



McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

BHPBILLITON NICKELWEST PTY LTD DISTRIBUTION LICENCE EDL 2 RETAIL LICENCE ERL 2 PERFORMANCE AUDIT REPORT

Prepared By Kevan McGill
Date 18 July 2013



McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

Bill Head
Energy Management Group
Stainless Steel and Materials – Nickel West
BHP Billiton Pty Ltd Nickel West
154 St George Terrace
PERTH WA 6000

Dear Mr Head

Performance Audit Electricity Licences

The fieldwork on the performance audit of Distribution Licence EDL 2 and Retail Licence ERL 2, for the audit period (31 March 2010 to 31 March 2013.) is complete and I am pleased to submit the report to you. The report reflects my findings and opinions.

In my opinion, the Licensee has maintained a good level of compliance with the licences conditions and integrity with the Licensee's reporting obligations. There are 2 non compliances noted.

In my opinion, the Licensee maintained, in all material aspects, control procedures in relation to the Distribution licence (EDL 2) and Retail Licence (ERL 2) for the audit period on the relevant clauses referred to within the scope section of this report.

Yours sincerely

Kevan McGill
Director

Date 18 July 2013

17 Juniper Way
Duncraig WA 6023
Tel: +61 894475286 Mob: 0434 148 971

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1 Executive Summary

BHP Billiton Nickel West (*NiW*) holds an Electricity Distribution Licence (EDL2) and an Electricity Retail Licence (ERL2) issued by the Economic Regulation Authority under the Electricity Industry Act 2004. This performance audit was conducted in accordance with the guidelines issued by the Economic Regulation Authority (*Authority*) for the audit period (31 March 2010 to 31 March 2013.) to assess Nickel West's level of compliance with the licence conditions.

Nickel West operates a small distribution network in the mining town of Leinster (the northern system) and a small non contiguous network to 5 mining customers in the Kambalda region (the southern system). In the southern system the distribution system consists of off-takes from another licensee's distribution or transmission system and connections to customers. The northern distribution system is the Leinster town site with less than 300 connections to consumers but who are not considered as customers as electricity is not retailed to the consumer. The whole town is under the control and management of NiW, where occupancy is by invitation of BHP Billiton. Nickel West retails electricity to the same 5 mining customers in the southern system and to 1 mining customer in the northern system where the radial distribution is carried out by another licensee. There is no retail in Leinster town site. Nickel West purchases all its electricity from a third party.

The records and areas covered by the Licence were inspected and interviews were also held with key personnel at the operational sites (Leinster and Kambalda) and in the Perth Office. The extent of the Licensee's assets has not changed since the last audit.

While the Licence covers Mt Keith there are no distribution assets (other than self supply which is exempted by the Act) and no retail.

The Electricity Licences require Nickel West to provide the authority with an audit report from an independent expert on a defined time scale. This is the third audit of the licences held by Nickel West.

1.1 OVERALL CONCLUSION

In my opinion, the Licensee has maintained a good level of compliance with the licences conditions and integrity with the Licensee's reporting obligations. There was a non-compliance noted.

In my opinion, the Licensee maintained, in all material aspects, control procedures in relation to the Distribution Licence (EDL 2) and Retail Licence (ERL 2) for the audit period based on the relevant clauses referred to within the objectives section (Page 15) of this report. It is clearly apparent that Nickel West has raised the focus on compliance to the licence requirements and specifically to

- Improved customer documentation and focus
- Compliance with metering requirements
- Documentation and recording of interruptions to supply
- Undertaking power quality assessments

- Risk assessment and development of an Asset Management Plan (progress reported in the separate Asset Management System Review report)

A summary of the findings of the performance audit is given below.

1.2 RATINGS

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

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

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

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

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

Assessment	Total	Audit Priority				
		1	2	3	4	5
Compliant 5	55	3	0	0	41	11
Compliant 4	15	9	0	0	4	2
Compliant 3	3	0	0	0	1	2
Non-compliant 2	2	1	1	0	0	0
Significantly Non-compliant 1	0	0	0	0	0	0
Not Applicable	14	0	0	0	14	0
Not Rated	146	1	1	0	117	27

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

1.3 CORRECTIVE ACTIONS FROM LAST AUDIT.

No. ¹	Condition	Corrective Action	Action since last audit	Further recommendation
None	Licence - There is no item to cover amendment of licence. The Licence refers to Mt Keith but there are no distribution assets are that place. The AMP does not specifically cover Mt Keith as there are no assets.	The Licensee should advise the Authority and pay the requisite fee to amend the Licence as there are no assets.	The Licensee has chosen to not amend the Licence.	None Action Complete New Action: Seek the <i>Authority's</i> acknowledgement that Leinster is exempt from licensing and if so amend Licence to remove both Leinster and Mt Keith.
85 [105 of 2011]	A Licensee must pay to the Authority the prescribed licence fee within one month after the day of grant or renewal of the licence and within one month after each anniversary of that day during the term of the licence.	Further action is to be developed to improve controls of expediting and tracking payment by developing a compliance manual and regular quarterly scheduled reviews.	The 2010 Fee was late but subsequent fees were paid on time. Compliance manual was implemented but payment process was too long.	Further improvement to controls of payment process is required. A compliance manual has been developed but expedited payment process to ensure payment on time in future is required.

¹ Numbers in [] brackets refer to 2011 *Electricity Compliance Manual* Item number

No. ¹	Condition	Corrective Action	Action since last audit	Further recommendation
302 [332 of 2011]	A network operator must ensure that its meters meet the requirements specified in the applicable metrology procedure and also comply with any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act.	Non mandatory action (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared.	There have been no new customers to require action.	Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the <i>Authority</i> for approval.
304 [334 of 2011]	An interval meter must at least have an interface to allow the interval energy data to be downloaded in the manner prescribed using an interface compatible with the requirements specified in the applicable metrology procedure.	Development of a general metrology procedure for inclusion in or attachment to future Power Purchase Agreements. (Non mandatory recommendation Audit Guidelines 11.9).	There have been no new customers to require action.	Non mandatory actions (Audit Guidelines 11.9) Development of a general metrology procedure for inclusion in or attachment to future Power Purchase Agreements. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the <i>Authority</i> for approval.
307 [337 of 2011]	A network operator must, for each metering installation on its network, on and from the time of its connection to the network, provide, install, operate and maintain the metering installation in the manner prescribed (unless otherwise agreed).	Non mandatory actions (Audit Guidelines 11.9) Arrange for customers to provide load and calibrate the remaining meters and check clock rates.	Calibration has been completed and meters that were not to requirements were replaced.	None. Action complete.

No. ¹	Condition	Corrective Action	Action since last audit	Further recommendation
308 [338 of 2011]	A network operator must ensure that, except for a Type 7 metering installation, the metering point for a revenue metering installation is located as close as practicable to the connection point in accordance with good electricity industry practice.	Opportunity for improvement: Consider moving the meter installation closer to the connection point if a suitable opportunity arises.(Non mandatory recommendation Audit Guidelines 11.9)	There has been no opportunity to make the change.	Opportunity for improvement: Consider moving the meter installation closer to the connection point (5 meter points – Victor, Otter, Coronet, Argo and Agnew feeders) if a suitable opportunity arises.(Non mandatory recommendation Audit Guidelines 11.9)
313 [343 of 2011]	Each metering installation must meet at least the requirements for that type of metering installation specified in Table 3 in Appendix 1 of the Code.	The remaining meters should be calibrated at a time when the customers can arrange load (where possible) and clock rates checked. (Non mandatory recommendation – Audit guidelines 11.9)	Calibration has been completed and meters that were not to requirements were replaced.	None Action Completed
316 [346 of 2011]	A network operator must ensure that any programmable settings within any of its metering installations, data loggers or peripheral devices, that may affect the resolution of displayed or stored data, meet the relevant requirements specified in the applicable metrology procedure and comply with any applicable specifications or guidelines specified by the National Measurement Institute under the National Measurement Act.	A general metrology procedure should be developed before any new customers are supplied. (Non mandatory recommendation Audit Guidelines 11.9)	There have been no new customers to require action.	Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.

No. ¹	Condition	Corrective Action	Action since last audit	Further recommendation
320 [350 of 2011]	A network operator must ensure that each metering installation complies with, at least, the prescribed design requirements.	Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to improve technical content of drawings or cross reference other drawings.	Drawings underway but not yet completed. The major update has been completed but consistent with good engineering practice there is an ongoing process of modifying drawings as changes to installations occur or discrepancies noted.	Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be “As built”
321 [351 of 2011]	A network operator must ensure that instrument transformers in its metering installations comply with the relevant requirements of any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act and any requirements specified in the applicable metrology procedure.	Non mandatory action (Audit Guidelines 11.9) is to improve technical content of drawings.	Drawings underway but not yet completed. The major update has been completed but consistent with good engineering practice there is an ongoing process of modifying drawings as changes to installations occur or discrepancies noted.	Non mandatory action (Audit Guidelines 11.9) is to complete improvement of technical content of drawings. Drawings should preferably be “As built”
322 [352 of 2011]	A network operator must provide isolation facilities, to the standard of good electricity industry practice, to facilitate testing and calibration of the metering installation.	Consider upgrading the meter installation to an improved standard if a suitable opportunity arises (Non mandatory recommendation Audit Guidelines 11.9)	Installation of isolation facilities was started but was found not to be complete.	Implementation has started (viewed at Redross Substation) but not complete. Complete installation of isolation facilities such as the following feeders:- Mariners, Miitel, Widgie and Wannaway
323 [353 of 2011]	A network operator must maintain drawings and supporting information, to the standard of good electricity industry practice, detailing the metering installation for maintenance and auditing purposes.	Non mandatory recommendation (Audit Guidelines 11.9) is to improve technical content of drawings or to include a cross reference to other drawings containing the information.	Drawings underway but not yet completed. The major update has been completed but consistent with good engineering practice there is an ongoing process of modifying drawings as changes to installations occur or discrepancies noted.	Non mandatory action (Audit Guidelines 11.9) is to improve technical content of drawings. Drawings should preferably be “As built”

No. ¹	Condition	Corrective Action	Action since last audit	Further recommendation
419 [449 of 2011]	A network operator must notify each Code participant of its initial contact details and of any change to its contact details at least 3 business days before the change takes effect.	No further action required. Further opportunity is to develop compliance manual and regular quarterly scheduled reviews.	A compliance manual has been developed and quarterly reviews are scheduled but not all were consistently completed Head office relocated to new offices. Postal address was unchanged. Physical address and telephone numbers changed. Customers have been notified.	Action to develop compliance manual with quarterly reviews was completed. Recommended that reviews are carried out consistently and actions arising from these are addressed.
429 [459 of 2011]	A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer's electrical installations complies with prescribed standards.	No further action is required to complete previous audit action but a further opportunity is to schedule these surveys in SAP.	These have been requested for inclusion in 1SAP but not yet implemented.	Implement schedule of quality and reliability surveys in 1SAP.

1.4 COMPLIANCE ELEMENTS REQUIRING CORRECTIVE MEASURES

The actions requiring corrective measures are:

Item	Issue	Recommended Action
105	Not all fee payments were on time.	Further improvement to controls of payment process is required. A compliance manual has been developed but expedited payment process to ensure payment on time in future is required.
127*	A distributor must create and maintain a Priority Restoration Register.	Prepare and maintain a Priority Restoration Register.

¹ * indicates a 2013 *Electricity Compliance Manual* number

1.5 SUGGESTIONS FOR IMPROVEMENT

Suggestions for improvement:

Item	Issue	Recommended Action
332	No Global Metrology Procedure	Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.
334	No Global Metrology Procedure	Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.
337	Clock rates to be checked.	Clock rates should be checked (even if clocks are not generally used for tariff purposes and SCADA is the primary clock for collection basis) .(Non mandatory recommendation Audit Guidelines 11.9)
338	Meters should be as close as possible to connection point.	Opportunity for improvement: Consider moving the meter installation closer to the connection point if a suitable opportunity arises.(Non mandatory recommendation

		Audit Guidelines 11.9
343	Clock rates to be checked.	Clock rates should be checked (even if clocks are not generally used for tariff purposes and SCADA is the primary clock for collection basis) .(Non mandatory recommendation Audit Guidelines 11.9)
346	No Global Metrology Procedure	Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.
361*	A network operator must ensure that the meters on its network are systematically sampled and tested for accuracy in accordance with AS 1284.13.	Non mandatory actions (Audit Guidelines 11.9) Test meters at light load and maximum load when meters are next tested.
350	Improvement of technical content of drawings not complete.	Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to complete improvement of technical content of drawings or cross reference other drawings.
351	Improvement of technical content of drawings not complete.	Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to complete improvement of technical content of drawings or cross reference other drawings.
352	Improve isolation facilities on meters.	Complete installation of isolation facilities.
353	Improvement of technical content of drawings not complete.	Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to complete improvement of technical content of drawings or cross reference other drawings.
459	Schedule Quality of Supply surveys in SAP.	Non mandatory action is to finalize scheduling of surveys in 1SAP planning system.

¹ * indicates a 2013 Electricity Compliance Manual number

2 PERFORMANCE AUDIT

2.1 PERFORMANCE AUDIT OBJECTIVES

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

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

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

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

The audit and review are to be conducted in accordance with the prevailing ERA documents “Audit Guidelines: Electricity Gas and Water Licences (hereinafter “Guidelines”)² and the Electricity Compliance Reporting Manual (hereinafter “Manual”)³. In particular, the Manual identifies each licence condition and resolves it into a number of obligations (hereinafter “Obligations”), each of which is to be addressed individually by the audit.

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

The audit was conducted in a manner consistent with Australian Auditing Standards (AUS) 808 “Planning Performance Audits” and AUS 806 “Performance

² Economic Regulation Authority: Audit guidelines: Electricity, Gas and Water Licences Aug 2010

³ Economic Regulation Authority: Electricity Compliance Reporting Manual May 2011
Note that the Authority issue a revised reporting manual in February 2013 which intersects the 36 month audit period by just over a month and no reporting has occurred in the audit period to that manual. A further revision was issued in June 2013.

Auditing”. McGill Engineering Services Pty Ltd evaluated the adequacy and effectiveness of the controls and performance by the Licensee relative to the standards referred in the Distribution and Retail Licences through a combination of enquiries, examination of documents and detailed testing for Electricity Retail Licence ERL 2, Distribution Licence EDL 2 for the Licensee.

2.2 AUDIT PERIOD

The audit period is 31 March 2010 to 31 March 2013. The previous audit period was 31 March 2008 to 30 March 2010.

2.3 STATEMENT OF INDEPENDENCE

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

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

There are no independence threats due to:

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

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

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

2.4 SCOPE LIMITATION

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

2.4.1 EXCLUDED CONDITIONS

Small Use Customers:

The licensee has no small use customers.

Licence conditions applying to small use customers have been excluded as accordingly conditions 108-109, 111, 114-118, have been excluded from the audit.

Conditions relating to the Code of Conduct for the Supply of Electricity to Small Use Customers (129-329 & 398) have been excluded as these apply to Small Use Customers only.

Conditions relating to Obligations to Connect Regulations (72-77) only apply to small use customers and therefore have been deleted from the audit.

Conditions relating to Customer Contracts Regulations (78-100) only apply to small use customers and therefore have been deleted from the audit.

Conditions (464 and 478-479, 480-482) in Network Quality and Reliability Code are only applicable to Small Use Customers and have therefore been deleted. Notwithstanding the above the number of complaints and interruptions will be examined in the audit.

Electricity Corporations:

Conditions relating to the Electricity Corporations are not applicable (363, 469-473). Conditions relating to covered networks are not relevant (112-113).

Last Resort Supplier:

Conditions relating to being a supplier of last resort (110) have been deleted as the licensees' area has not been designated.

Customer transfer Code:

There is only one retailer operating on the distribution network (the Licensee). The objectives of the Customer Transfer Code state

2.1 Objectives

(1) The objectives of this Code are to—

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

So the Customer Transfer Code can have no practical effect as there is no other retailer to participate in a transfer. However there is no provision in the Code for exemption, the items relevant to the Code have been included. But, as there is no capacity for a transfer many items will be not rated as there is nothing to make an assessment.

2.5 INHERENT LIMITATIONS

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

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

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

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

2.6 SCOPE OF THE AUDIT

The audit was conducted in 3 phases.

1. RISK AND MATERIALITY ASSESSMENT

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

2. SYSTEM ANALYSIS, ASSERTION SETTING AND REVIEW

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

3. FIELDWORK: TESTING AND ANALYSIS

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

During this audit the Perth office and Kambalda and Leinster licensed areas were visited.

The actions to follow up previous audits are detailed in the following table.

