
	ensure that the indicators under Part 13 of the Code of Conduct are readily extracted. We confirmed this by obtaining a sample data extract from the system that was used for the preparation of the 2009/2010 and 2010/11



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 13.3(1)
Compliance Manual Reference	303
Obligation Description	A retailer must keep a record of the customer complaint indicators specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	A hardcopy of all complaints is kept by Synergy for a period of 7 years. Synergy has recently developed an automated process whereby all incoming and outgoing correspondences can be saved to its document management system, DMS. Thereby negating the need to retain hard copy of complaints. All written complaints are scanned and entered into DMS to be stored in line with Synergy's archiving guidelines. Any verbal complaints will be issued as a task into SAP. Once the task is resolved the information gets stored as an interaction in SAP attached to the customer. Currently data within SAP is not archived rather the data in SAP is backed up on a regular basis. The information retained is consistent with clauses 13.1(b) to (f) of the Code of Conduct.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 13.5
Compliance Manual Reference	306
Obligation Description	A retailer must keep a record of the call centre performance indicators specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	ASPECT is the information system that monitors the call centre performance data.
	ASPECT is managed by an external agency. ASPECT displays the status of calls and documents the performance of call responses, assisting contact centre management to monitor performance targets and allocate resources. All information related to customer call centre records is stored in the ASPECT system database. Crystal reports are extracted from the database to enable the analysis of the call centre performance indicators.
	We examined a sample of the Crystal reports to validate the records used for the performance reports. We confirmed that Synergy keeps a record of the call centre performance indicators specified.
	Quarterly audits are performed by team leader personnel in the contact centre. We noted that the documentation and outcomes of the audits were retained in a central folder.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82		
Operating Licence	Code of Conduct clause 13.6		
Obligation			
Compliance Manual	307		
Reference			
Obligation	A retailer must keep a record of the to	otal number of residen	tial and business
Description	accounts specified.		
Reporting Type	2		
Compliance Rating	5		
Audit Observation	SAP business rules, technical specifications and a suite of reports have been developed to ensure that the indicators under Part 13 of the Code of Conduct are readily extracted. We noted that the data was easily retrievable from SAP. The table below is the data of customers and customers' accounts for the audit period ending 31 December 2011, categorised by residential and business customers. This data was extracted from SAP and such no independent verification of the data was performed.		
		Number of Customers	Number of Customer
		oustomers	Accounts
	Total number of records for residential accounts held by contestable customers	1,072	1,107
	Total number of records for residential accounts held by non- contestable customers	808,616	830,029
	Total number of records for business accounts held by contestable customers	10,608	11,317
	Total number of records for business accounts held by non- contestable customers	70,728	79,737
	Based on our enquiries and review of o there are adequate and effective cont the Licence condition.		
Recommendation	Nil		



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 13.7
Compliance Manual Reference	308
Obligation Description	A retailer must keep a record of the number of pre-payment meter customers, complaints information and other pre-payment meter information specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our enquiries made with the Customer Resolution Team, the Community Normalisation Project Teams and sample based review of prepayment meter customer interaction fields within SAP did not reveal any complaints from pre-payment meter customers during the 2010 / 2011 periods. Our review of SAP and other relevant sources noted that Synergy retains records of the number of pre-payment meter customers, address details, names, billing records, billing history, etc. The retention of the documents are in line with clauses 13.7(1)(f) to (i). Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Code of Conduct clause 13.15(1)
Operating Licence Obligation	Electricity Industry Act section 82
Compliance Manual Reference	318
Obligation Description	A retailer and a distributor must prepare a report setting out the information required by Part 13 of the Code of Conduct, in respect of each year ending on 30 June. The report must be published no later than the following 1 October.
Reporting Type	2
Compliance Rating	5
Audit Observation	Examinations and enquiries with the Regulatory and Compliance Team, revealed that Synergy has a process in place to ensure that the performance reports are prepared for each year ending 30 June and are published no later than the following 1 October.
	The report was published on 30 September 2011 compliant with the obligation to publish by no later than 1 October 2011.
Recommendation	NII