2.6.1 CORRECTIVE ACTIONS FROM LAST AUDIT

No. ⁴	Condition	Corrective Action	Action since last audit	Further recommendation
None	Licence - There is no item to cover amendment of licence. The Licence refers to Mt Keith but there are no distribution assets are that place. The AMP does not specifically cover Mt Keith as there are no assets.	The Licensee should advise the Authority and pay the requisite fee to amend the Licence as there are no assets.	The Licensee has chosen to not amend the Licence.	None Action Complete New Action: Seek the Authority's acknowledgement that Leinster is exempt from licensing and if so amend Licence to remove both Leinster and Mt Keith.
85 [105 of 2011]	A Licensee must pay to the Authority the prescribed licence fee within one month after the day of grant or renewal of the licence and within one month after each anniversary of that day during the term of the licence.	Further action is to be developed to improve controls of expediting and tracking payment by developing a compliance manual and regular quarterly scheduled reviews.	The 2010 Fee was late but subsequent fees were paid on time. Compliance manual was implemented but payment process was too long.	Further improvement to controls of payment process is required. A compliance manual has been developed but expedited payment process to ensure payment on time in future is required.
302 [332 of 2011]	A network operator must ensure that its meters meet the requirements specified in the applicable metrology procedure and also comply with any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act.	Non mandatory action (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared.	There have been no new customers to require action.	Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.

⁴ Numbers in [] brackets refer to 2011 Electricity Compliance Manual Item number

304 [334 of 2011]	An interval meter must at least have an interface to allow the interval energy data to be downloaded in the manner prescribed using an interface compatible with the requirements specified in the applicable metrology procedure.	Development of a general metrology procedure for inclusion in or attachment to future Power Purchase Agreements. (Non mandatory recommendation Audit Guidelines 11.9).	There have been no new customers to require action.	Non mandatory actions (Audit Guidelines 11.9) Development of a general metrology procedure for inclusion in or attachment to future Power Purchase Agreements. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.
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308 [338 of 2011]	A network operator must ensure that, except for a Type 7 metering installation, the metering point for a revenue metering installation is located as close as practicable to the connection point in accordance with good electricity industry practice.	Opportunity for improvement: Consider moving the meter installation closer to the connection point if a suitable opportunity arises.(Non mandatory recommendation Audit Guidelines 11.9)	There has been no opportunity to make the change.	Opportunity for improvement: Consider moving the meter installation closer to the connection point (5 meter points – Victor, Otter, Coronet, Argo and Agnew feeders) if a suitable opportunity arises.(Non mandatory recommendation Audit Guidelines 11.9
313 [343 of 2011]	Each metering installation must meet at least the requirements for that type of metering installation specified in Table 3 in Appendix 1 of the Code.	The remaining meters should be calibrated at a time when the customers can arrange load (where possible) and clock rates checked. (Non mandatory recommendation – Audit guidelines 11.9)	Calibration has been completed and meters that were not to requirements were replaced.	None Action Completed

<p>316 [346 of 2011]</p>	<p>A network operator must ensure that any programmable settings within any of its metering installations, data loggers or peripheral devices, that may affect the resolution of displayed or stored data, meet the relevant requirements specified in the applicable metrology procedure and comply with any applicable specifications or guidelines specified by the National Measurement Institute under the National Measurement Act.</p>	<p>A general metrology procedure should be developed before any new customers are supplied. (Non mandatory recommendation Audit Guidelines 11.9)</p>	<p>There have been no new customers to require action.</p>	<p>Non mandatory actions (Audit Guidelines 11.9) In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval.</p>
<p>320 [350 of 2011]</p>	<p>A network operator must ensure that each metering installation complies with, at least, the prescribed design requirements.</p>	<p>Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to improve technical content of drawings or cross reference other drawings.</p>	<p>Drawings underway but not yet completed. The major update has been completed but consistent with good engineering practice there is an ongoing process of modifying drawings as changes to installations occur or discrepancies noted.</p>	<p>Non mandatory action (Audit Guidelines 11.9). Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be “As built”</p>
<p>321 [351 of 2011]</p>	<p>A network operator must ensure that instrument transformers in its metering installations comply with the relevant requirements of any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act and any requirements specified in the applicable metrology procedure.</p>	<p>Non mandatory action (Audit Guidelines 11.9) is to improve technical content of drawings.</p>	<p>Drawings underway but not yet completed. The major update has been completed but consistent with good engineering practice there is an ongoing process of modifying drawings as changes to installations occur or discrepancies noted.</p>	<p>Non mandatory action (Audit Guidelines 11.9) is to complete improvement of technical content of drawings. Drawings should preferably be “As built”</p>

322 [352 of 2011]	A network operator must provide isolation facilities, to the standard of good electricity industry practice, to facilitate testing and calibration of the metering installation.	Consider upgrading the meter installation to an improved standard if a suitable opportunity arises (Non mandatory recommendation Audit Guidelines 11.9)	Installation of isolation facilities was started but was found not to be complete.	Implementation has started (viewed at Redross Substation) but not complete. Complete installation of isolation facilities, such as the following feeders:- Mariners, Miitel, Widgie and Wannaway
323 [353 of 2011]	A network operator must maintain drawings and supporting information, to the standard of good electricity industry practice, detailing the metering installation for maintenance and auditing purposes.	Non mandatory recommendation (Audit Guidelines 11.9) is to improve technical content of drawings or to include a cross reference to other drawings containing the information.	Drawings underway but not yet completed. The major update has been completed but consistent with good engineering practice there is an ongoing process of modifying drawings as changes to installations occur or discrepancies noted.	Non mandatory action (Audit Guidelines 11.9) is to improve technical content of drawings. Drawings should preferably be “As built”
419 [449 of 2011]	A network operator must notify each Code participant of its initial contact details and of any change to its contact details at least 3 business days before the change takes effect.	No further action required. Further opportunity is to develop compliance manual and regular quarterly scheduled reviews.	A compliance manual has been developed and quarterly reviews are scheduled but not all were consistently completed Head office relocated to new offices. Postal address was unchanged. Physical address and telephone numbers changed. Customers have been notified.	Action to develop compliance manual with quarterly reviews was completed. Recommended that reviews are carried out consistently and actions arising from these are addressed.
429 [459 of 2011]	A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer’s electrical installations complies with prescribed standards.	No further action is required to complete previous audit action but a further opportunity is to schedule these surveys in SAP.	These have been requested for inclusion in 1SAP but not yet implemented.	Implement schedule of quality and reliability surveys in 1SAP.

2.7 AUDIT ROLES

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

The key contacts were:

- Licensee
 - Bill Head Asset Manager
 - Ross Darcy Electrical Supervisor (southern system)
 - Dave Harrison Electrical Inspector (northern system)
 - Paul Pengilly Electrical inspector (northern system)
- McGill Engineering Services Pty Ltd
 - Kevan McGill

The audit was conducted during May to June 2013. Kevan McGill took about 150 hours on the audit.

2.8 AUDIT REQUIREMENTS

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

Nature of audit work conducted

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

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

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

2.9 DISTRIBUTION SYSTEM / RETAIL CUSTOMERS

The history of the system is that WMC Resources Limited (WMC) now trading as Nickel West following acquisition by BHP Billiton and registration of Change of Name, originally built, owned and maintained the generation and distribution systems required to operate its assets in Western Australia. This distribution network supplied mines the town of Leinster and owned by Nickel West.

Nickel West has since sold its generation assets and the majority of its distribution assets to TransAlta Energy Australia trading as Southern Cross Energy (SCE). Nickel West also sold some of the remote mines, complete with sections of the distribution network to third party mines. The remaining sum total length of Nickel West's distribution lines is limited to 72 kilometres.

The Nickel West distribution system is divided into what is referred to as the Northern System in the Leinster region and the Southern System in the Kambalda region. As part of the sale of the remote mines, Nickel West entered into Power Purchase Agreements to allow the mines to be viable and utilise existing gas supply, gas transport and power generation agreements to the benefit of all the parties. In some cases Nickel West entered into ore off take or tolling agreements. The above arrangements, whilst not core business for Nickel West, have required Nickel West to register as a distributor and retailer under the subsequent Electricity Industry Act 2004.

Distribution

The Northern Distribution System is an isolated system owned and operated for the most part by SCE. Nickel West operates a small portion of this distribution network in the mining town of Leinster (the northern system) with less than 300 connections through the

Leinster Supply Authority (LSA). Leinster is a closed town by invitation from Nickel West and provides residential accommodation and service facilities to their mine site at Leinster, Agnew Gold employees, support contractors and businesses.

The Southern Distribution System in the Kalgoorlie/Kambalda area is connected to the South West Interconnected System through a tie by SCE to Western Power at Boulder. The Nickel West portion of this distribution system is in the Kambalda region. It is essentially a non continuous radial system consisting of off-takes from another licensee's distribution system and connections to five mining customers. Some customers receive power at multiple metering points.

Retail

Nickel West retails electricity to the same 5 mining customers in the southern system and to 1 mining customer in the northern system where the radial distribution is carried out by another licensee. There is no retail in Leinster town site. The LSA supplies approximately 300 houses, industrial and commercial premises and electricity is supplied without charge. Nickel West purchases all its electricity from a third party.

All Nickel West customers are mining operations with bilateral Power Purchase Agreements (PPA) and there are no Small Use Customers. For the purposes of this audit, a Customer has been defined by definitions used in the Metering Code 2005 (and 2012) and the Electricity Industry Act as being a person (or entity) to whom electricity is sold for the purpose of consumption. This definition is in line with the structure of the PPAs entered into by Nickel West. Several Customers have multiple metered entry connections covered by a single PPA.

While the Licences cover Mt Keith there are no distribution assets (other than the exempted self supply) and no retail.

2.10 LICENCE

The licence covers the Mt Keith area and allows for distribution and retail in that area. The Licensee can leave the licence as it is to allow for future expansion and explain in any audit that there is nothing to audit in that area or if it considers that there is no need for an expansion provision could advise the Authority (and pay the fee to amend the licence) to remove Mt Keith from the licence.

Electricity is not sold to anyone in Leinster town site. The Leinster site consists of BHP Billiton employee residences and is therefore self supply – S.7(5)(a) of the Act. There are some commercial occupants whose occupancy is by invitation of BHP Billiton and at the control and management of BHP Billiton. There are some non BHP Billiton residences similarly under the control and management of BHP Billiton. The exemption order says:

4 (3) A person (the “supplier”) is exempt from the Electricity Industry Act 2004 section 7(3) if the distribution system concerned is used or to be used solely for the transportation of electricity for consumption on commercial premises under the control or management of the supplier.

And

5(2) A person (the “supplier”) is exempt from the Electricity Industry Act 2004 section 7(3) if the distribution system concerned is used or to be used solely for the transportation of

electricity for consumption on residential premises under the control or management of the supplier.

Accordingly the Leinster town site meets the requirements for exemption from licensing. Further the Leinster site is covered by a Development Act. An exemption from licensing has been obtained for the like area of Newman. The Licensee may wish to examine if it wishes to explore exemption from licensing for the northern system.

2.11 OVERALL CONCLUSION

In my opinion, the Licensee has maintained a good level of compliance with the licences conditions while there was a non compliance.

In my opinion, the Licensee maintained, in all material aspects, control procedures in relation to the Retail (ERL 2) and Distribution (EDL 2) licences for the audit period based on the relevant clauses referred to within the scope section of this report.

2.12 FINDINGS

The conclusions of each of the elements of the licence are summarised in the following table. The audit risk as determined for each licence condition is also shown. The details of the audit can be seen in detailed findings Page 41

Item	Licence Clause/Condition reference (Cl.=clause, Sch.=schedule)	Obligations under condition	Consequences (1=Minor, 2=Moderate, 3=Major) Likelihood (A=likely, B=Probable, C=Unlikely)	Inherent Risk	Adequacy of Existing Controls (S=Strong, M=Moderate, W=Weak)	Licence Type (D=Distribution R=Retail)	Type	Audit priority	Rating								
Licence Conditions - Electricity Industry (Licence Conditions) Regulation									Rating								
Obligations - Electricity Industry Customer Transfer Code Clause									1	2	3	4	5	NA	NR		
1.	r ⁵ . 5(2)	2.2(1)(a) ⁶	1	C	Low	M	D	NR	5								<input checked="" type="checkbox"/>
2.	5(2)	2.2(1)(b)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
3.	5(2)	3.1(1)(a)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
4.	5(2)	3.1(1)(b)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
5.	5(2)	3.1(2)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
6.	5(2)	3.2(2)	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
7.	5(2)	3.4(1)	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
8.	5(2)	3.5(3)	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>

⁵ r = Regulation

⁶ Code Clause number

Licence Conditions - Electricity Industry (Licence Conditions) Regulation										Rating						
Obligations - Electricity Industry Customer Transfer Code Clause										1	2	3	4	5	NA	NR
57.	5(2)	7.1(3)	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
58.	5(2)	7.2(4)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
59.	5(2)	7.3(2)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
60.	5(2)	Annex 1	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
61.	5(2)	Annex 2	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
62.	5(2)	Annex 3	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
63.	5(2)	Annex 4 clause A4.1	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
64.	5(2)	Annex 4 clause A4.2	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
65.	5(2)	Annex 5 clause A5(5)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
66.	5(2)	Annex 5 clause A5(6)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
67.	5(2)	Annex 5 clause A5(7)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
68.	5(2)	Annex 6 clause A6.2(a)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
69.	5(2)	Annex 6 clause A6.2(b)	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
70.	5(2)	Annex 6 clause A6.6	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
71	5(2)	Annex 6 clause A6.7	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>

Licence Conditions – Licence Clause – Distribution/ Retail										Rating						
Obligations- Electricity Industry Act Section										1	2	3	4	5	NA	NR
101.	14.1	s ⁷ 13(1)	1	C	Low	M	D R	NR	5					<input checked="" type="checkbox"/>		
102.	20.1	s14(1)(a)	1	C	Low	M	D	NR	5					<input checked="" type="checkbox"/>		
103.	20.2 & 20.3	s14(1)(b)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
104.	20.4	s14(1)(c)	1	C	Low	M	D	NR	5					<input checked="" type="checkbox"/>		
105.	4.1	s17(1)	3	B	High	W	D R	2	1		<input checked="" type="checkbox"/>					
106	5.1	s31(3)	1	C	Low	M	D R	NR	5					<input checked="" type="checkbox"/>		
107.	5.1	s41(6)	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>

Licence Conditions – Electricity Industry Act Section										Rating						
Obligations- Licence Clause – Distribution / Retail										1	2	3	4	5	NA	NR
119.	s11	12.1/12.1	2	C	Medium	M	D R	2	4					<input checked="" type="checkbox"/>		
120.	s11	13.4/13.4	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
121.	s11	14.2/14.2	2	C	Medium	M	D R	2	4					<input checked="" type="checkbox"/>		
122.	s11	20.5/20.5	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		

⁷ s = Section of Act

Licence Conditions – Electricity Industry Act Section										Rating						
Obligations- Licence Clause – Distribution / Retail										1	2	3	4	5	NA	NR
123.	s11	15.1/15/1	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
124.	s11	16.1/16.1	2	C	Medium	M	D R	2	4					<input checked="" type="checkbox"/>		
125.	s11	17.1&17.2 17.1&17.2	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
126.	s11	18.1/18.1	2	C	Medium	M	D R	2	4					<input checked="" type="checkbox"/>		
127 ^{*8}	s11	29.1	3	B	Medium	M	D	1	2		<input checked="" type="checkbox"/>					
128*	s11	29.1	3	B	Medium	M	D	1	2							<input checked="" type="checkbox"/>

Licence Conditions – Licence clause										Rating						
Obligations- Electricity Industry Metering Code Clause										1	2	3	4	5	NA	NR
330.	5.1.	2.2(1)(a)	1	C	Low	M	D	NR	5							<input checked="" type="checkbox"/>
331.	5.1	2.2(1)(b)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
332.	5.1	3.1	3	B	High	W	D	2	1			<input checked="" type="checkbox"/>				
333.	5.1	3.2(1)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
334.	5.1	3.3(1)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
335.	5.1	3.3(3)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
344*	5.1	3.3A(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
345*	5.1	3.3B	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
346*	5.1	3.3C	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
336.	5.1	3.5(1) & 3.5(2)	2	C	Medium	M	D	2	4				<input checked="" type="checkbox"/>			
337.	5.1	3.5(3)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
338.	5.1	3.5(4)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
339.	5.1	3.5(6)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
340.	5.1	3.5(9)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
341.	5.1	3.7	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
342.	5.1	3.8	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
343.	5.1	3.9(3)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
344.	5.1	3.9(7)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
345.	5.1	3.9(9)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
346.	5.1	3.10	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
347.	5.1	3.11(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
348.	5.1	3.11(2)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
349.	5.1	3.11(3)	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
361*	5.1	3.11A(1)	2	C	Medium	M	D R	2	4			<input checked="" type="checkbox"/>				
362*	5.1	3.11A(2)	2	C	Medium	M	D R	2	4					<input checked="" type="checkbox"/>		
350.	5.1	3.12(1)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
351.	5.1	3.12(2)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
352.	5.1	3.12(3)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
353.	5.1	3.12(4)	3	B	High	W	D	2	1				<input checked="" type="checkbox"/>			
354.	5.1	3.13(1)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
355.	5.1	3.13(c)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
356.	5.1	3.13(4)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
357.	5.1	3.14(3)	3	B	High	W	D	2	1							<input checked="" type="checkbox"/>
358.	5.1	3.16(1)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
359.	5.1	3.16(2)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
360.	5.1	3.16(3)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
361.	5.1	3.16(5)	2	C	Medium	M	D R	2	4						<input checked="" type="checkbox"/>	

⁸ * indicates a 2013 Electricity Compliance Manual number

Licence Conditions – Licence clause										Rating							
Obligations- Electricity Industry Metering Code Clause										1	2	3	4	5	NA	NR	
362.	5.1	3.16(6)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>	
364.	5.1	3.20(1)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
365.	5.1	3.20(3)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
366.	5.1	3.21(1)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
367.	5.1	3.21(2)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
368.	5.1	3.22	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
369.	5.1	3.23(a)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
370.	5.1	3.23(b)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
371.	5.1	3.25)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
372.	5.1	3.27	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
373.	5.1	3.29	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>	
374.	5.1	4.1(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
375.	5.1	4.2(2)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
376.	5.1	4.1(3)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
377.	5.1	4.2(1)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>	
378.	5.1	4.3(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
379.	5.1.	4.4(1)	1	C	Low	M	D R	NR	5					<input checked="" type="checkbox"/>			
380.	5.1	4.5(1)	1	C	Low	M	D R	NR	5					<input checked="" type="checkbox"/>			
381.	5.1	4.5(2)	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
382.	5.1	4.6(1)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
383.	5.1	4.6(2)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
384.	5.1	4.7	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
385.	5.1	4.8(3)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
386.	5.1	4.8(4)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
387.	5.1	4.8(5)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
388.	5.1	4.9	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
389.	5.1.	5.1(1)	1	C	Low	M	D	NR	5								<input checked="" type="checkbox"/>
390.	5.1	5.1(2)	1	C	Low	M	D	NR	5								<input checked="" type="checkbox"/>
391.	5.1	5.3	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
392.	5.1	5.4(1)	1	C	Low	M	D	NR	5								<input checked="" type="checkbox"/>
393.	5.1	5.4(2)	1	C	Low	M	R	NR	5								<input checked="" type="checkbox"/>
394.	5.1	5.5(2)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
395.	5.1	5.5(3)	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>			
396.	5.1	5.6(1)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>	
397.	5.1	5.7	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>	
399	5.1	5.9	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
400.	5.1	5.10	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
401.	5.1	5.11	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
402.	5.1	5.12(1)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
403.	5.1	5.13	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
404.	5.1	5.14(3)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
405.	5.1	5.15	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
406.	5.1	5.16	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>			
407.	5.1	5.17(1)	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>			
408.	5.1	5.18	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
409.	5.1	5.19(1)	1	C	Low	M	R	NR	5								<input checked="" type="checkbox"/>
410.	5.1	5.19(2)	1	C	Low	M	R	NR	5					<input checked="" type="checkbox"/>			
411.	5.1	5.19(3)	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
412.	5.1	5.19(4)	2	C	Medium	M	R	2	4								<input checked="" type="checkbox"/>
413.	5.1	5.19(5)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
414.	5.1	5.19(6)	1	C	Low	M	R	NR	5								<input checked="" type="checkbox"/>
415.	5.1	5.20(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			
416.	5.1	5.20(2)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>			

Licence Conditions – Licence clause										Rating						
Obligations- Electricity Industry Metering Code Clause										1	2	3	4	5	NA	NR
417.	5.1	5.20(4)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
418.	5.1	5.21(2)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
419.	5.1	5.21(4)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
420.	5.1	5.21(5)	2	C	Medium	M	R	2	4							<input checked="" type="checkbox"/>
421.	5.1	5.21(6)	2	C	Medium	M	R	2	4							<input checked="" type="checkbox"/>
422.	5.1	5.21(8)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
423.	5.1	5.21(9)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
424.	5.1	5.21(11)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
425.	5.1	5.21(12)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
426.	5.1	5.22(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
427.	5.1	5.22(2)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
428.	5.1	5.22(3)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
429.	5.1	5.22(4)	2	C	Medium	M	D	2	4				<input checked="" type="checkbox"/>			
430.	5.1	5.22(5)	2	C	Medium	M	D	2	4				<input checked="" type="checkbox"/>			
431.	5.1	5.22(6)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
432.	5.1	5.23(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
433.	5.1	5.23(3)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
434.	5.1	5.24(1)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
435.	5.1	5.24(2)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
436.	5.1	5.24(3)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
437.	5.1	5.24(4)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
438.	5.1	5.25	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
439.	5.1	5.27	2	C	Medium	M	R	2	4							<input checked="" type="checkbox"/>
440.	5.1	5.29	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
441.	5.1	5.30(1)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
442.	5.1	5.31(1)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
443.	5.1	5.31(2)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
444.	5.1	5.34(2)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>	
445.	5.1	6.1(1)	2	C	Medium	M	D	2	4					<input checked="" type="checkbox"/>		
446.	5.1	6.1(2)	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>		
447.	5.1	6.20(4)	1	C	Low	M	D	NR	5							<input checked="" type="checkbox"/>
448.	5.1	7.2(1)	1	C	Low	M	D R	NR	5					<input checked="" type="checkbox"/>		
449.	5.1	7.2(2)	3	B	High	W	D	2	1					<input checked="" type="checkbox"/>		
450.	5.1	7.2(4)	2	C	Medium	M	R	2	4							<input checked="" type="checkbox"/>
451.	5.1	7.2(5)	2	C	Medium	M	R	2	4							<input checked="" type="checkbox"/>
452.	5.1	7.5	2	C	Medium	M	R	2	4					<input checked="" type="checkbox"/>		
453.	5.1	7.6(1)	2	C	Medium	M	R	2	4							<input checked="" type="checkbox"/>
454.	5.1	8.1(1)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
455.	5.1	8.1(2)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
456.	5.1	8.1(3)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>
457.	5.1	8.1(4)	2	C	Medium	M	D R	2	4							<input checked="" type="checkbox"/>
458.	5.1	8.3(2)	1	C	Low	M	D R	NR	5							<input checked="" type="checkbox"/>

Licence Conditions – Licence clause										Rating						
Obligations- Electricity Industry (Network Quality and Reliability) Code Clause										1	2	3	4	5	NA	NR
459.	5.1.	5.1	3	B	High	W	D	NR	1					<input checked="" type="checkbox"/>		
460.	5.1	8	1	C	Low	M	D	NR	5							<input checked="" type="checkbox"/>
461.	5.1	9	1	C	Low	M	D	NR	5					<input checked="" type="checkbox"/>		
462.	5.1	10(1)	1	C	Low	M	D	NR	5					<input checked="" type="checkbox"/>		
463.	5.1.	10(2)	1	C	Low	M	D	NR	5					<input checked="" type="checkbox"/>		
465.	5.1	13(2)	1	C	Low	M	D	NR	5				<input checked="" type="checkbox"/>			
466.	5.1	13(3)	2	C	Medium	M	D	2	4				<input checked="" type="checkbox"/>			
467.	5.1.	14(8)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>
468.	5.1	15(2)	2	C	Medium	M	D	2	4							<input checked="" type="checkbox"/>

474.	5.1	23(1)	1	C	Low	M	D	NR	5					<input checked="" type="checkbox"/>			
475.	5.1	23(2)	2	C	Medium	M	D	2	4						<input checked="" type="checkbox"/>		
476.	5.1	24(3)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>
477.	5.1.	24(4)	2	C	Medium	M	D	2	4								<input checked="" type="checkbox"/>

2.13 ESTABLISHING THE CONTEXT

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

2.13.1 AUDIT RESULTS AND RECOMMENDATIONS

Summary of significant results

2.13.1.1 COMPLIANCE ELEMENTS REQUIRING CORRECTIVE MEASURES

Item 105 Distribution Licence condition 4.1, Retail Licence condition 4.1	Compliance rating Not Compliant 2
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Act section 17(1)</i> A Licensee must pay to the Authority the prescribed licence fee within one month after the day of grant or renewal of the licence and within one month after each anniversary of that day during the term of the licence.	
Observations	
The 2010 Fee which was due in April 2010 was late but subsequent fees were paid on time. Actions from the last audit could not correct this as the time had passed and the default already occurred. Compliance manual was implemented but payment process was too long.	
Issues	
The Licensee needs a procedure to ensure payment within the required time.	
Recommendations	
Further improvement to controls of payment process is required. A compliance manual has been developed but expedited payment process to ensure payment on time in future is required.	

Item 127* Electricity Industry Act section 11	Compliance rating Not Compliant 2
Licence: <i>Distribution</i>	
<i>Distribution Licence condition 29.1</i> A distributor must create and maintain a Priority Restoration Register.	
Observations	
The priority of restorations after an unplanned outage is set out in the Power Purchase Agreements but this requirement introduced in January 2013 has not been consolidated into a register of restorations.	
Issues	
Consolidate restoration priorities into a register.	
Recommendations	
Prepare and maintain a Priority Restoration Register.	

¹ * indicates a 2013 *Electricity Compliance Manual* number

2.13.1.2 SUGGESTIONS FOR IMPROVEMENT

Item 332 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	

<p><i>Electricity Industry Metering Code clause 3.1</i> A network operator must ensure that its meters meet the requirements specified in the applicable metrology procedure and also comply with any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act.</p>
<p>Observations</p>
<p>The meter installations predate the licence and therefore will be grandfathered as compliant (refer Meter Code 3.14(1)). The meters have been tested and are within the Meter Code accuracy levels. There is no metrology procedure for the organisation but the individual Power Purchase Agreements (PPA) cover meter installations and accuracy which is what a metrology procedure covers thus becoming the <i>applicable metrology procedures</i>. The meters cannot meet the requirements of the National Measurement Institute as the specifications apply to measurement class CTs and protection class CTs are allowed under the Code (3.14(4)). In any case metering is often at the substation and the customer is paying for line losses which are much more significant than any excesses of metering accuracy requirements.</p>
<p>Issues</p>
<p>A general metrology procedure does not exist and should be in place before a new customer is supplied.</p>
<p>Recommendations</p>
<p>In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval. (Non mandatory recommendation Audit Guidelines 11.9)</p>

<p>Item 334 Licence condition 5.1</p>	<p>Compliance rating Compliant 5</p>
<p>Licence: <i>Distribution</i></p>	
<p><i>Electricity Industry Metering Code clause 3.3(1)</i> An interval meter must at least have an interface to allow the interval energy data to be downloaded in the manner prescribed using an interface compatible with the requirements specified in the applicable metrology procedure.</p>	
<p>Observations</p>	
<p>The meters have interfaces to download data and data is being downloaded. There is no general metrology procedure, but metrology is defined in the power purchase agreements becoming the <i>applicable metrology procedure</i>. There are no interval meters in the Leinster town site. While there are some old meters, none are read for raising charges for electricity.</p>	
<p>Issues</p>	
<p>There is no general metrology procedure apart from the requirements embedded in Power Purchase Agreements.</p>	
<p>Recommendations</p>	
<p>In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval. (Non mandatory recommendation Audit Guidelines 11.9).</p>	

<p>Item 337 Licence condition 5.1</p>	<p>Compliance rating Compliant 4</p>
<p>Licence: <i>Distribution</i></p>	
<p><i>Electricity Industry Metering Code clause 3.5(3)</i> A network operator must, for each metering installation on its network, on and from the time of its connection to the network, provide, install, operate and maintain the metering installation in the manner prescribed (unless otherwise agreed).</p>	
<p>Observations</p>	
<p>There were no new meters installed in the audit period. Operating and maintaining the metering</p>	

installation was in accordance with the otherwise agreed requirements (the PPAs). The metering installations are as agreed with customers.
Issues
Calibration completed but long term clock rates not checked. Internal clocks are not generally used but SCADA is the primary clock.
Recommendations
Action Completed for calibration but long term clock rates should be checked (even if clocks are not generally used for tariff purposes and SCADA is the primary clock for collection basis) .(Non mandatory recommendation Audit Guidelines 11.9)

Item 338 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.5(4)</i> A network operator must ensure that, except for a Type 7 metering installation, the metering point for a revenue metering installation is located as close as practicable to the connection point in accordance with good electricity industry practice.	
Observations	
The metering is generally at the point of connection. A few exceptions exist as a result of the topology of the network and customer locations after the sale of assets to junior miners. The customers have agreed to these arrangements and the installations are grandfathered. All customers are metered.	
Issues	
The requirement is that every connection (other than un-metered supplies) is metered as close as practicable to the connection point but this is not the case for some meters due to network topology. Meter Code 3.14(1) does not require installations that predate the Code to be updated.	
Recommendations	
Opportunity for improvement: Consider moving the meter installation closer to the connection point (5 meter points – Victor, Otter, Coronet, Argo and Agnew feeders) if a suitable opportunity arises.(Non mandatory recommendation Audit Guidelines 11.9)	

Item 343 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.9(3)</i> Each metering installation must meet at least the requirements for that type of metering installation specified in Table 3 in Appendix 1 of the Code.	
Observations	
The installations predate the Meter Code and therefore are grandfathered and do not require updating to meet the requirements of the Code. Refer to 3.14(1) of the Meter Code. The customers have accepted the accuracy in their contract (applicable metrology procedures). Meters have been calibrated but clock rates have not been verified.	
Issues	
Calibration completed but long term clock rates not checked. Internal clocks are not generally used but SCADA is the primary clock.	
Recommendations	
Action Completed for calibration but long term clock rates should be checked (even if clocks are not generally used for tariff purposes and SCADA is the primary clock for collection basis) (Non mandatory recommendation – Audit guidelines 11.9)	

Item 346 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.10</i> A network operator must ensure that any programmable settings within any of its metering installations, data loggers or peripheral devices, that may affect the resolution of displayed or stored data, meet the relevant requirements specified in the applicable metrology procedure and comply with any applicable specifications or guidelines specified by the National Measurement Institute under the National Measurement Act.	
Observations	
The metering installations predate the Meter Code and are grandfathered, refer Meter Code 3.14(1). The PPAs are the <i>applicable metrology procedure</i> . There is no general metrology procedure only the requirements of the power purchase agreements which are satisfied. A general metrology procedure should be developed before any new customers are supplied. The meters cannot meet the requirements of the National Measurement Institute as the specifications apply to measurement class CTs and protection class CTs are allowed under the Code.	
Issues	
No general metrology procedure.	
Recommendations	
A general metrology procedure should be developed before any new customers are supplied. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval. (Non mandatory recommendation Audit Guidelines 11.9)	

Item 361* Licence condition 5.1	Compliance rating Compliant 3
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 3.11A(1)</i> A network operator must ensure that the meters on its network are systematically sampled and tested for accuracy in accordance with AS 1284.13.	
Observations	
The Power Purchase Agreements have the testing frequency that is more onerous than the AS 1284 requirements. There are only 21 meters in 4 populations ranging in size from 12 to 2 and therefore sampling is not an issue. The testing is at least every 2 years and the AS gives a more relaxed time of 5 years for these meters and only 2 years if meters do not meet requirements. The meters have better full load test results that AS 1284 so all pass the code. There are no Faraday disc meters to test for anti creep and no moving drums and pointers to test registers.	
Issues	
Test at light load and maximum load.	
Recommendations	
Test meters at light load and maximum load when meters are next tested.	

¹ * indicates a 2013 *Electricity Compliance Manual* number

Item 350 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(1)</i> A network operator must ensure that each metering installation complies with, at least, the prescribed design requirements.	
Observations	
The requirements of 3.12(1) cannot be met as it requires measurement class CTs to be used exclusively for measurement but protection class CTs are permitted by 3.14(4). The metering installations meet the requirements of the applicable metrology procedures (in the PPAs).	