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 14.1(1)
Compliance Manual	320 & 322
Reference	520 Q 522
Obligation	
Description	
320	Subject to clause 14.5, a retailer must pay the stated compensation to a customer where the customer is not reconnected in the manner specified.
322	Subject to clause 14.5, a retailer must pay the stated compensation to a
	customer where the retailer has failed to follow any of the specified
	procedures prior to disconnection for a failure to pay.
Reporting Type	2,2
Compliance Rating	5
Audit Observation	Through interviews held with the Customer Advocate, Team Leader Customer Resolutions and review of the policies and procedures, we verified that Synergy has processes and practices to ensure that, a customer is paid a service standard payment upon request or otherwise for failure to comply with timeframes specified within the Code of Conduct.
	Our discussions also confirmed that there are instances where Synergy will pay customer a value greater than the amount prescribed within the Code of Conduct. This is done as a sign of goodwill.
	From our sample testing, we noted that Synergy has provided a service standard payment for the circumstances specified.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 14.3(2)
Compliance Manual Reference	325
Obligation Description	Subject to clause 14.5, a retailer must pay the stated compensation to a customer where the retailer has failed to acknowledge or respond to a query or complaint within the timeframes prescribed.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Customer Resolution team and reaffirmed through our review of relevant documentation, we noted that Synergy has procedures and processes in place relating to service standard compensation.
	From our sample, we noted that Synergy had compensated customers, consistent with the requirements of the Code of Conduct for the failure to either acknowledge or respond to a query or complaint within the specified timeframes.
	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Electricity Industry Act section 82
Operating Licence Obligation	Code of Conduct clause 14.6(1)
Compliance Manual Reference	328
Obligation Description	A retailer, who is required to make a compensation payment for failing to satisfy a service standard, must do so in the manner specified.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Customer Resolution team and Credit Management team and reaffirmed through our review of relevant documentation, we noted that Synergy has procedures and processes in place relating to crediting a customer an amount as a result of a service standard payment entitlement, we determined that Synergy has processes and practices in place to ensure such payments are made in the manner specified within the Code of Conduct. Based on our discussions we were advised that customers are informed of their entitlement to a service standard payment and how these payments will be made. The preferred method is a direct credit to the customer's next bill. Where an amount is of a significant value, the customer is advised of the service standard payment entitlement and Synergy requests instructions as to how they would prefer the payment to be made. From our sample, we noted that Synergy had made service standard payments that were consistent with the requirements of the Code of Conduct. Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Licence condition	
Operating Licence	Electricity Industry Metering Code clause 3.16(3)
Obligation	, , , , , , , , , , , , , , , , , , ,
Compliance Manual	349
Reference	
Obligation	A Code participant who becomes aware of an outage or malfunction of a
Description	metering installation must advise the network operator as soon as
	practicable.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions with the Business Partner Liaison Manager indicated that
	malfunctions of metering installations reported by a customer or the
	ombudsman were immediately reported to the network operator.
	Metering installation malfunctions reported by customers are manually input
	into the system by Contact Centre staff. Build Pack will then automatically
	generate a work order that is sent to the network operator. The Build Pack
	is defined in the Metering Communications Rules approved by the ERA. It
	sets out specific details as to how the data and information exchange
	processes will be implemented, including information relating to the design
	and development of information systems to enable the communication
	processes to occur.
	Sample based testing of Meter Tests Requests processed in SAP confirmed
	that the system was operating correctly and that the network operator had
	received notification of outages or malfunctioning of a metering installation.
	Based on our enquiries and review of documentation, we have concluded
	that there are adequate and effective controls in place to support
	compliance with the Licence condition.
Recommendation	Nil
Recommendation	



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 3.16(5)
Compliance Manual Reference	361
Obligation Description	A network operator or a user may require the other to negotiate and enter into a written service level agreement in respect of the matters in the metrology procedure dealt with under clause 3.16(4) of the Code.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Regulatory team it was verified that there is no requirement for Synergy to negotiate an SLA with Western Power. Supporting information in respect of Licence Condition 361 and the deletion of clause 3.16(4) from the Metering Code was provided by via email correspondence by the Regulatory team. The appropriate amendments have been made to the Manual.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 3.18(1)
Obligation	
Compliance Manual	363
Reference	
Obligation Description	If the Electricity Retail Corporation supplies electricity to a contestable customer at a connection point under a non-regulated contract, and in circumstances where immediately before entering into the contract, the electricity retail corporation supplied electricity to the contestable customer under a regulated contract, then the metering installation for the connection point must comply with the prescribed wholesale market metering installation requirements.
Reporting Type	2
Compliance Rating	5
Audit Observation	Our discussions confirmed that where a contestable customer at connection point under a non-regulated contract is being changed to a regulated contract, the requirement for meter change is identified. The request for meter change is communicated to the network operator as Synergy does not install meters. Once the meter has been changed to the required meter, a confirmation of meter change is forwarded to Synergy from the network operator. The distributor confirms the metering installation has been installed in accordance with respective metering installation requirements. Testing confirmed that Synergy had advised the network provider instances where a requirement to convert the meter to an interval type and confirmation that the meter has changed in accordance with wholesale metering code requirements. Through our testing and enquiries we are satisfied that Synergy complies with this licence condition.
Recommendation	NII