Issues
Drawings underway but not yet completed.
Recommendations
Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be “As built” (Non mandatory recommendation –Audit Guidelines 11.9)

Item 351 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(2)</i> A network operator must ensure that instrument transformers in its metering installations comply with the relevant requirements of any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act and any requirements specified in the applicable metrology procedure.	
Observations	
In some cases protection CTs are used but the accuracy requirements (Table 3 Appendix 1) are met. The use of protection CTs is permitted by 3.14(4) and therefore standards of metering transformers (specified by the National Measurement Institute under the National Measurement Act) are not applicable. The requirements specified in the <i>applicable metrology procedure</i> are those in the PPAs. The metering installations are grandfathered and meet the requirements agreed with the customers.	
Issues	
Drawings underway but not yet completed.	
Recommendations	
Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be “As built” (Non mandatory recommendation –Audit Guidelines 11.9)	

Item 352 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(3)</i> A network operator must provide isolation facilities, to the standard of good electricity industry practice, to facilitate testing and calibration of the metering installation.	
Observations	
The metering installations predate the Code and are therefore grandfathered and do not require upgrading. Metering installations are being provided with isolation facilities where possible.	
Issues	
Implementation of isolation facilities has started (viewed at Redross Substation) but not complete.	
Recommendations	
Complete installation of isolation facilities. This is applicable, but not limited, to the following feeders:- Mariners, Miitel, Widgie and Wannaway	

Item 353 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(4)</i> A network operator must maintain drawings and supporting information, to the standard of good electricity industry practice, detailing the metering installation for maintenance and auditing	

purposes.
Observations
A sample of meter documents has been sighted. Some of the drawings do not show all the required detail, which then exists on other technical drawing. The technical content of drawings could be improved or provide the cross reference to other technical drawings as is good engineering practice.
Issues
Drawings underway but not yet completed.
Recommendations
Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be "As built". (Non mandatory recommendation Audit Guidelines 11.9)

Item 459 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 5(1)</i> A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer's electrical installations complies with prescribed standards.	
Observations	
The sample quality surveys sighted show compliance with the requirements of regulation 6 and 7. However, standards were agreed with customers in power purchase agreements and these specify the relevant standards of the day (AS2279). The old Australian standard uses a different method for voltage flicker and less detail for harmonics. Direct comparison was not possible. The old Australian standard has a more demanding total harmonic level than the Code.	
Issues	
Surveys have been requested for inclusion in 1SAP but not yet implemented.	
Recommendations	
Non mandatory action is to implement scheduling of surveys in 1SAP planning system.	

2.13.2 POST AUDIT IMPLEMENTATION PLAN

The Licensee will be providing a separate post audit plan.

The Licensee may also consider revisions to the license. The Asset Manager should be responsible to do this by June 2014.

2.14 DETAILED FINDINGS

2.14.1 AUDIT WORK UNDERTAKEN

Interviews and enquiries were conducted to:

- Understand the control environment by determining the responsibility matrix and key control points
- Obtain the policies and procedures for managing licences and licensed areas; and

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

2.15 AUDIT EVIDENCE

The following was considered in the audit.

- Distribution Licence
- Retail Licence
- Past audit/review
- Contact details
- Reticulation plans
- Meter testing policy letters
- Outage log & loss of supply registration form
- Meter calibration report
- Change of address letters
- Meter database
- Asset management plan
- Risk management policy
- Decommissioning plans
- Preventative maintenance procedure
- Maintenance management manual
- Health, Safety and Environment management manual
- Project management manual
- BHP Billiton Code of Business Conduct
- Power quality analysis sample report
- Power procurement agreement sample
- License fee invoice / Journal entries
- Meter drawings/documents
- Sample maintenance schedule
- High Voltage Isolation manual
- Fatal risk control standard
- Switching manual
- Calendar of payments and request for invoice
- BHP Billiton financial reports

2.16 DETAILED AUDIT FINDINGS

The following sets out the audit findings

2.16.1 ELECTRICITY INDUSTRY CUSTOMER TRANSFER CODE – LICENCE CONDITIONS AND OBLIGATIONS

Item 1	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 2.2(1)(a) A network operator must treat all retailers which are its associates on an arms-length basis.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The Licensee is the only retailer on the network. It is not possible to operate at arms-length as the retailer and the distributor are the same person. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 2	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 2.2(1)(b) A network operator must ensure that no retailer which is its associate receives a benefit in respect of the Electricity Industry Customer Transfer Code unless the benefit is either attributable to the arms-length application of the Electricity Industry Customer Transfer Code or the benefit is made available to all other retailers.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There is no other retailer that could be prejudiced against by the distributors associate. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 3	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 3.1(1)(a) A network operator must publish a request for standing data form which must comply with Annex 1 of the Electricity Industry Customer Transfer Code.	

Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such forms have no practical purpose.									
Issues									
None									
Recommendations									
None									

Item 4								Compliance rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.1(1)(b) A network operator must publish a request for standing data form which must comply with Annex 1 of the Electricity Industry Customer Transfer Code.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such forms have no practical purpose.									
Issues									
None									
Recommendations									
None									

Item 5								Compliance rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.1(2) A network operator must publish a request for standing data form which must comply with Annex 1 of the Electricity Industry Customer Transfer Code.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such forms have no practical purpose.									
Issues									
None									
Recommendations									
None									

Item 6								Compliance rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.2(2) A retailer must submit a separate data request for each exit point unless otherwise agreed.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						

Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 7 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Retail									
Electricity Industry Customer Transfer Code 3.4(1) A retailer, unless otherwise agreed, must submit a data request electronically and must not submit more than a prescribed number of standing or historical data requests in a business day.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 8 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Retail									
Electricity Industry Customer Transfer Code 3.5(3) 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.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 9 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Retail									
Electricity Industry Customer Transfer Code 3.6(2) 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.									

Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 10 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.7(1) A network operator must, subject to clause 3.7(3) of the Electricity Industry Customer Transfer Code, electronically notify a retailer if its data request is not valid.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 11 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.7(2) A network operator must comply with clause 3.7(1) of the Electricity Industry Customer Transfer Code within defined timeframes depending on the number of standing or historical data requests that the retailer submits.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 12 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Distribution									

Electricity Industry Customer Transfer Code 3.8(1) A network operator must use all reasonable endeavours to provide to the retailer the requested data under a valid data request.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 13 Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Compliance rating Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.8(2)(a) A network operator must provide the requested data under a valid data request electronically in a format in accordance with the communication rules if they have been approved or otherwise in accordance with the metering code.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 14 Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Compliance rating Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 3.8(2)(b) A network operator must provide the requested data under a valid data request in accordance with a specified timetable.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 15	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 3.8(3) A network operator must electronically notify the retailer of the most likely exit points to which a data request relates, up to a maximum of 10, if a retailer submits a data request under clause 3.4 and the network operator has not allocated a UMI for the exit point and it is unable to determine a single exit point to which the data request relates.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 16	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 3.9(1) A retailer may only use data relating to a contestable customer to provide a 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 the contestable customer.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
As a customer transfer is not possible such requests have no practical purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 17	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 3.9(2) A retailer must not aggregate a contestable customer's historical consumption data with that of other contestable customers for the purposes of internal business development, if requested not to do so by the customer.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
As a customer transfer is not possible such consumption data for the purpose of customer transfer cannot exist. A contestable customer is defined in terms of customer transfer or data for customer transfer and therefore has no meaning where transfer cannot occur. The item is not rated.	

Issues
None
Recommendations
None

Item 18	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 3.9(3) 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The data is for customer transfer and therefore has no purpose where transfer cannot occur. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 19	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 3.9(4) A retailer must keep a copy of the verifiable consent received from a contestable customer for two years.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Verifiable consent is defined in terms of customer transfer or data for customer transfer and therefore has no meaning where transfer cannot occur. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 20	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 3.10(1) A network operator must not charge for the provision of standing data.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The data is for customer transfer and therefore has no	

purpose where transfer cannot occur. The item is not rated.
Issues
None
Recommendations
None

Item 21 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 3.10(2) A network operator must not charge more for historical consumption data than the defined amounts.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The data is for customer transfer and therefore has no purpose where transfer cannot occur. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 22 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 4.1 A network operator must publish a customer transfer request form which must comply with Annex 3 of the Electricity Industry Customer Transfer Code.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
As a customer transfer is not possible such forms have no practical purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 23 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 4.2(2) A retailer must submit a separate customer transfer request for each exit point unless otherwise agreed.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>

Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 24 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Retail									
Electricity Industry Customer Transfer Code 4.3 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.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 25 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Retail									
Electricity Industry Customer Transfer Code 4.4(1) 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.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 26 Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Compliance rating Not Rated	
Licence: Retail									
Electricity Industry Customer Transfer Code 4.4(2) 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.									

Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 27							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Retail									
Electricity Industry Customer Transfer Code 4.5(1) 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.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 28							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Retail									
Electricity Industry Customer Transfer Code 4.6(3) A retailer must withdraw a customer transfer request if the contestable customer's verifiable consent ceases to apply before the transfer occurs.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 29							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Retail									
Electricity Industry Customer Transfer Code 4.7 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.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 30							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Retail									
Electricity Industry Customer Transfer Code 4.8(2) 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.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 31							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 4.9(1) A network operator must object to a customer transfer request in certain circumstances as set out in clause 4.9(1) of the Electricity Industry Customer Transfer Code.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 32							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 4.9(2) A network operator must not object to a customer transfer request otherwise than in accordance									

with clause 4.9(1) of the Electricity Industry Customer Transfer Code.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 33							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 4.9(3) A network operator that objects to a customer transfer request must give an electronic notice detailing specified information to a retailer within the timeframe prescribed.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 34							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution, Retail									
Electricity Industry Customer Transfer Code 4.9(6) A network operator and retailer must agree to a revised nominated transfer date in certain circumstances.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 35							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 4.10(1) A network operator must take certain action in accordance with a defined timetable following the									

receipt of a valid customer transfer request, subject to clauses 4.10(2) and 4.10(3) of the Electricity Industry Customer Transfer Code and using all reasonable endeavours to affect the transfer.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 36							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 4.10(2) A network operator must take certain action if it considers that it is unlikely to be able to meet its obligations under clause 4.10(1) of the Electricity Industry Customer Transfer Code within the defined timetable.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 37							Compliance rating		
Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Not Rated		
Licence: Distribution									
Electricity Industry Customer Transfer Code 4.10(3) In certain circumstances a network operator must electronically notify the retailer of the most likely exit points to which a customer transfer request relates, up to a maximum of 10, if the network operator has not allocated the exit point a UMI and it is unable to determine a single exit point to which the customer transfer request relates, within the specified timeframe.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 38	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 4.11(1) A transfer may only occur on a day the contestable customer's meter is actually read.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 39	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 4.11(3) A network operator and the retailer must take certain action if the contestable customer's meter is not read on the nominated transfer date.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 40	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 4.12(3) The parties to an access contract must negotiate in good faith any necessary amendments to the access contract arising from certain circumstances.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 41	Compliance rating			
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated			
Licence: Distribution				
Electricity Industry Customer Transfer Code 4.13 A network operator must within two business days after the transfer date give an electronic notice of the transfer and the transfer date to the incoming retailer, the previous retailer and, if applicable, the independent market operator.				
Observations				
Documents <input type="checkbox"/>	Compliance <input type="checkbox"/>			
Evidence: interviewed Asset Manager. Documents: Not applicable				
Process <input type="checkbox"/>	Outcome <input type="checkbox"/>	Output <input type="checkbox"/>	Reporting <input type="checkbox"/>	Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.				
Issues				
None				
Recommendations				
None				

Item 42	Compliance rating			
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated			
Licence: Distribution				
Electricity Industry Customer Transfer Code 4.14 A network operator must, following a transfer, do all that is necessary to ensure that charges up to the transfer time are paid by or charged to the previous retailer and charges from the transfer time are paid by or charged to the incoming retailer.				
Observations				
Documents <input type="checkbox"/>	Compliance <input type="checkbox"/>			
Evidence: interviewed Asset Manager. Documents: Not applicable				
Process <input type="checkbox"/>	Outcome <input type="checkbox"/>	Output <input type="checkbox"/>	Reporting <input type="checkbox"/>	Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.				
Issues				
None				
Recommendations				
None				

Item 43	Compliance rating			
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated			
Licence: Distribution				
Electricity Industry Customer Transfer Code 4.15 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.				
Observations				
Documents <input type="checkbox"/>	Compliance <input type="checkbox"/>			
Evidence: interviewed Asset Manager. Documents: Not applicable				
Process <input type="checkbox"/>	Outcome <input type="checkbox"/>	Output <input type="checkbox"/>	Reporting <input type="checkbox"/>	Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.				
Issues				
None				

Recommendations
None

Item 44	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 4.16 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 45	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Retail	
Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. There cannot be previous retailer. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 46	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 5.1(1) A network operator must submit communication rules to the Authority within six months after the commencement of the Electricity Industry Customer Transfer Code.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. As there is no alternative retailer on the network there is no	

need for communication rules for communication between retailer and distributor. The retailer and distributor is the same person. The item is not rated.
Issues
None
Recommendations
None

Item 47 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code 5.1(3) A network operator must take certain action before submitting the communication rules to the Authority.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. As there is no alternative retailer on the network there is no need for communication rules for communication between retailer and distributor. The retailer and distributor is the same person. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 48 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 5.1(4) A network operator and a retailer must comply with approved communication rules.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. As there is no alternative retailer on the network there is no need for communication rules for communication between retailer and distributor. The retailer and distributor is the same person. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 6.2 A licensee's notice in relation to a data request or customer transfer request must identify the exit point to which it relates.	

Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 50								Compliance rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 6.3(1) A network operator must use its reasonable endeavours to ensure that a retailer can give it a notice by post, facsimile or electronic communication and notify the retailer of a telephone number for voice communication.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The retailer and network operator is the same person so communication between retailer and network operator is automatic. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 51								Compliance rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Not Rated	
Licence: Distribution									
Electricity Industry Customer Transfer Code 6.3(2) A network operator must notify each retailer of its initial contact details, and any amended contact details at least three business days before the change takes effect.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The retailer and network operator is the same person and so have the same address and awareness of changes. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 52								Compliance rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)								Not Rated	
Licence: Retail									

Electricity Industry Customer Transfer Code 6.4(1) A retailer must notify its contact details to a network operator within three business days of a request.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The retailer and network operator is the same person and so have the same address. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 53 Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Compliance rating Not Rated		
Licence: Retail									
Electricity Industry Customer Transfer Code 6.4(2) A retailer must notify any change in its contact details to a network operator at least three business days before the change takes effect.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The retailer and network operator is the same person and so have the same address. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 54 Electricity Industry (Licence Conditions) Regulations regulation 5(2)							Compliance rating Not Rated		
Licence: Distribution, Retail									
Electricity Industry Customer Transfer Code 6.6 A network operator or a retailer must send required electronic communications to the applicable electronic communication address, in accordance with Annex 6.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A customer transfer is not possible. Transfer requests cannot exist. The item is not rated.									
Issues									
None									
Recommendations									
None									

Item 55	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 7.1(1) 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer disputes cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 56	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 7.1(2) 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer disputes cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 57	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 7.1(3) If the dispute is resolved, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer disputes cannot exist. The item is not rated.	
Issues	
None	
Recommendations	

None

Item 58 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 7.2(4) 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer disputes cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code 7.3(2) 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer disputes cannot exist. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 60 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 1 A network operator's request for standing data must require a retailer to provide certain information.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer data has no purpose. The item is not rated.	
Issues	
None	
Recommendations	

None

Item 61 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 2 A network operator's request for historical consumption data must require a retailer to provide certain information.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer data has no purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 62 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 3 A network operator's customer transfer request form must require a retailer to provide certain information.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer data has no purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 63 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 4 clause A4.1 A network operator must provide certain information, if available, to a retailer who submits a request for standing data.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer data has no purpose. The item is not rated.	
Issues	
None	
Recommendations	

None

Item 64 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 4 clause A4.2 A network operator must provide certain metering data, if available, in a prescribed manner to a retailer who submits a request for historical consumption data.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer data has no purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 65 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 5 clause A5(5) A network operator must respond to a request from a retailer for a UMI and checksum for an exit point within one business day of receiving a retailer's request.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests have no purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 66 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 5 clause A5(6) A network operator must provide the most likely matches to the retailer, up to a maximum of 99, if a request does not return a single UMI and checksum.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests have no purpose. The item is not rated.	
Issues	
None	
Recommendations	

None

Item 67 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution	
Electricity Industry Customer Transfer Code Annex 5 clause A5(7) A network operator must, unless otherwise advised by the retailer, provide the UMI and checksum for the relevant exit point if a request returns a single UMI and checksum.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. Transfer requests have no purpose. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 68 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code Annex 6 clause A6.2(a) A network operator and a retailer must use reasonable endeavours to ensure that its information system on which electronic communications are made is operational 24 hours a day and 7 days a week.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The retailer and network operator is the same person so communication between retailer and network operator is automatic. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 69 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Compliance rating Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Annex 6 clause A6.2(b) 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The retailer and network operator is the same person so communication between retailer and network operator is automatic. The item is not rated.	

Issues
None
Recommendations
None

Item 70	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Annex 6 clause A6.6 The originator of an electronic communication must identify itself in the communication.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The retailer and network operator is the same person so communication between retailer and network operator is automatic. The item is not rated.	
Issues	
None	
Recommendations	
None	

Item 71	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Not Rated
Licence: Distribution, Retail	
Electricity Industry Customer Transfer Code Annex 6 clause A6.7 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.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
A customer transfer is not possible. The retailer and network operator is the same person so communication between retailer and network operator is automatic. The item is not rated.	
Issues	
None	
Recommendations	
None	

2.16.2 ELECTRICITY INDUSTRY ACT – LICENCE CONDITIONS AND OBLIGATIONS

Item 101	Compliance rating
Distribution Licence condition 14.1, Retail Licence condition 14.1	Compliant 5
Licence: Distribution, Retail	
<i>Electricity Industry Act section 13(1)</i>	

A Licensee must, not less than once every 24 months, provide the Authority with a performance audit conducted by an independent expert acceptable to the Authority.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: The Licensee contracted with the auditor to carry out the audit. The documents were forwarded to the Authority as part of the approval of the auditor. Licensee received approval from the Authority for audit scope and appointment of auditor.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The Licensee contracted with the auditor to carry out the audit to meet the requirements. The last audit was also conducted to requirements.									
Issues									
None									
Recommendations									
None									

Item 102								Compliance rating	
Distribution Licence condition 20.1								Compliant 5	
Licence: <i>Distribution</i>									
<i>Electricity Industry Act section 13(1)</i>									
A Licensee must provide for an asset management system.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Include, Asset Management Plan, Risk management policy, Decommissioning plans, Preventative maintenance procedure, Maintenance management manual, Health, Safety and Environment management manual, BHPBilliton Code of Business Conduct, Power quality analysis sample report, Power procurement agreement sample, Meter drawings/documents, High Voltage Isolation manual, Fatal risk control standard and Switching manual .									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The Licensee has an asset management system. A copy of the asset management plan was obtained, and maintenance systems reviewed at the sites. These included maintenance planning modules in 1SAP supported by spreadsheets. The asset management system includes time based and conditioned based maintenance. The review examined the efficacy of the asset management system.									
Issues									
None									
Recommendations									
None									

Item 103								Compliance rating	
Distribution Licence condition 20.2 & 20.3								Compliant 5	
Licence: <i>Distribution</i>									
<i>Electricity Industry Act section 13(1)</i>									
A Licensee must notify details of the asset management system and any substantial changes to it to the Authority.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Include letter to ERA about new AMP. The asset management system was examined in the audit and review.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Following a previous audit an asset management plan has been developed and was advised to the Authority. There have been no substantial changes that required notifying the Authority									

Issues
None
Recommendations
None

Item 104	Compliance rating
Distribution Licence condition 20.4	Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Act section 14(1)(c)</i> A Licensee must provide the Authority with a report by an independent expert as to the effectiveness of its asset management system every 24 months, or such longer period as determined by the Authority.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Include, Asset Management Plan, Previous asset management review. Approval and Appointment letters for current review.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The Licensee contracted McGill Engineering Services, with approval of the Authority, for the review in accordance with the requirements and the review plan documents have been forwarded to the Authority as part of approval of the auditor. The review is being carried out within the time frame approved. The last review was also conducted to requirements.	
Issues	
None	
Recommendations	
None	

Item 105	Compliance rating
Distribution Licence condition 4.1, Retail Licence condition 4.1	Not Compliant 2
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Act section 17(1)</i> A Licensee must pay to the Authority the prescribed licence fee within one month after the day of grant or renewal of the licence and within one month after each anniversary of that day during the term of the licence.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Include invoices and receipts	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The 2010 Fee which was due in April 2010 was late but subsequent fees were paid on time. Actions from the last audit could not correct this as the due date had passed and the default already occurred. Compliance manual was implemented but payment process was too long.	
Issues	
The Licensee needs a procedure to ensure payment within the required time.	
Recommendations	
Further improvement to controls of payment process is required. A compliance manual has been developed but expedited payment process to ensure payment on time in future is required.	

Item 106	Compliance rating
Distribution Licence condition 5.1, Retail Licence condition 5.1	Compliant 5
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Act section 31(3)</i>	

A Licensee must take reasonable steps to minimise the extent or duration of any interruption, suspension or restriction of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, listed site staff. Documents: Include incident log.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Interruptions are logged. In the last 4 years, the northern system had 26 interruptions and the southern system had 19 interruptions. Of these 28 were caused by loss of generation outside the control of the Licensee or by lightning or other issues outside the control of the licensee. The interruptions have been minor and response is in line with service levels expected for the number and size of customers and network. There is a requirement for mine production to keep interruptions to a minimum. Personnel are on call with access to a callout vehicle. An agreement is in place for additional support in the northern system and contractors are available in the southern area. In all cases the interruption was minimised.									
Issues									
None									
Recommendations									
None									

Item 107							Compliance rating		
Distribution Licence condition 5.1, Retail Licence condition 5.1							Not Rated		
Licence: <i>Distribution, Retail</i>									
<i>Electricity Industry Act section 41(6)</i>									
A Licensee must pay the costs of taking an interest in land or an easement over land.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager, listed site staff. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no interests/easements taken in land in the audit period to assess compliance. All assets are on mining leases and no payments are made for interests or easements in land.									
Issues									
None									
Recommendations									
None									

2.16.3 ELECTRICITY LICENCES – LICENCE CONDITIONS AND OBLIGATIONS

Item 119							Compliance rating		
Electricity Industry Act section 11							Compliant 5		
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 12.1, Retail Licence Condition 12.1</i>									
A Licensee and any related body corporate must maintain accounting records that comply with the Australian Accounting Standards Board Standards or equivalent International Accounting Standards.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: The BHP Billiton annual report declaration by the financial auditor has been sighted. It is noted that Nickel West does not publish audited									

accounts but is audited as part of BHP Billiton. The BHP Billiton financial accounts refers to compliance with the appropriate accounting standards.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The BHP Billiton annual report shows compliance with accounting standards.									
Issues									
None									
Recommendations									
None									

Item 120								Compliance rating	
Electricity Industry Act section 11								Not Rated	
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 13.4, Retail Licence Condition 13.4</i>									
A Licensee must comply with any individual performance standards prescribed by the Authority.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There are no individual performance standards applied by the Authority to assess compliance.									
Issues									
None									
Recommendations									
None									

Item 121								Compliance rating	
Electricity Industry Act section 11								Compliant 5	
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 14.2, Retail Licence Condition 14.2</i>									
A Licensee must comply, and require its auditor to comply, with the Authority's standard audit guidelines dealing with the performance audit.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: The audit plan was forwarded to the Authority, approval of the auditor obtained prior to appointment.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The Licensee has contracted with the auditor to comply with the requirements.									
Issues									
None									
Recommendations									
None									

Item 122								Compliance rating	
Electricity Industry Act section 11								Compliant 5	
Licence: <i>Distribution</i>									
<i>Distribution Licence condition 20.5</i>									
A Licensee must comply, and must require the Licensee's expert to comply, with the relevant aspects of the Authority's standard guidelines dealing with the asset management system.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						

Evidence: interviewed Asset Manager. Documents: The AMS review plan has been forwarded to the Authority as part of approval of the reviewer.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The Licensee has contracted with the reviewer to comply with the requirements.									
Issues									
None									
Recommendations									
None									

Item 123								Compliance rating	
Electricity Industry Act section 11								Not Rated	
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 15.1, Retail Licence Condition 15.1</i>									
A Licensee must report to the Authority, in the manner prescribed, if a Licensee is under external administration or there is a significant change in the circumstances upon which the licence was granted which may affect a Licensee's ability to meet its obligations.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The Licensee is not under external administration so not able to assess compliance with advice requirements.									
Issues									
None									
Recommendations									
None									

Item 124								Compliance rating	
Electricity Industry Act section 11								Compliant 5	
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 16.1, Retail Licence Condition 16.1</i>									
A Licensee must provide the Authority, in the manner prescribed, any information the Authority requires in connection with its functions under the Electricity Industry Act.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. The Asset Manager advised that there have been no requests for information from the Authority other than Performance Audit, AMS Review and Compliance Report. Documents: The reporting manual returns have been sighted.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The Licensee has met the reporting manual requirements.									
Issues									
None									
Recommendations									
None									

Item 125								Compliance rating	
Electricity Industry Act section 11								Not Rated	
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 17.2, Retail Licence Condition 17.2</i>									
A Licensee must publish any information it is directed by the Authority to publish, within the									

timeframes specified.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Not applicable.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The Authority has not directed any information to be published so unable to assess compliance with publishing requirements.									
Issues									
None									
Recommendations									
None									

Item 126 Electricity Industry Act section 11							Compliance rating Compliant 5		
Licence: <i>Distribution, Retail</i>									
<i>Distribution Licence condition 18.1, Retail Licence Condition 18.1</i>									
Unless otherwise specified, all notices must be in writing.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Sample communication with ERA sighted.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
No notices have been required by the Authority. All material communication with the Authority is in writing.									
Issues									
None									
Recommendations									
None									

Item 127* Electricity Industry Act section 11							Compliance rating Not Compliant 2		
Licence: <i>Distribution</i>									
<i>Distribution Licence condition 29.1</i>									
A distributor must create and maintain a Priority Restoration Register.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Power Purchase Agreements.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The priority of restorations after an unplanned outage is set out in the Power Purchase Agreements but this requirement introduced in January 2013 has not been consolidated into a register of restorations.									
Issues									
Consolidate restoration priorities into a register.									
Recommendations									
Prepare and maintain a Priority Restoration Register.									

¹ * indicates a 2013 Electricity Compliance Manual number

Item 128* Electricity Industry Act section 11							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Distribution Licence condition 29.3</i>									

The Priority Restoration Register must comply with any criteria determined by the Minister.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager. Documents: Sample communication with ERA sighted.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There are no requirements determined by the Minister for this distributor.									
Issues									
None									
Recommendations									
None									

¹ * indicates a 2013 Electricity Compliance Manual number

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

Item 330	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 2.2(1)(a)</i> A network operator must treat all Code participants that are its associates on an arms-length basis.	
Observations	
Documents	<input type="checkbox"/>
Compliance	<input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable.	
Process	<input type="checkbox"/>
Outcome	<input type="checkbox"/>
Output	<input type="checkbox"/>
Reporting	<input type="checkbox"/>
Compliance	<input checked="" type="checkbox"/>
The retailer and distributor is the same person and there is no alternative retailer on the network. Provided there is no alternative retailer, there is no commercial reason for the network operator to treat the retailer on an arms-length basis and the requirement is assessed as Not Rated.	
Issues	
None	
Recommendations	
None	

Item 331	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 2.2(1)(b)</i> A network operator must ensure that no Code participant that is its associate receives a benefit in respect of the Code unless the benefit is attributable to an arm's length application of the Code or is also made available to all other Code participants on the same terms and conditions.	
Observations	
Documents	<input type="checkbox"/>
Compliance	<input type="checkbox"/>
Evidence: interviewed Asset Manager. Documents: Not applicable.	
Process	<input type="checkbox"/>
Outcome	<input type="checkbox"/>
Output	<input type="checkbox"/>
Reporting	<input type="checkbox"/>
Compliance	<input type="checkbox"/>
The retailer and distributor is the same person and as there is no alternative retailer on the network to require arms length treatment, no differential treatment is possible. Accordingly the issue is not rated during the audit period.	
Issues	
None	

Recommendations
None

Item 332 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.1</i> A network operator must ensure that its meters meet the requirements specified in the applicable metrology procedure and also comply with any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The meter installations predate the licence and therefore will be grandfathered as compliant (refer Meter Code 3.14(1)). The meters have been tested and are within the Meter Code accuracy levels. There is no metrology procedure for the organisation but the individual Power Purchase Agreements (PPA) cover meter installations and accuracy which is what a metrology procedure covers thus becoming the <i>applicable metrology procedures</i> . The meters cannot meet the requirements of the National Measurement Institute as the specifications apply to measurement class CTs and where protection class CTs are allowed under the Code (3.14(4)). In any case metering is often at the substation and the customer is paying for line losses which are much more significant than any excesses of metering accuracy requirements.	
Issues	
A general metrology procedure does not exist and should be in place before a new customer is supplied,	
Recommendations	
In the event of a new customer requiring access, a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval. (Non mandatory recommendation Audit Guidelines 11.9)	

Item 333 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.2(1)</i> An accumulation meter must at least conform to the requirements specified in the applicable metrology procedure and display, or permit access to a display of, the accumulated electricity production or consumption at the metering point in the manner prescribed.	
Observations	
Documents	<input type="checkbox"/> Compliance <input type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Reviewed meter registry.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no accumulation meters (non interval meters).	
Issues	
None	
Recommendations	
None	

Item 334 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.3(1)</i> An interval meter must at least have an interface to allow the interval energy data to be downloaded in the manner prescribed using an interface compatible with the requirements specified in the applicable metrology procedure.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Reviewed meter registry.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The meters have interfaces to download data and data is being downloaded. There is no general metrology procedure, but metrology is defined in the power purchase agreements becoming the <i>applicable metrology procedure</i> . There are no interval meters in the Leinster town site. While there are some old meters, none are read for raising charges for electricity.	
Issues	
There is no general metrology procedure apart from the requirements embedded in Power Purchase Agreements.	
Recommendations	
In the event of a new customer requiring access a metrology procedure should be prepared. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval. (Non mandatory recommendation Audit Guidelines 11.9).	

Item 335 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.3(3)</i> If a metering installation is required to include a communications link, the link must (where necessary), include a modem and isolation device approved under the relevant telecommunications regulations, to allow the interval energy data to be downloaded in the manner prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: Meter drawings, calibration results, meter data bases.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The metering installations communications links are all on internal communication systems and therefore do not have to comply with the relevant telecommunications requirements.	
Issues	
None	
Recommendations	
None	

Item 344* Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.3A(1)</i> A network operator must ensure that bidirectional electricity flows do not occur at a metering point unless the metering installation for the metering point is capable of separately measuring and recording electricity flows in each direction.	

Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
There is no generation behind these meters that could cause a bidirectional electricity flow.									
Issues									
None									
Recommendations									
None									

¹ * indicates a 2013 Electricity Compliance Manual number

Item 345*	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 3.3B</i>	
A user who is aware of bi-directional flows at a metering point which was not previously subject to a bi-directional electricity flows or any changes in a customer's or user's circumstances in a metering point which will result in bi-directional electricity flows must notify the network operator within 2 business days.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: Meter drawings, calibration results, meter data bases.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There has been no change in the user configurations and no advice.	
Issues	
None	
Recommendations	
None	

¹ * indicates a 2013 Electricity Compliance Manual number

Item 346*	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.3C</i>	
An accumulation meter or an interval meter that separately measures and records bi-directional electricity flows at the metering point must record the net electricity production transferred into the network that exceeds electricity consumption and the net electricity consumption transferred out of the network that exceeds electricity production.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: Meter drawings, calibration results, meter data bases.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no bi directional meters and need for such.	
Issues	
None	
Recommendations	
None	

¹ * indicates a 2013 Electricity Compliance Manual number

Item 336 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.5(1)& (2)</i> A network operator must ensure that there is a metering installation at every connection point on its network which is not a Type 7 connection point. Unless it is a Type 7 metering installation, the metering installation must meet the functionality requirements prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: Interviewed Asset Manager, listed site staff, inspected site substations and sample installations. Documents viewed include: Metering drawings, photographs and calibration test reports.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
All connections are metered. The metering is generally at the point of connection and item 308 deals with proximity of metering to connection point.	
Issues	
The requirement is that every connection other than un-metered supplies is metered at the connection point but the proximity is covered in item 338 and this item requires metering for each connection point. The functionality requirements are satisfied.	
Recommendations	
None	

Item 337 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.5(3)</i> A network operator must, for each metering installation on its network, on and from the time of its connection to the network, provide, install, operate and maintain the metering installation in the manner prescribed (unless otherwise agreed).	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
There were no new meters installed in the audit period. Operating and maintaining the metering installation was in accordance with the otherwise agreed requirements (the PPAs). The metering installations are as agreed with customers. The remaining meters from last audit were calibrated and those not meeting requirements were replaced.	
Issues	
Calibration completed but long term clock rates not checked. Internal clocks are not generally used but SCADA is the primary clock.	
Recommendations	
Action Completed for calibration but long term clock rates should be checked (even if clocks are not generally used for tariff purposes and SCADA is the primary clock for collection basis) .(Non mandatory recommendation Audit Guidelines 11.9)	