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 3.27
Obligation	
Compliance Manual	372
Reference	
Obligation	A person must not install a metering installation on a network unless the
Description	person is the network operator or a registered metering installation provider for the network operator doing the type of work authorised by its registration.
Reporting Type	2
Compliance Rating	NR
Audit Observation	This obligation is not applicable as the network provider and not Synergy is responsible for the installation of the meter.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 4.4(1)
Compliance Manual Reference	379
Obligation Description	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.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions it was noted that Synergy staff validate the data held by Synergy against data held by the network operator.
	Discrepancies identified through the validation process are communicated to the network operator through the Build Pack system.
	Sample based testing of Meter Read Verifications processed post SAP confirmed that the verification process had been completed and that the Build Pack system was operating correctly.
	Our testing noted that Synergy is fully compliant with the obligations of the code.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 4.5(1)
Obligation	
Compliance Manual	380
Reference	
Obligation	A Code participant must not knowingly permit the registry to be materially
Description	inaccurate.
Departing Type	NR
Reporting Type	
Compliance Rating	5
Audit Observation	Through our discussions it was noted that the compliance requirement spans multiple systems and processes. As such, a number of separate controls and processes exist to ensure compliance with the obligation. Metering data comes from the network operator; however, Synergy staff will verify the data and different stages. It was noted that Synergy will update its registry no matter how small the discrepancy is if it has been requested by a customer or Western Power. Testing completed over numerous obligations has confirmed the existence and effectiveness of systems and processes used to ensure that Synergy does
Recommendation	not knowingly permit the registry to be materially inaccurate.



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 4.5(2)
Obligation	
Compliance Manual	381
Reference	
Obligation	If a Code participant (other than a network operator) becomes aware of a
Description	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.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions indicated that Synergy staff validates the registry data as it is extracted from SAP. Discrepancies identified through the validation process are communicated to the network operator through the Build Pack.
	Sample based testing of "site access update" processed confirmed that the verification process had been completed within 2 business day requirements and that the Build Pack system was operating correctly.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 5.4(2)
Compliance Manual Reference	393
Obligation Description	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.
Reporting Type	NR
Compliance Rating	5
Audit Observation	Based on our discussions it was noted that the compliance requirement spans multiple systems and processes. It was further noted that the requests from the network operator are received on a daily basis and attended to by relevant personnel within Synergy.
	Testing completed on service notifications to the network provider and service requests from the network provider confirmed that the systems and processes were operating effectively.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 5.5(3)
Compliance Manual Reference	395
Obligation Description	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.
Reporting Type	2
Compliance Rating	5
Audit Observation	The Customer Service Officers confirmed that the Contact Centre team could access customer data, which would then be communicated over the phone. A hard copy of the bill will be posted out upon request at no charge to the customer. Additionally, all customer billing data is available free of charge through the Synergy website.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 5.16
Compliance Manual Reference	406
Obligation Description	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.
Reporting Type	2
Compliance Rating	NR
Audit Observation	Synergy does not accept meter readings directly from the customer. Meter readings are only accepted from Western Power.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 5.17(1)
Obligation	407
Compliance Manual Reference	407
Obligation Description	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.
Reporting Type	2
Compliance Rating	5
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy reported that it was unclear whether unmetered supply customers were not being billed in accordance with the Metering Code but reported the incident in any event.
	We note that Synergy has sought to obtain energy data from Western Power in accordance with the Metering Code to enable the provision of verified data to Synergy for billing purposes. The Business Partner Liaison Manager provided that the data is provided to a customer on their bill and is part of an automated process. The provision of standing data or validated energy data to a customer is part of the business as usual process.
	In the instance where the network operator has not provided data for billing purposes, Synergy no longer performs any calculations of this nature. If a customer has not been provided a bill, due to absence of data from the network operator, Synergy's processes surrounding billing greater than 90 days provides for the detective mechanism.
	Synergy bills on estimated data when Western Power provides estimated data in accordance with its obligations under the Metering Code.
	Testing of bills confirmed that standing data and validated/estimated energy data appeared on customer bills.
Recommendation	NII