Item 338 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.5(4)</i> A network operator must ensure that, except for a Type 7 metering installation, the metering point for a revenue metering installation is located as close as practicable to the connection point in	

accordance with good electricity industry practice.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The metering is generally at the point of connection. A few exceptions exist as a result of the topology of the network and customer locations after the sale of assets to junior miners. The customers have agreed to these arrangements. All customers are metered.									
Issues									
The requirement is that every connection (other than un-metered supplies) is metered as close as practicable to the connection point but this is not the case for some meters due to network topology. Meter Code 3.14(1) does not require installations that predate the Code to be updated.									
Recommendations									
Opportunity for improvement: Consider moving the meter installation closer to the connection point (5 meter points – Victor, Otter, Coronet, Argo and Agnew feeders) if a suitable opportunity arises.(Non mandatory recommendation Audit Guidelines 11.9)									

Item 339								Compliance rating	
Licence condition 5.1								Not Rated	
Licence: <i>Distribution, Retail</i>									
<i>Electricity Industry Metering Code clause 3.5(6)</i>									
A network operator may only impose a charge for providing, installing, operating or maintaining a metering installation in accordance with the applicable service level agreement between it and the user.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases. PPAs									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no metering installations in the audit period. There have been no charges for operating or maintaining a metering installation and this is in line with the service level agreement (PPAs) and communicated with customers.									
Issues									
None									
Recommendations									
None									

Item 340								Compliance rating	
Licence condition 5.1								Compliant 5	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.5(9)</i>									
If a network operator becomes aware that a metering installation does not comply with the Code, the network operator must advise affected parties of the noncompliance and arrange for the non-compliance to be corrected as soon as practicable.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The Licensee has added password protection as a result of a previous audit to all meters that are able to accept a password. A small number of meters do not have this capability. Meter Code									

3.14(1) does not require installations that predate the Code to be updated. All meters are therefore considered compliant with the code.
Issues
None
Recommendations
None

Item 341 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.7</i> All devices that may be connected to a telecommunications network must be compatible with the Telecommunications network and comply with all applicable State and Commonwealth enactments.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no devices connected to Telecommunications network but instead connect to internal mines communications systems.	
Issues	
None	
Recommendations	
None	

Item 342 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.8</i> A network operator must, for each metering installation on its network, ensure that the metering installation is secured by means of devices or methods which, to the standard of good electricity industry practice, hinder unauthorized access and enable unauthorized access to be detected.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The meters are on controlled access mine sites and in locked substations which require access permits for any work. This is adequate security hindering unauthorized access meeting good electricity industry practice. The meters are remotely monitored and any unauthorized changes will be detected.	
Issues	
None	
Recommendations	
None	

Item 343 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	

<i>Electricity Industry Metering Code clause 3.9(3)</i>									
Each metering installation must meet at least the requirements for that type of metering installation specified in Table 3 in Appendix 1 of the Code.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The installations predate the Meter Code and therefore are grandfathered and do not require updating to meet the requirements of the Code. Refer to 3.14(1) of the Meter Code. The customers have accepted the accuracy in their contract (applicable metrology procedures). Meters have been calibrated. Clock rates have not been verified.									
Issues									
Calibration completed but long term clock rates not checked. Internal clocks are not generally used but SCADA is the primary clock.									
Recommendations									
Action Completed for calibration but long term clock rates should be checked (even if clocks are not generally used for tariff purposes and SCADA is the primary clock for collection basis) .(Non mandatory recommendation Non mandatory recommendation – Audit guidelines 11.9)									

Item 344	Compliance rating
Licence condition 5.1	Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.9(7)</i>	
For a metering installation used to supply a customer with requirements above 1000 volts that require a VT and whose annual consumption is below 750MWh, the metering installation must meet the relevant accuracy requirements of Type 3 metering installation for active energy only.	
Observations	
Documents	<input checked="" type="checkbox"/>
Compliance	<input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs	
Process	<input checked="" type="checkbox"/>
Outcome	<input checked="" type="checkbox"/>
Output	<input checked="" type="checkbox"/>
Reporting	<input checked="" type="checkbox"/>
Compliance	<input checked="" type="checkbox"/>
The installations predate the meter Code and therefore are grandfathered and do not require updating to meet the requirements of the Code. Refer to 3.14(1) of the Meter Code. Meters meet the requirements to the extent possible as there was no load on a number of meters and load is necessary to measure current (and KW/KWh) and determine accuracy. The metering accuracy has been agreed by the customers (applicable metrology procedures).	
Issues	
None	
Recommendations	
None	

Item 345	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.9(9)</i>	
If compensation is carried out within the meter then the resultant metering system error must be as close as practicable to zero.	
Observations	
Documents	<input checked="" type="checkbox"/>
Compliance	<input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	

Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
No compensation has been carried out within the meter.									
Issues									
None									
Recommendations									
None									

Item 346	Compliance rating								
Licence condition 5.1	Compliant 4								
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.10</i>									
A network operator must ensure that any programmable settings within any of its metering installations, data loggers or peripheral devices, that may affect the resolution of displayed or stored data, meet the relevant requirements specified in the applicable metrology procedure and comply with any applicable specifications or guidelines specified by the National Measurement Institute under the National Measurement Act.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations.									
Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The metering installations predate the Meter Code and are grandfathered and do not require updating to meet the requirements of the Code, refer Meter Code 3.14(1). The PPAs are the <i>applicable metrology procedure</i> . There is no general metrology procedure only the requirements of the power purchase agreements which are satisfied. A general metrology procedure should be developed before any new customers are supplied. The meters cannot meet the requirements of the National Measurement Institute as the specifications apply to measurement class CTs and protection class CTs are allowed under the Code (3.14(4)).									
Issues									
No general metrology procedure.									
Recommendations									
A general metrology procedure should be developed before any new customers are supplied. Investigate if extracts of the PPAs will meet the requirements of a Metrology procedure and if so submit to the Authority for approval. (Non mandatory recommendation Audit Guidelines 11.9)									

Item 347	Compliance rating								
Licence condition 5.1	Compliant 5								
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.11(1)</i>									
A network operator must ensure that a metering installation on its network permits collection of data within the timeframes and to the level of availability specified.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations.									
Documents: Meter drawings, calibration results, meter data bases, PPAs.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The metering installations meet the requirements specified in the power purchase agreements which are the <i>applicable service level agreements</i> which is allowed in the Code (3.11(1)(b)).									
Issues									
None									

Recommendations
None

Item 348 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.11(2)</i> A network operator must make repairs to the metering installation in accordance with the applicable service level agreement if an outage or malfunction occurs to a metering installation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The metering repairs have been done in accordance with the requirements of the power purchase agreements (which are the <i>applicable service level agreements</i> with the customers) and are allowed in the Code (3.11(2)).	
Issues	
None	
Recommendations	
None	

Item 349 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 3.11(3)</i> A Code participant who becomes aware of an outage or malfunction of a metering installation must advise the network operator as soon as practicable.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No advice has been received from customers. A code participant is defined as someone with an access contract and the Power Purchase Agreements are access contracts. The retailer (Code participant) and the network operator are the same person.	
Issues	
None	
Recommendations	
None	

Item 361* Licence condition 5.1	Compliance rating Compliant 3
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 3.11A(1)</i> A network operator must ensure that the meters on its network are systematically sampled and tested for accuracy in accordance with AS 1284.13.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations.	

Documents: Meter drawings, calibration results, meter data bases.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The Power purchase agreements have the testing frequency that is more onerous than the AS 1284 requirements. The testing is at least every 2 years and the AS gives a more relaxed time of 5 years for these meters and only 2 years if meters do not meet requirements. The meters have better full load test results that AS 1284 so all pass the code. There are no Faraday disc meters to test for anti creep and no moving drums and pointers to test registers. There 4 populations of meters ranging in size from 12 to 2 and 21 meters in total.									
Issues									
Test at light load and maximum load.									
Recommendations									
Non mandatory recommendation Audit Guidelines 11.9. Test meters at light load and maximum load when meters are next tested.									

¹ * indicates a 2013 Electricity Compliance Manual number

Item 362* Licence condition 5.1								Compliance rating Compliant 5	
Licence: <i>Distribution, Retail</i>									
<i>Electricity Industry Metering Code clause 3.11A(2)</i> Subject to clause 3.11A(3), if a “population” of meters is deemed to have failed under AS 1284.13, the network operator must ensure that all the meters that make up the population are removed and replaced with new meters within 3 years of the testing of the population..									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No meters have failed and not been replaced.									
Issues									
None									
Recommendations									
None									

¹ * indicates a 2013 Electricity Compliance Manual number

Item 350 Licence condition 5.1								Compliance rating Compliant 4	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.12(1)</i> A network operator must ensure that each metering installation complies with, at least, the prescribed design requirements.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The requirements of 3.12(1) cannot be met as it requires measurement class CTs to be used exclusively for measurement but protection class CTs are permitted by 3.14(4). The metering installations meet the requirements of the applicable metrology procedures (in the PPAs).									
Issues									
Drawings underway but not yet completed.									
Recommendations									
Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be “As built” (Non mandatory recommendation –Audit Guidelines									

11.9)

Item 351 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(2)</i> A network operator must ensure that instrument transformers in its metering installations comply with the relevant requirements of any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act and any requirements specified in the applicable metrology procedure.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
In some cases protection CTs are used but the accuracy requirements (Table 3 Appendix 1) are met. The use of protection CTs is permitted by 3.14(4) and therefore standards of metering transformers (specified by the National Measurement Institute under the National Measurement Act) are not applicable. The requirements specified in the <i>applicable metrology procedure</i> are those in the PPAs. The metering installations are grandfathered and meet the requirements agreed with the customers.	
Issues	
Drawings underway but not yet completed.	
Recommendations	
Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be "As built". (Non mandatory recommendation –Audit Guidelines 11.9)	

Item 352 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(3)</i> A network operator must provide isolation facilities, to the standard of good electricity industry practice, to facilitate testing and calibration of the metering installation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The metering installations predate the Code and are therefore grandfathered and do not require upgrading. Metering installations have been provided with isolation facilities where possible.	
Issues	
Implementation of isolation facilities has started (viewed at Redross Substation) but not complete.	
Recommendations	
Complete installation of isolation facilities, such as the following feeders:- Mariners, Miitel, Widgie and Wannaway	

Item 353 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.12(4)</i>	

A network operator must maintain drawings and supporting information, to the standard of good electricity industry practice, detailing the metering installation for maintenance and auditing purposes.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
A sample of meter documents has been sighted. Some of the drawings do not show all the required detail, which then exists on other technical drawing. The technical content of drawings could be improved or provide the cross reference to other technical drawings as is good engineering practice.									
Issues									
Drawings underway but not yet completed.									
Recommendations									
Further opportunity for improvement is to complete improvement of technical content of drawings. Drawings should preferably be "As built" (Non mandatory recommendation Audit Guidelines 11.9)									

Item 354 Licence condition 5.1								Compliance rating Not Rated	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.13(1)</i> A network operator must procure the user or the user's customer to install (or arrange for the installation of) a full check metering installation or partial check metering installation in accordance with the prescribed requirements.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Check metering installations are not required. In any case as the metering installations were commissioned before the Meter Code came into existence the requirement is not applicable (3.14(1)).									
Issues									
None									
Recommendations									
None									

Item 355 Licence condition 5.1								Compliance rating Not Rated	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.13(c)</i> A partial check metering installation must be physically arranged in a manner determined by the network operator, acting in accordance with good electricity industry practice.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Partial check metering is not required. In any case as the metering installations were commissioned before the Meter Code came into existence the requirement is not applicable (3.14(1)).									

Issues
None
Recommendations
None

Item 356	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.13(4)</i>	
A check metering installation for a metering point must not exceed twice the error level permitted under clause 3.9 for the revenue metering installation for the metering point, and must be connected in such a way that it measures the same load conditions as the revenue metering installation for the metering point, and must be otherwise consistent with the prescribed requirements.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Check metering installations are not required. In any case as the metering installations were commissioned before the Meter Code came into existence the requirement is not applicable (3.14(1)).	
Issues	
None	
Recommendations	
None	

Item 357	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.14(3)</i>	
If, under clause 3.14(2) of the Code, a metering installation uses metering class CTs and VTs that do not comply with the prescribed requirements, then the network operator must either (or both) install meters of a higher class accuracy or apply accuracy calibration factors within the meter in order to achieve the overall accuracy requirements prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Metering transformers meet the requirements of Table 3 Appendix 1. In any case as the metering installations were commissioned before the Meter Code came into existence. Clause 3.14(3) is only applicable for installations committed before Code commencement (3.14(1)) and not commissioned within a specified time frame.	
Issues	
None	
Recommendations	
None	

Item 358 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.16(1)</i> A network operator must ensure that a Type 1 metering installation to Type 5 metering installation on the network has the facilities and functionality prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The installation is not connected to the WEM so the requirements are not applicable.	
Issues	
None	
Recommendations	
None	

Item 359 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.16(2)</i> A network operator must ensure that a Type 1 metering installation to Type 4 metering installation on the network includes a communications link.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The installation is not connected to the WEM so the requirements are not applicable.	
Issues	
None	
Recommendations	
None	

Item 360 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.16(3)</i> If a device is used as a data logger, the energy data for a metering point on the network must be collated in trading intervals within the metering installation unless it has been agreed between the network operator and the Code participant that energy data may be recorded in submultiples of a trading interval.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The installation is not connected to the WEM so the requirements are not applicable.	
Issues	
None	

Recommendations
None

Item 361 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 3.16(5)</i> 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.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The installation is not connected to the WEM so the requirements are not applicable. There are no accumulation meters to be modelled, so 3.16(4) does not apply and consequently 3.16(5) which depends on 3.16(4) also does not apply.	
Issues	
None	
Recommendations	
None	

Item 362 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.16(6)</i> A network operator may only impose a charge for the matters dealt with in the metrology procedure in accordance with the applicable service level agreement between it and the user.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The installation is not connected to the WEM so the requirements are not applicable.	
Issues	
None	
Recommendations	
None	

Item 364 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.20(1)</i> A network operator must, if reasonably requested by a Code participant, provide enhanced technology features in a metering installation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	

Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Advanced technology features have not been requested.									
Issues									
None									
Management Actions									
Not applicable									

Item 365	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.20(3)</i> A network operator may only impose a charge for the provision of metering installations with enhanced technology features in accordance with the applicable service level agreement between it and the user.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Advanced technology features have not been requested.	
Issues	
None	
Recommendations	
None	

Item 366	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.21(1)</i> Meters containing an internal real time clock must maintain time accuracy as prescribed. Time drift must be measured over a period of 1 month.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Advanced technology features have not been requested.	
Issues	
None	
Recommendations	
None	

Item 367	Compliance rating
Licence condition 5.1	Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.21(2)</i> If a metering installation includes measurement elements and an internal data logger at the same site, it must include facilities on site for storing the interval energy data for the periods prescribed.	

Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Advanced technology features have not been requested.									
Issues									
None									
Recommendations									
None									

Item 368 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.22</i> A network operator providing one or more metering installations with enhanced technology features must be licensed to use and access the metering software applicable to all devices being installed and be able to program the devices and set parameters.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Advanced technology features have not been requested.									
Issues									
None									
Recommendations									
None									

Item 369 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 3.23(a)</i> Where signals are provided from the meter for the user or the user's customer use, a network operator must ensure that signals are isolated by relays or electronic buffers to prevent accidental or malicious damage to the meter.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Advanced technology features have not been requested.									
Issues									
None									
Recommendations									
None									

Item 370 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.23(b)</i> Where signals are provided from the meter for the user or the user's customer use, a network operator must provide the user or the user's customer with sufficient details of the signal specification to enable compliance with clause 3.23(c) of the Code.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
Advanced technology features have not been requested.	
Issues	
None	
Recommendations	
None	

Item 371 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.25</i> A network operator that operates and maintains a prepayment meter on its network must operate and maintain the pre-payment meter in accordance with good electricity industry practice and, as far as reasonably practicable, minimise any departure from what the requirements of the Code would have been in respect of the pre-payment meter if clause 3.24 were deleted.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no Prepayment meters.	
Issues	
None	
Recommendations	
None	

Item 372 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 3.27</i> A person must not install a metering installation on a network unless the person is the network operator or a registered metering installation provider for the network operator doing the type of work authorised by its registration.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No new meters have been installed in the audit period.	