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 5.18
Obligation	Licenterry maastry metering oode clause 5.10
Compliance Manual	408
Reference	408
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Obligation	A user that collects or receives information regarding a change in the
Description	Energisation status of a metering point must provide the network operator
	with the prescribed information, including the stated attributes, within the
	timeframes prescribed.
Reporting Type	2
Compliance Rating	5
Audit Observation	Discussions with a member of the Credit Management team confirmed that
	Synergy had a policy in place to issue Energisation notifications to the
	network operator, and that the policy was adequate.
	Our observations of SAP work order tasks revealed that the system was
	operating effectively to issue Energisation notifications within the
	timeframes specified.
	timenames speenred.
	Through our testing and enquiries we are satisfied that Synergy complies
	with this licence condition.
	N!!
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 5.19(1)
Obligation	Electricity Industry Metering Code clause 5.19(2)
Compliance Manual	409 & 410
Reference	
Obligation Description	
409	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.
410	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.
Reporting Type	NR, NR
Compliance Rating	5
Audit Observation	Based on our discussions with the Billing team it was indicated that customer details are held within SAP and requests for customer attribute information are handled through Build Pack.
	Requested customer details are manually flagged within the system; the system will then automatically generate and send a Customer Detail Notification to the network operator.
	Testing of Customer Details Notifications (CDN) automatically generated and sent, confirmed that the system was operating correctly.
	Further testing confirmed the existence of the required customer information recorded by these individuals and maintained within SAP.
	Synergy relies on its customers to advice of any changes to their details.
	From sample testing, Synergy retains the required CDN data.
	Through our testing and enquiries we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 5.19(3)
Obligation	Electricity Industry Metering Code clause 5.19(4)
Compliance Manual	411 & 412
Reference	
Obligation	
Description	
411	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.
412	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.
Reporting Type	2, 2
Compliance Rating	5
Audit Observation	Based on our discussion, it was noted that customer details are held within SAP and customer attribute information notifications are handled through Build Pack.
	Changes in customer details are manually flagged within the system; the system will then automatically generate and send a Customer Detail Notification to the network operator.
	Testing of Customer Details Notifications automatically generated and sent, confirmed that the system was operating correctly.
	Synergy relies on its customers to advice of any changes to their details.
	Customer Details Notifications are sent by batch to the network operator once per day (overnight), as per the communication rules approved by the Authority. The Network Operations Control Centre (NOCC) is notified by email up to twice per day and email confirmation of receipt is required to be received from NOCC for each transfer of information.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 5.19(6)
Compliance Manual Reference	414
Obligation Description	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.
Reporting Type	NR
Compliance Rating	5
Audit Observation	 Based on our discussions, it was noted that Synergy has a process is in place to ensure where a customer attribute has changed, the network operator is not notified of such changes. The Billing Team further explained that this requirement is to stop looping of information. In the absence of a system based control, a change in customer attribute would be communicated to the network operator. The network operator would then respond by providing information back to Synergy confirming the receipt of a change in a customer attribute. Without an automated control, Synergy would respond to the network operator. In the absence of requests from the network operator requesting Synergy to cease re-sending a change in a customer's attribute, we determined that an automated control is active and is stopping the loop effect from occurring.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 5.21(5)
Obligation	Electricity Industry Metering Code clause 5.21(6)
Compliance Manual	420 & 421
Reference	
Obligation	
Description	
420	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.
421	A Code participant must not make a test or audit request that is inconsistent with any access arrangement or agreement.
Reporting Type	2, 2
Compliance Rating	5
Audit Observation	Based on our discussions, it was highlighted that system controls within the market place will prevent data being supplied to a code participant who was not a Financially Responsible Market Participant (FRMP) during the period of request. It was further explained that the system protocols would identify if the code participant was a FRMP during the period which the test or audit has been requested, if the system determined that the code participant was not a FRMP, the request would be rejected.
	Synergy has not made a test or audit request that is inconsistent with any access arrangements or agreements.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 5.27
Compliance Manual Reference	439
Obligation Description	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.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions, we noted that requests for customer attribute information are handled through Build Pack. Customer details are manually flagged within the system; the system will then automatically generate and send a Customer Detail Notification to the network operator within the 2 business days after receiving the request.
	From our testing of Customer Details Notifications automatically generated and sent, confirmed that the system was operating correctly.
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 6.1(2)
Compliance Manual Reference	446
Obligation Description	A user must, in relation to a network on which it has an access contract, comply with the rules, procedures, agreements and criteria prescribed.
Reporting Type	2
Compliance Rating	5
Audit Observation	Based on our discussions with the Regulatory team it was verified that that the compliance requirement spans multiple departments. Synergy manages compliance through training programs on which staff are tested. Further, SAP business rules were written to comply all of Synergy's compliance requirements.
	Obligation 446 requires Synergy to comply with the documents under the Metering Code. Specifically, the following documents approved by the Authority under clause 6.2 of the Metering Code:
	Communications Rules
	 Model Service Level Agreement (MSLA)
	 Metrology Procedure
	Mandatory Link Criteria
	It is noted that the Mandatory Link Criteria and Metrology Procedure primarily define the methods, systems and procedures used by the network operator to give effect to the various Metering Code obligations. These documents do not contain any material obligation on the user.
	In addition, it is noted that the various services under the MSLA is given effect by the Communications Rules approved by the Authority. In this case the user is required to comply with the requirements of the Communication Rules in order to receive the required service from Western Power . The outcomes of these services under the Code have been audited and therefore any non-compliance in effecting an obligation under the Metering Code would also highlight a non-compliance with the Communications Rules. For example, if Synergy did not comply with the Communications Rules than it would not be able to meet its obligations under the Code of Conduct in respect of service being provided under the MSLA and initiated (or effected) under the Communications Rules.
	Through consideration of controls and discussions with staff across numerous obligations, we believe that a strong compliance culture exists and the details of the access contract have been complied with.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 7.2(1)
Compliance Manual Reference	448
Obligation Description	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.
Reporting Type	NR
Compliance Rating	5
Audit Observation	Based on our discussions, it was noted that Synergy has the facilities required to send and receive notices by post facsimile and electronic communication. Synergy also has in place a B2B system between itself and the network operator.
	Testing of correspondence and systems confirmed that Synergy has facilities in place to send and receive notices by post, facsimile and though electronic communication.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 7.2(4)
Obligation	
Compliance Manual	450
Reference	
Obligation	A Code participant must notify its contact details to a network operator with
Description	whom it has entered into an access contract within 3 business days after the
	network operator's request.
Reporting Type	2
	-
Compliance Rating	5
Audit Observation	Synergy has an access contract with Western Power.
	Synergy has processes and policies in place to meet the requirements of this obligation.
	If requested by Western Power, Synergy must notify its contact details to Western Power within 3 business days after the request. Per discussions with the Billing Analyst, Synergy receives requests from Western Power by way of emails. Email stored in mail folder titled "WP CDN's/TCS UPDATES".
	Requests are processed manually and an email is also sent to inform Western Power that the request has been done. Staff are allocated to work on request change every morning to clear out this inbox.
	Our sample testing noted that Synergy is compliant with the requirements of this obligation.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 7.2(5)
Obligation	
Compliance Manual	451
Reference	
Obligation	A Code participant must notify any affected network operator of any change
Description	to the contact details it notified to the network operator at least 3 business
	days before the change takes effect.
Reporting Type	2
Compliance Rating	NR
Audit Observation	Synergy's contact details have not changed during the audit period and
	therefore no action had been required.
Recommendation	Nil



Licence Condition	Retail Licence condition 5.1
Operating Licence	Electricity Industry Metering Code clause 7.5
Obligation	
Compliance Manual	452 & 453
Reference	
Obligation	
Description	
452	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.
453	A Code participant must disclose or permit the disclosure of confidential information that is required to be disclosed by the Code.
Reporting Type	2, 2
Compliance Rating	5
Audit Observation	In its 2010/2011 Annual Electricity Retail Compliance Report, Synergy reported it was receiving unsolicited information from Western Power for which it was not entitled to receive and was deleting the information in response.
	Discussions with the Manager Network Regulatory and Compliance confirmed the existence of policy regarding the disclosure of confidential information.
	Email correspondence was obtained to confirm that disclosure policies were adequate and operating effectively.
Recommendation	Nil



Licence Condition	Detail License condition [1
Licence Condition	Retail Licence condition 5.1
Operating Licence Obligation	Electricity Industry Metering Code clause 8.1(1) Electricity Industry Metering Code clause 8.1(2) Electricity Industry Metering Code clause 8.1(3) Electricity Industry Metering Code clause 8.1(4) Electricity Industry Metering Code clause 8.3(2)
Compliance Manual Reference	454, 455, 456, 457 & 458
Obligation Description	
454	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.
455	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.
456	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.
457	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.
458	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.
Reporting Type	NR, NR, 2, NR, NR
Compliance Rating	5
Audit Observation	Synergy has a governance framework in place with set meeting dates/times that allow for issues to be escalated to the next level - business as usual (BAU), business department to business department (B2B), Managing Director to Chief Executive Officer etc. The framework corresponds to elements of the dispute process defined in the Metering code to ensure compliance with both the 5 day and 10 day business rules. Furthermore, the framework includes joint consultation and escalation at: Working Group level, B2B Steering Committee, Oversight Committee. Any dispute is escalated via the relevant area of the business to Western Power. Discussions with the Business Partner Liaison Manager indicated that Synergy employees are trained and measured against Synergy's Culture and Values.
	Synergy's Culture and Values outline a foundation for appropriate conduct, for which employees are bound.



	Through our examination and enquiry we are satisfied that Synergy complies with this licence condition.
Recommendation	Nil



Licence Condition Synergy Retail Licence Schedule 2 condition 2.1		
	Synergy Retail Licence Schedule 2 condition 2.6	
Operating Licence Obligation	Electricity Industry (Licence Conditions) Regulations regulation 8	
Compliance Manual Reference	483, 484, 485 & 486	
Obligation		
Description		
483	The licensee must submit to the Coordinator a draft renewable source electricity contract by the time specified in the Act or by the Coordinator.	
484	The licensee must comply with a direction by the Coordinator to submit an amendment to the renewable source electricity contract by the time specified.	
485	The licensee must offer to purchase renewable source electricity from a renewable source electricity customer under an approved renewable source electricity contract.	
486	The licensee must submit to the Coordinator a written report detailing the amount of renewable source electricity purchased by the licensee and the cost of purchasing that renewable source electricity as soon as practicable at the end of each financial year.	
Reporting Type	2 (all)	
Compliance Rating	5	
Audit Observation	Per the Letter of approval from the Coordinator of Energy DMS # 3475776, Synergy has submitted reports to the Office of Energy regarding the Renewal Energy Buyback Scheme (REBS) for each financial year within the audit period.	
	Interviews held with the Product Manager indicated Synergy offers to purchase renewable source electricity, under an approved contract, from an eligible customer who wishes to sell such electricity to the corporation.	
	Renewable Energy Buyback Schemes are regulated under a contract approved by the Coordinator of Energy (State Government). The REBS terms and conditions, application form and pricing schedule are available on the Synergy web site, and customers that meet the criteria are issued an acceptance letter through the post.	
	The Legal, Regulatory and Audit department and Retail are primarily responsible for the compilation and submission of the REBS report. The annual submission date of the report is monitored through the regulatory calendar. Synergy had submitted written reports to the Coordinator regarding its costs in purchasing renewable source electricity under approved contracts in a time considered practicable.	
	Despite receiving no specific direction, Synergy has a strong review policy and had initiated its own internal review of the Contract; any amendments considered were forwarded to the Coordinator of Energy for approval.	
	Based on our enquiries and review of documentation, we have concluded that there are adequate and effective controls in place to support	



	compliance with the Licence condition.
Recommendation	NII



Licence Condition	Synergy Retail Licence condition 5.1
Operating Licence	Electricity Industry (Customer Contracts) Regulations 2005 regulation 40
Obligation	
Compliance Manual	493
Reference	
Obligation	Subject to specified exceptions, the licensee must offer to supply electricity
Description	under a standard form contract to a customer who requests it.
Reporting Type	2
Compliance Rating	5
Audit Observation	Standard form contracts are readily available to customers who request it. Explanation of the procedure has been verified in the "Guide to understanding the Code of Conduct" and "Standard Electricity Agreement" document.
	In addition, the procedures are documented in Knowledge Base-Procedures- Customer Movements-Move in Guided Process.
	Under the Electricity Industry (Customer Contracts) Regulations 2005 Synergy's obligation does not arise if the premises of the customer requesting supply are not connected to a distribution system and there is no obligation by a distributor to do so under the Electricity Industry (Obligation to Connect) Regulations 2005 or the customer owes an amount of money to Synergy and has not entered into an arrangement with Synergy for payment of the amount owed or complied with the terms of any such arrangement. Synergy advises its current standard procedure for a customer who seeks supply but has an historical debt is to establish the account and transfer the debt to the new account opposed to not establishing account until payment is received.
	Based on our review of documentation, we have concluded that there are adequate and effective controls in place to support compliance with the Licence condition.
Recommendation	Nil



14. SOURCE DOCUMENTATION

1.	Networks Process & Procedure Document	
2.	Verifiable Consent Form	
3.	Customer Transfer Request Form	
4.	Guidelines for using Verifiable Consent Form	
5.	Business Plan Terms & Conditions	
6.	Pricing Plan Form of Agreement	
7.	7. Electricity Marketing Agent Code Compliance Form	
8.	Sales Process Coaching Check Sheet	
9.	Outbound Sales Script	
10.	Trade Fairs Document	
11.	Do Not Contact Procedure	
12.	ERA Approved Standard Form Contract (a.k.a. standard electricity agreement)	
13.	Small Use Business Plan	
14.	Large Use Business Plan	
15.	Standard Bill	
16.	Welcome Pack Letter	
17.	Customer Charter	
18.	Synergy Prepayment Card Distribution Agreement	
19.	Synergy Life Magazine - Summer 2011/12	
20.	Synergy Life Magazine - Winter 2011	
21.	Synergy Complaints Policy	
22.	REBS and Net Feed in Tariff Price Schedule	
23.	Annual REBS return to OOE 2010-11	
24.	Western Australian Business to Business (B2B) Procedure: Technical Delivery Specification	
25.	PWC Internal Audit Report June 2011	
26.	Technology and Transformation Report: IT Disaster Recovery Processes.	
27.	WE access contract	
28.	Churn-out Process	
29.	29. Churn-In Process	
30.	Service Notification Document	
31.	LRA 99 (Interval Meters for new Contracts)	
32.	32. Economic Regulation Authority section 32 breach notice dated 17 February 2011	
33.	33. Energy Ombudsman Western Australia Annual Report 2010-11	
34.	ERL Performance Audit Report (Prior year conducted by Grant Thornton)	
35.	Regulatory and compliance calendar	
36.	Customer Crisis Support Plan	
37.	37. Legal, Regulatory and Compliance Operations Manual	
38.	SOLR presentation	
39.	SOLR Initiation program 2010	



40. Review of Electricity and Gas SFC

41. Factsheet #12 The ERA

42. Amendments to Metering Code (Final Recommendations Report)

43. Regulatory Incident Log

44. Factsheet #13 Procedure for Licence Incident (Non compliance)

45. Factsheet #6 Retail Licence Compliance Requirements & Reporting

46. Knowledge Base - Update Mailing Address

47. General Fax and Correspondence - Standard Operating Procedure

48. Service Tickets-Web Forms-Standard Operating Procedure

49. UER Reference Guide

50. Billing and Meter Enquiries

51. Process Basic Meter Reading

52. Manual Estimates

53. Rebill Reference Guide

54. Knowledge Base - High Account Cheat Sheet

55. Check Read & MDV Standard Operating Procedure

56. Knowledge Base - Customer Requests a Meter Test

57. Incorrect Tariff Notification Letter DMS: 2868957

58. Knowledge base (KB) B> General Knowledge> BS> Backbilling

59. Knowledge Base>Procedures>Customer Movements>Move Out Guided process.

60. Knowledge Base - Estimated Accounts

61. Knowledge Base - Bill Review - Actual Reads

62. Knowledge Base - Bill Review - Estimated Self Read Process

63. Knowledge Base - Bill Review - Estimated Read Process (Not Self Read)

64. Ninga Mia Customer List

65. Ninga Mia Account Establishment Form

66. Tariff Variation for Ninga Mia Residents

67. Customer Letter requests (Standard Operating Procedure)

68. Non Application Letter

69. Disconnection Letter

70. KB- CM-Quick reference guide - shortened billing cycles

71. KB-SOP-Debit& credits- Transferring Debt DMS#3418182

72. Processing Debits & Credits

73. Sample Letter 1,2 & 3

74. Customer Pre-payments

75. Financial hardship procedures

76. Late Payment Fees

77. Vacating a supply address

78. Debt collection practices

79. Financial Hardship- HUGS Guidelines

80. Synergy's Financial Hardship Policy

81. CMO Payment Arrangement Guidelines



82. Disconnections of dual fuel customers		
Disconnection for non access to a meter		
1. Recovery of an Undercharged Amount (Prepayment meters)		
5. Change from prepayment to standard meter (Waiving fees)		
Prepayment meters (financial hardship/payment difficulty)		
37. Record Keeping Report 2010/11 (ERL1 Performance Report)		
88. Service Standard Payment Policy		
89. Service standard payment (SSP) Register 2010/11		
90. Compliance Report 2009/10		
91. Compliance Report 2010/11		
92. Pre Payment Meters - BAU Processes (based upon Ninga Mia)		
93. Factsheet #34 Electronic Payments Code Factsheet		
94. Contact Centre Team Leader Call Monitoring Guidelines		
95. KB-Procedures-Customer Movements-Move in Guided Process		
96. KB-Procedures-Declarations-General-Why are declarations important?		
97. KB-Procedures-Declarations-General-Movements Declarations Contact Centre Declarations		
98. KB-Procedures-Concessions-Business Rules -Eligibility for concessions		
99. KB-Procedures-Concessions-Business Rules -Entitlement for concessions		
100. KB-Procedures-Concessions-Concession process-Add Concession Cards		
101. KB-General Knowledge-Do not contact -Marketing Material		
102. KB-Customer Letter Requests-General Knowledge (D) Do not contact		
103. KB-Procedures-Complaints-Complaints -Create Complaint from Interaction		
104. KB-Procedures-Customer Movements-Customer Movements General -New Connections		
105. KB-Customer Management- 4. Update Customer Details -Update Correspondence Addres		
106. KB-Prices, charges & service level agreement (SLA) Charges-Tariff -Residential Tariff		
107. KB-Prices, charges & SLA's-Charges-Tariff -Business Tariff		
108. KB-Prices, charges & SLA's-Charges-Tariff -Tariff info (Other)		
109. KB-Prices Charges & SLA's-Charges-Fees-Price & Charges Matrix		
110. KB-Network Prices, Charges & SLA's-SLA's-Overview-Service Level Agreements		
111. KB-Procedures-Rebates-General -Eligible Concession Cards		
112. KB-Procedures-Western Power-General -Western Power Call Responsibility Guide		
113. KB-Procedures-Service Notifications-SN Matrices-Meter Investigation		
114. Safetrac - completed annually (records DMS#3397665)		
115. Smartways Brochure		
116. Contact Centre Performance report (Crystal Reporting)		
117. KB-Customer Management-Business Partner (BP)- Identify BP-Privacy Act Requirement		
118. SAFETRAC Privacy Manual Australia		
119. SAFETRAC Privacy Test Questions		
120. Synergy - Privacy Policy		
121. National Privacy Principles		



15. SYNERGY STAFF INVOLVED IN THE AUDIT

Name	Designation
Brendan Crowder	Networks Settlement Analyst
David Morgan	Contact Centre Team Leader
Debbey Tindall	Brand and Strategic Communications Manager
Maria Marsh	Billing Transactions Manager
Jonathon Barbetti	Billing Team Leader
John Coulter	Contact Centre Manager
Karen Chitty	Cash Processing Officer
Suzanne Lloyd	Regulatory & Compliance Analyst
Karthi Mahalingham	Manager Networks Regulatory and Compliance
Katrina Novacsek	Business Partner Liaison Manager
Ken Nylander	Customer Advocate
Dominique Carboni	Brand and Communications Specialist
Kath Wimbush	Contract Technical Consultant
Mark Smith	Manager Market Strategy & Segmentation
Melissa Coppock	Transaction Co-ordinator - Customer Support Team
Travis Wait	Industrial and Commercial Transactions Officer
Paul van Heerwaarden	Manager Service Delivery
Karen Snowball	Manager of Compliance and Risk
Simon Thackray	Manager Retail Regulatory and Compliance
Abbey Chasen	Learning and Development Manager
Tahnie Falconer	Senior Product Manager
Sarah Robinson	Manager Service Quality
Alana Foley	Team Leader Customer Support - Service Quality



Name	Designation
Dee Christiansen	Team Leader Complaints - Service Quality
Priscilla Peters	Quality and Process Coordinator - Service Quality
Carolyn Peel	Manager Credit Management
Craig Butler	Manager Credit Management Strategy
Gordon Mason	Credit Management Coordinator (now credit operations manager)
Carmen Williams	Quality and Process Coordinator (now credit management analyst)