Issues
None
Recommendations
None

Item 373 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 3.29</i> A network operator must publish a list of registered metering installation providers, including the prescribed details, and at least annually, update the list.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Clause 3.28 provides that a network operator <u>may</u> register or deregister a person to undertake some or all of the activities relating to installation of metering. Nickel West has chosen not to register anyone. An installer for any new metering installation shall be considered at time required as installations are non standard. As registration is optional and there is no person registered, the requirement to publish and update a list is not applicable.	
Issues	
None	
Recommendations	
None	

Item 374 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.1(1)</i> A network operator must establish, maintain and administer a metering database containing standing data and energy data for each metering point on its network.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The Licensee maintains a database of the required information.	
Issues	
None	
Recommendations	
None	

Item 375 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.1(2)</i> A network operator must ensure that its metering database and associated links, circuits, information storage and processing systems are secured by means of devices or methods which, to the standard of good electricity industry practice, hinder unauthorized access and enable	

unauthorized access to be detected.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The databases and associated links, circuits, information storage and processing systems are secure by passwords with varying access levels.									
Issues									
None									
Recommendations									
None									

Item 376 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 4.1(3)</i> A network operator must prepare, and if applicable, must implement a disaster recovery plan to ensure that it is able, within 2 business days after the day of any disaster, to rebuild the metering database and provide energy data to Code participants.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The servers are backed up and recovery time has been tested. Recovery of energy data is within next meter reading as energy readings self correct at the next meter reading (half hour). The database registry is recovered within 1 hour and general recovery of servers within 1 day. The energy data is captured to two independent systems – one SCADA and one SQL database. Either data set maybe used for provision of energy data. A disaster in one will not affect the data retained in the other, which will be immediately available and satisfying the requirement. Additionally, both data sets are backed up independently. Meter data is not required to be supplied to Code participants until after month end. The disaster recovery plan is covered by having independent dual data sets.									
Issues									
None									
Recommendations									
None									

Item 377 Licence condition 5.1							Compliance rating Not Applicable		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 4.2(1)</i> A network operator must ensure that its registry complies with the Code and the prescribed clause of the market rules.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The network is not part of the WEM so the market rules are not applicable. The registry meets the requirements.									

Issues
None
Recommendations
None

Item 378	Compliance rating
Licence condition 5.1	Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.3(1)</i> The standing data for a metering point must comprise at least the items specified.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The Licensee has provided a complete print out of the registry information which contains the standing data required by the code and additional data.	
Issues	
None	
Recommendations	
None	

Item 379	Compliance rating
Licence condition 5.1	Compliant 5
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 4.4(1)</i> A network operator and affected Code participants must liaise together to determine the most appropriate way to resolve a discrepancy between energy data held in a metering installation and data held in the metering database.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The power purchase agreements set out discrepancy resolution issues. For some remote meters where the communication link is weak, data is stored in the communication modules adjacent to the meter. No discrepancies were noted.	
Issues	
None	
Recommendations	
None	

Item 380	Compliance rating
Licence condition 5.1	Compliant 5
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 4.5(1)</i> A Code participant must not knowingly permit the registry to be materially inaccurate.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>

Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The meter database has been sighted and there are no known errors There have been no customer (Code participants) complaints.									
Issues									
None									
Recommendations									
None									

Item 381 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Retail</i>									
<i>Electricity Industry Metering Code clause 4.5(2)</i> If a Code participant (other than a network operator) becomes aware of a change to or an inaccuracy in an item of standing data in the registry, then it must notify the network operator and provide details of the change or inaccuracy within the timeframes prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No errors to the registry have been advised from customers. A code participant is defined as someone with an access contract and the Power Purchase Agreements are access contracts. There are no alternative retailers for transfers to cause registry errors. There is no need for a process for notification as the retailer and the network operator are the same person.									
Issues									
None									
Recommendations									
None									

Item 382 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 4.6(1)</i> If a network operator is notified of a change to or inaccuracy in an item of standing data by a Code participant which is the designated source for the item of standing data, then the network operator must update the registry.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No changes or inaccuracies have been advised from customers so there was no action consequent to advice. A code participant is defined as someone with an access contract and the Power Purchase Agreements are access contracts. The retailer and the network operator is the same person so no formal correspondence has taken place.									
Issues									
None									
Recommendations									
None									

Item 383 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.6(2)</i> If a network operator is notified of a change to or inaccuracy in an item of standing data by a Code participant which is not the designated source for the item of standing data, or otherwise becomes aware of a change to or inaccuracy in an item of standing data, then the network operator must undertake investigations to the standard of good electricity industry practice to determine whether the registry should be updated, and update the registry as required.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No changes or inaccuracies have been advised.	
Issues	
None	
Recommendations	
None	

Item 384 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.7</i> A network operator must notify any affected user for a metering point of the updated standing data within the timeframes prescribed, where that user would otherwise be entitled to the updated standing data.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No changes or inaccuracies have been advised by users that would require advice to users.	
Issues	
None	
Recommendations	
None	

Item 385 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.8(3)</i> A network operator must allow a user who supplies, purchases or generates electricity to have local and (where a suitable communications link is installed) remote access to the energy data for metering points at its associated connection points, using a 'read only' password provided by the network operator.	

Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No requests for remote access have been received.									
Issues									
None									
Recommendations									
None									

Item 386 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 4.8(4)</i> A network operator must have security devices and methods in place that ensure that energy data held in its metering installation and data held in its metering database is secured from unauthorized local or remote access, in the manner prescribed, sufficient to the standard of good electricity industry practice.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The metering installations and data are on controlled access mine sites. Password access is required for access to the database so it is secured from unauthorized local or remote access, in the manner prescribed, sufficient to the standard of good electricity industry practice.									
Issues									
None									
Recommendations									
None									

Item 387 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 4.8(5)</i> A network operator must ensure that electronic passwords and other electronic security controls are secured from unauthorized access and are only issued to authorized personnel.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The metering information is secured by the BHP Billiton IT requirements and is secured by passwords with varying access levels. Passwords are only issued to authorised personnel and BHP Billiton IT policies also detail requirements for password usage.									
Issues									
None									

Recommendations
None

Item 388 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 4.9</i> A network operator must retain energy data in its metering database for each metering point on its network for at least the periods, and with the level of accessibility, prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Data is retained by IT systems with back up of servers and retained for the required time. Metered energy data from 2004 has been sighted and is available immediately on the computer network to the appropriate personnel.	
Issues	
None	
Recommendations	
None	

Item 389 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.1(1)</i> A network operator must use all reasonable endeavours to accommodate another Code participant's requirement to obtain a metering service and requirements in connection with the negotiation of a service level agreement.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No requests for a metering service were made in the audit period.	
Issues	
None	
Recommendations	
None	

Item 390 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.1(2)</i> A network operator must expeditiously and diligently process all requests for a service level agreement and negotiate its terms in good faith. A network operator must, to the extent reasonably practicable in accordance with good electricity industry practice, permit a Code participant to acquire a metering service containing only those elements of the metering service	

which the Code participant wishes to acquire.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No requests for a metering service were made in the audit period.									
Issues									
None									
Recommendations									
None									

Item 391 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.3</i> A network operator must, for each metering point on its network, obtain energy data from the metering installation and transfer the energy data into its metering database within the timeframes prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Data is downloaded every half hour which is less than the 2 day requirement.									
Issues									
None									
Recommendations									
None									

Item 392 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.4(1)</i> A network operator must, for each accumulation meter on its network, use reasonable endeavours to undertake a meter reading that provides an actual value at least once in any 12 month period.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There are no accumulation meters.									
Issues									
None									
Recommendations									
None									

Item 393 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.4(2)</i> A user must, when reasonably requested by a network operator, use reasonable endeavours to assist the network operator to comply with the network operator's obligation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No requests were made of users (customers). A code participant is defined as someone with an access contract and the Power Purchase Agreements are access contracts. The retailer and the network operator is the same person so there is no practical distinction between where the need arises.	
Issues	
None	
Recommendations	
None	

Item 394 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.5(2)</i> A network operator may only impose a charge for the provision of data under this Code in accordance with the applicable service level agreement between it and the user and must not impose a charge for the provision of data if another enactment prohibits it from doing so.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The users were only charged in accordance with the power purchase agreements which are the <i>applicable service level agreements</i> . No complaints were received.	
Issues	
None	
Recommendations	
None	

Item 395 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.5(3)</i> A user must not impose any charge for the provision of the data under this Code unless it is permitted to do so under another enactment.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	

Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Users were not charged for data.									
Issues									
None									
Recommendations									
None									

Item 396 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.6(1)</i> A network operator must provide validated, and where necessary, substituted or estimated energy data for a metering point to the user for the metering point and the IMO within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The data is provided according to the <i>applicable service level agreements</i> (the PPAs) The network is not part of the WEM and the requirement is not applicable as daily settlements with the IMO are not required.	
Issues	
None	
Recommendations	
None	

Item 397 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.7</i> A network operator must provide replacement energy data to the user for the metering point and the IMO within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The network is not part of the WEM and the requirement is not applicable as daily settlements with the IMO are not required. The data is replaced in accordance with the timeframes in the relevant service level agreement (the Power Procurement Agreements). The policy is to use zero as the replacement value when smaller loads have an error and peak values are not estimated for any other replacement.	
Issues	
None	
Recommendations	
None	

Item 399 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.9</i> A network operator must provide standing data, provided to or obtained by it under this Code to users where required to do so under any enactment.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There is no alternative retailer to transfer to so transfer code is not rated. Nor does any enactment such as Code of Conduct for small use consumers apply.	
Issues	
None	
Recommendations	
None	

Item 400 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.10</i> A network operator must provide a subset of the standing data to a retailer in accordance with the provisions of Annex 4 of the Customer Transfer Code.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There is no alternative retailer to transfer to so transfer code is not rated.	
Issues	
None	
Recommendations	
None	

Item 401 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.11</i> If a transfer occurs at a connection point, a network operator must provide an incoming retailer with a copy of the standing data for each metering point associated with the connection point within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>

There is no alternative retailer to transfer to so transfer code is not rated.
Issues
None
Recommendations
None

Item 402 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.12(1)</i> If a network operator is given a request in accordance with the communication rules and the energy data request relates only to a time or times for which the user was the current user at the metering point, a network operator must provide a user with a complete set of energy data for a metering point within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no requests and no transfers to require energy data. The users have been provided energy data according to the PPAs (applicable service level agreements).	
Issues	
None	
Recommendations	
None	

Item 403 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.13</i> A network operator must provide a current user with a complete current set of standing data for a metering point and advise whether there is a communications link for the metering point, within the timeframes prescribed, if it is given a request in accordance with the communication rules.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no requests (There are no communication rules as there is no need for them with no other retailer on network).	
Issues	
None	
Recommendations	
None	

Item 404 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	

<i>Electricity Industry Metering Code clause 5.14(3)</i>									
A network operator must acknowledge receipt of a bulk standing data request from a user and provide the requested standing data within the timeframes prescribed in accordance with the communication rules.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no requests.									
Issues									
None									
Recommendations									
None									

Item 405 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.15</i>									
A network operator that provides energy data to a user or the IMO must also provide the date of the meter reading.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Dates are included with meter readings on invoices or supporting data.									
Issues									
None									
Recommendations									
None									

Item 406 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Retail</i>									
<i>Electricity Industry Metering Code clause 5.16</i>									
A user that collects or receives energy data from a metering installation must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Users do not collect or receive energy data to send to network operator (and no communication rules for which there is no need with no other retailer on network). Data is uploaded automatically.									
Issues									
None									

Recommendations
None

Item 407 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.17(1)</i> A user must provide standing data and validated (and where necessary substituted or estimated) energy data to the user's customer, to which that information relates, where the user is required by an enactment or an agreement to do so for billing purposes or for the purpose of providing metering services to the customer.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Standing and validated energy data is provided on invoices. There is no enactment to provide data but the Power Purchase Agreements do make provision for meter data to be provided to a customer after month end. Time frames are not specified. Energy data has been provided. Applicable enactments such as the code of conduct do not apply as there are no small use consumers.	
Issues	
None	
Recommendations	
None	

Item 408 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.18</i> A user that collects or receives information regarding a change in the energisation status of a metering point must provide the network operator with the prescribed information, including the stated attributes, within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No change in energisation status occurred in the audit period.	
Issues	
None	
Recommendations	
None	

Item 409 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.19(1)</i>	

A user must, when requested by the network operator acting in accordance with good electricity industry practice, use reasonable endeavours to collect information from customers, if any, that assists the network operator in meeting its obligations described in the Code and elsewhere.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There has been no request to collect information.									
Issues									
None									
Recommendations									
None									
Management Actions									
Not applicable									

Item 410 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Retail</i>									
<i>Electricity Industry Metering Code clause 5.19(2)</i> A user must, to the extent that it is able, collect and maintain a record of the address, site and customer attributes, prescribed in relation to the site of each connection point, with which the user is associated.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Contacts lists and address, site and customer attributes and sample advice to customers sighted.									
Issues									
None									
Recommendations									
None									

Item 411 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Retail</i>									
<i>Electricity Industry Metering Code clause 5.19(3)</i> A user must, after becoming aware of any change in a site's prescribed attributes, notify the network operator of the change within the timeframes prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There has been no change to site attributes. There has been no advice from users.									
Issues									
None									

Recommendations
None

Item 412 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.19(4)</i> A user that becomes aware that there is a sensitive load at a customer's site must immediately notify the network operator's Network Operations Control Centre of the fact.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No sensitive load exists on network.	
Issues	
None	
Recommendations	
None	

Item 413 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.19(5)</i> A network operator must give notice to a user, or (if there is a different current user) the current user, acknowledging receipt of any customer, site or address attributes from the user within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There was no new customer site or address attributes in the audit period to require a notice.	
Issues	
None	
Recommendations	
None	

Item 414 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.19(6)</i> A user must use reasonable endeavours to ensure that it does not notify the network operator of a change in an attribute that results from the provision of standing data by the network operator to the user.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations.	

Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There were no changes in attributes in the audit period.									
Issues									
None									
Recommendations									
None									

Item 415 Licence condition 5.1								Compliance rating Compliant 5	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.20(1)</i> A network operator must, within 6 months from the date this Code applies to the network operator, develop, in accordance with the communication rules, an energy data verification request form.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, Documents: Energy Data Verification Request Form									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
An energy data verification form was not produced within the prescribed period, which was reported in the previous audit. The time period is now no longer relevant. An energy data verification request form has been developed as required by the previous audit. There are no communication rules.									
Issues									
None									
Recommendations									
None									

Item 416 Licence condition 5.1								Compliance rating Compliant 5	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.20(2)</i> An Energy Data Verification Request Form must require a Code participant to provide the information prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, Energy Data Verification Request Form									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
An energy data verification request form has been developed containing the required information as required from a previous audit.									
Issues									
None									
Recommendations									
None									

Item 417 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.20(4)</i> If a Code participant requests verification of energy data, a network operator must, in accordance with the metrology procedure, use reasonable endeavours to verify energy data and inform the requesting Code participant of the result of the verification and provide the verified energy data within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There were no requests in the audit period.	
Issues	
None	
Recommendations	
None	

Item 418 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.21(2)</i> A network operator must comply with any reasonable request by a Code participant to undertake either a test or an audit of the accuracy of the metering installation or the energy or standing data of the metering installation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There were no requests in the audit period.	
Issues	
None	
Recommendations	
None	

Item 419 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.21(4)</i> A test or audit is to be conducted in accordance with the metrology procedure and the applicable service level agreement.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The tests confirmed the meter accuracy in accordance with the power purchase agreements	

which are the relevant service level agreements.
Issues
None
Recommendations
None

Item 420 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.21(5)</i> A Code participant must not request a test or audit unless the Code participant is a user and the test or audit relates to a time or times at which the user was the current user or the Code participant is the IMO.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There were no requests in the audit period. The network is not on the WEM.	
Issues	
None	
Recommendations	
None	

Item 421 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.21(6)</i> A Code participant must not make a test or audit request that is inconsistent with any access arrangement or agreement.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence files	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There were no requests in the audit period.	
Issues	
None	
Recommendations	
None	

Item 422 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.21(8)</i> A network operator may only impose a charge for the testing of the metering installations, or auditing of information from the meters associated with the metering installations, or both, in accordance with the applicable service level agreement between it and the user.	

Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
There were no charges for meter testing.									
Issues									
None									
Recommendations									
None									

Item 423 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.21(9)</i> Any written service level agreement in respect of the testing of the metering installations, or the auditing of information from the meters associated with the metering installations, must include a provision that no charge is to be imposed if the test or audit reveals a non-compliance with this Code which results in energy data errors in the network operator's favour.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The power purchase agreements allow for meter testing but are silent about who pays but the practice is not to charge and the customers have been advised in writing of the policy.									
Issues									
A previous audit recommended power purchase agreements are amended to be explicit about charging. This was resolved at the last audit and no action flowed to this audit.									
Recommendations									
None									

Item 424 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.21(11)</i> A network operator must advise the affected parties as soon as practicable of errors detected under a test or audit, the possible duration of the errors, and must restore the accuracy of the metering installation in accordance with the applicable service level agreement.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No errors were discovered in tests to require action.									
Issues									
None									
Recommendations									
None									

Item 425 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.21(12)</i> The original stored error correction data in a meter must not be altered except during accuracy testing and calibration of a metering installation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome
	<input checked="" type="checkbox"/> Output
	<input checked="" type="checkbox"/> Reporting
	<input checked="" type="checkbox"/> Compliance
Error correction data was not altered or destroyed during calibration or tests. Stored data in a meter is not used.	
Issues	
None	
Recommendations	
None	

Item 426 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.22(1)</i> A network operator must validate energy data in accordance with this Code applying, as a minimum, the prescribed rules and procedures and must, where necessary, substitute and estimate energy data under this Code applying, as a minimum, the prescribed rules and procedures.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome
	<input checked="" type="checkbox"/> Output
	<input checked="" type="checkbox"/> Reporting
	<input checked="" type="checkbox"/> Compliance
Validation was not required (installed before Code and CT ratios not changed, check metering is not required). Substituted or estimated data has been zero for smaller loads (this is not an issue to the retailer who is the same person as the network operator). For larger loads, estimated energy is substituted using Substitution Method 13 or interpolated data which will self correct the following month. Peak power is not estimated during periods of data loss, which meets substitution method 18 requirements.	
Issues	
None	
Recommendations	
None	

Item 427 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.22(2)</i> The network operator must use check metering data, where available, to validate energy data provided that the check metering data has been appropriately adjusted for differences in metering	

installation accuracy.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Check metering not installed or required.									
Issues									
None									
Recommendations									
None									

Item 428 Licence condition 5.1							Compliance rating Compliant 5		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.22(3)</i> A network operator must prepare substitute values using the prescribed method if a check meter is not available or energy data cannot be recovered from the metering installation within the time required.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Check metering not installed or required. Substituted or estimated data has been zero for smaller loads (this is not an issue to the retailer who is the same person as the network operator). For larger loads, estimated energy is substituted using Substitution Method 13 or interpolated data which will self correct the following month. Peak power is not estimated during periods of data loss, which meets substitution method 18 requirements.									
Issues									
None									
Recommendations									
None									

Item 429 Licence condition 5.1							Compliance rating Compliant 4		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.22(4)</i> A network operator that detects a loss of energy data or incorrect energy data from a metering installation must notify each affected Code participant of the loss or error within 24 hours after detection.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence file, PPAs									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
When a loss of energy data is detected, zero is charged for smaller loads when data is lost or self correcting estimate reading is employed for large loads (Method 13). Peak power is not estimated so customers not disadvantaged (substitution method 18). Any loss of energy data or incorrect energy data is handled according to the applicable metrology procedure (PPAs). As any estimation self corrects or is irrelevant to the customer there is no requirement to notify the									

customer.
Issues
None
Recommendations
None

Item 430 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.22(5)</i> Substitution or estimation of energy data is to be required when energy data is missing, unavailable or corrupted, including in the circumstances described.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
When energy data is missing, unavailable or corrupted, the substituted or estimated data has been zero for smaller loads (this is not an issue to the retailer who is the same person as the network operator). For larger loads, estimated energy is substituted using Substitution Method 13 or interpolated data which will self correct the following month. Peak power is not estimated during periods of data loss, which meets substitution method 18 requirements and so customers not disadvantaged.	
Issues	
None	
Recommendations	
None	

Item 431 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.22(6)</i> A network operator must review all validation failures before undertaking any substitution.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance
Evidence: interviewed Asset Manager, Documents: Meter drawings, calibration results, meter data bases, correspondence file	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Failure of the energy data validation has been noted when data has been missing, unavailable or corrupted and data has had to be substituted as described in Item 400, and the reason for failure is understood.	
Issues	
None	
Recommendations	
None	

Item 432 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.23(1)</i> A network operator that determines that there is no possibility of determining an actual value for a metering point must designate an estimated or substituted value for the metering point to be a deemed actual value for the metering point.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, energy data.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Where there is no possibility of determining an actual value for a metering point the designated, substituted or estimated data has been deemed to be zero for smaller loads (this is not an issue to the retailer who is the same person as the network operator). For larger loads, the designated, substituted or estimated energy a deemed value is determined using Substitution Method 13 or interpolated data which will self correct the following month. Peak power is not estimated during periods of data loss, which meets substitution method 18 requirements.	
Issues	
None	
Recommendations	
None	

Item 433 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.23(3)</i> A network operator that has designated a deemed actual value for a metering point must repair or replace the meter or one or more of components of metering equipment (as appropriate) at the metering point.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager Documents: N/A	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Following substitution of a deemed value the faulty equipment, communication link or logging system is repaired or replaced as appropriate.	
Issues	
None	
Recommendations	
None	

Item 434 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.24(1)</i> A network operator that uses an actual value (first value) for energy data for a metering point, and a better quality actual or deemed actual value is available (second value), must replace the first value with the second value if doing so would be consistent with good electricity industry practice.	

Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No better values have become available. It would not be necessary to revise the reading with the second value (accumulator register) for large loads as the error will self correct the following month. For small loads the assumed value of zero consumption will be retained as good electricity industry customer relations.									
Issues									
None									
Recommendations									
None									

Item 435 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.24(2)</i> A network operator that uses a deemed actual value (first value) for energy data for a metering point, and a better quality deemed actual value is available (second value), must replace the first value with the second value if doing so would be consistent with good electricity industry practice.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No better values have become available. It would not be necessary to revise the reading with the second value (accumulator register) for large loads as the error will self correct the following month. For small loads the assumed value of zero consumption will be retained as good electricity industry customer relations.									
Issues									
None									
Recommendations									
None									

Item 436 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 5.24(3)</i> A network operator that uses an estimated or substituted value (first value) for energy data for a metering point, and a better quality actual, deemed, estimated or substituted value is available (second value), must replace the first value with the second value if doing so would be consistent with good electricity industry practice or the user and its customer jointly request it to do so.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence file.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No better values have become available. It would not be necessary to revise the reading with the second value (accumulator register) for large loads as the error will self correct the following month. For small loads the assumed value of zero consumption will be retained as good electricity									

industry customer relations. There have been no requests.
Issues
None
Recommendations
None

Item 437 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.24(4)</i> A network operator (acting in accordance with good electricity industry practice) must consider any reasonable request from a Code participant for an estimated or substituted value to be replaced.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, correspondence file	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no requests for an estimated or substituted value to be replaced. There is no disadvantage to the customer that would require this due to self correction or zero energy estimate.	
Issues	
None	
Recommendations	
None	

Item 438 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.25</i> A network operator must ensure the accuracy of estimated energy data in accordance with the methods in its metrology procedure and ensure that any transformation or processing of data preserves its accuracy in accordance with the metrology procedure.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The accuracy is not relevant where a zero energy value has been substituted or no higher peak power value has been estimated. The accuracy is also not relevant where the estimate will self correct the following month. The metrology procedure is the PPA.	
Issues	
None	
Recommendations	
None	

Item 439 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 5.27</i> Upon request, a current user must provide the network operator with customer attribute information that it reasonably believes are missing or incorrect within the timeframes prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no requests. The retailer and the network operator is the same person.	
Issues	
None	
Recommendations	
None	

Item 440 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.29</i> If a network operator makes an election for the electricity networks corporation to be its metering data agent in relation to a network, then, except to the extent that the metering data agency agreement provides otherwise, the parties must undertake the activities prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There has been no election for Western Power to be the metering agent.	
Issues	
None	
Recommendations	
None	

Item 441 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.30(1)</i> If a network operator makes an election for the electricity networks corporation to be its metering data agent in relation to a network, then the electing network operator and the electricity networks corporation must enter into a metering data agency agreement in relation to the network, which must deal with at least the matters prescribed.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There has been no election for Western Power to be the metering agent.	

Issues
None
Recommendations
None

Item 442 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.31(1)</i> If a network operator makes an election for the electricity networks corporation to be its metering data agent in relation to a network, the electricity networks corporation must assess the compliance of each metering installation in the network with this Code and notify the electing network operator of each non-compliant metering installation.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There has been no election for Western Power to be the metering agent.	
Issues	
None	
Recommendations	
None	

Item 443 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.31(2)</i> An electing network operator may, by notice to the electricity networks corporation, require the electricity networks corporation to upgrade a non-compliant metering installation, in which case the electricity networks corporation must undertake the upgrade in accordance with the metering data agency agreement and good electricity industry practice.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There has been no election for Western Power to be the metering agent.	
Issues	
None	
Recommendations	
None	

Item 444 Licence condition 5.1	Compliance rating Not Applicable
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 5.34(2)</i> Except to the extent that the metering data agency agreement provides otherwise, the costs	

which may be recovered by the electricity networks corporation for acting as the network operator's metering data agent must not exceed the amounts prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There has been no election for Western Power to be the metering agent.									
Issues									
None									
Recommendations									
None									

Item 445 Licence condition 5.1								Compliance rating Compliant 5	
Licence: <i>Distribution</i>									
<i>Electricity Industry Metering Code clause 6.1(1)</i> A network operator must, in relation to its network, comply with the agreements, rules, procedures, criteria and processes prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases, PPAs									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The procedures are laid out in the power purchase agreements. There is no evidence of departures from the agreements. There have been no complaints.									
Issues									
None									
Recommendations									
None									

Item 446 Licence condition 5.1								Compliance rating Compliant 5	
Licence: <i>Retail</i>									
<i>Electricity Industry Metering Code clause 6.1(2)</i> A user must, in relation to a network on which it has an access contract, comply with the rules, procedures, agreements and criteria prescribed.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
There is no evidence of the retailer not complying with the agreements.									
Issues									
None									
Recommendations									
None									

Item 447 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 6.20(4)</i> A network operator must amend any document in accordance with the Authority's final findings.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The Licensee has not been required to amend any metering documents.	
Issues	
None	
Recommendations	
None	

Item 448 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 7.2(1)</i> Code participants must use reasonable endeavours to ensure that they can send and receive a notice by post, facsimile and electronic communication and must notify the network operator of a telephone number for voice communication in connection with the Code.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The requirement is satisfied as users can be contact by post, facsimile or electronic communication means. There have been no complaints from users. The retailer and the network operator is the same person.	
Issues	
None	
Recommendations	
None	

Item 449 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry Metering Code clause 7.2(2)</i> A network operator must notify each Code participant of its initial contact details and of any change to its contact details at least 3 business days before the change takes effect.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: correspondence file	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
There was a change of address in the audit period of the head office, Postal address and telephone numbers did not change. Customers were advised.	

Issues
None
Recommendations
None

Item 450 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 7.2(4)</i> A Code participant must notify its contact details to a network operator with whom it has entered into an access contract within 3 business days after the network operator's request.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The obligation is on the customer or retailer and not on the network operator. The retailer and the network operator is the same person and notification is superfluous. Network operator has made no requests.	
Issues	
None	
Recommendations	
None	

Item 451 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 7.2(5)</i> A Code participant must notify any affected network operator of any change to the contact details it notified to the network operator at least 3 business days before the change takes effect.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: Not applicable	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The obligation is on the customer or retailer and not on the network operator. The retailer and the network operator is the same person and notification is superfluous.	
Issues	
None	
Recommendations	
None	

Item 452 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Retail</i>	
<i>Electricity Industry Metering Code clause 7.5</i> A Code participant must not disclose, or permit the disclosure of, confidential information provided to it under or in connection with the Code and may only use or reproduce confidential information	

for the purpose for which it was disclosed or another purpose contemplated by the Code.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, Documents: correspondence file									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The data systems have secure access. There is no evidence of complaints about disclosure of confidential information.									
Issues									
None									
Recommendations									
None									

Item 453 Licence condition 5.1								Compliance rating Not Rated	
Licence: <i>Retail</i>									
<i>Electricity Industry Metering Code clause 7.6(1)</i> A Code participant must disclose or permit the disclosure of confidential information that is required to be disclosed by the Code.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There is no information required to be disclosed.									
Issues									
None									
Recommendations									
None									

Item 454 Licence condition 5.1								Compliance rating Not Rated	
Licence: <i>Distribution, Retail</i>									
<i>Electricity Industry Metering Code clause 8.1(1)</i> Representatives of disputing parties must meet within 5 business days after a notice given by a disputing party to the other disputing parties and attempt to resolve the dispute under or in connection with the Electricity Industry Metering Code by negotiations in good faith.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, Documents: correspondence file									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no metering disputes in the audit period.									
Issues									
None									
Recommendations									
None									

Item 455 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 8.1(2)</i> If a dispute is not resolved within 10 business days after the dispute is referred to representative negotiations, the disputing parties must refer the dispute to a senior management officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: correspondence file	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
There have been no metering disputes in the audit period.	
Issues	
None	
Recommendations	
None	

Item 456 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 8.1(3)</i> If the dispute is not resolved within 10 business days after the dispute is referred to senior management negotiations, the disputing parties must refer the dispute to the senior executive officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: correspondence file	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no metering disputes in the audit period.	
Issues	
None	
Recommendations	
None	

Item 457 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 8.1(4)</i> If the dispute is resolved by representative negotiations, senior management negotiations or CEO negotiations, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, Documents: correspondence file	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>

There have been no metering disputes in the audit period.
Issues
None
Recommendations
None

Item 458 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution, Retail</i>	
<i>Electricity Industry Metering Code clause 8.3(2)</i> The disputing parties must at all times conduct themselves in a manner which is directed towards achieving the objective of dispute resolution with as little formality and technicality and with as much expedition as the requirements of Part 8 of the Code and a proper hearing and determination of the dispute, permit.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Meter drawings, calibration results, meter data bases	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no metering disputes in the audit period.	
Issues	
None	
Recommendations	
None	

2.16.5 ELECTRICITY INDUSTRY (NETWORK QUALITY AND RELIABILITY OF SUPPLY) CODE – LICENCE CONDITIONS AND OBLIGATIONS (ALL LICENCE CONDITION LICENCE CLAUSE 5.1)

Item 459 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 5(1)</i> A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer's electrical installations complies with prescribed standards.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans, PPAs	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The sample quality surveys sighted show compliance with the requirements of regulation 6 and 7. However, standards were agreed with customers in power purchase agreements and these specify the relevant standards of the day (AS2279). The old Australian standard uses a different method for voltage flicker and less detail for harmonics. Direct comparison was not possible. The old Australian standard has a more demanding total harmonic level than the Code. But testing has been done to new code requirements.	
Issues	
Scheduling of surveys have been requested for inclusion in 1SAP but not yet implemented.	

Recommendations	
Non mandatory action is to finalize scheduling of surveys in 1SAP planning system.	
Item 460 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 8</i> A distributor or transmitter must, so far as reasonably practicable, disconnect the supply of electricity to installations or property in specified circumstances, unless it is in the interest of the customer to maintain the supply.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans.	
Process	<input type="checkbox"/> Outcome
	<input type="checkbox"/> Output
	<input type="checkbox"/> Reporting
	<input type="checkbox"/> Compliance
There have been no disconnections for network quality and reliability of supply issues during the audit period. Due to the network configuration and topology, quality of supply is not continuously monitored. Disconnection of the customer would, if quality of supply became an issue, be carried out in the most reasonably practical manner unless it is in the interest of the customer to maintain supply. The customer on site representative would be contacted where possible. Some underfrequency protection is provided to some customers by protection and load shedding schemes operated by the generator, or by protection schemes installed by the customer.	
Issues	
None	
Recommendations	
None	

Item 461 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 9</i> A distributor or transmitter must, as far as reasonably practicable, ensure that the supply of electricity is maintained and the occurrence and duration of interruptions is kept to a minimum.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans, SCADA sighted.	
Process	<input checked="" type="checkbox"/> Outcome
	<input checked="" type="checkbox"/> Output
	<input checked="" type="checkbox"/> Reporting
	<input checked="" type="checkbox"/> Compliance
Interruptions are logged. In the last 4 years, the northern system had 26 interruptions, and the southern system had 19 interruptions. Of these 28 were caused by loss of generation outside the control of the Licensee or by lightning or other issues outside the control of the licensee. The interruptions have been minor and response is in line with service levels expected for the number and size of customers and network. There is a requirement for mine production to keep interruptions to a minimum. The log of outages requested in a previous audit has been sighted.	
Issues	
None	
Recommendations	
None	

Item 462 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 10(1)</i> A distributor or transmitter must, so far as reasonably practicable, reduce the effect of any interruption on a customer.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Planned outages are coordinated with mine production/shutdowns. The unplanned outages were restored as soon as reasonably practicable and as expected for a radial system. There is no remote switching on the network. Personnel are required to travel to the site for local switching operations. Impact to customers is reduced by having on call personnel with vehicle access.	
Issues	
None	
Recommendations	
None	

Item 463 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 10(2)</i> A distributor or transmitter must consider whether, in specified circumstances, it should supply electricity by alternative means to a customer who will be affected by a proposed interruption.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans The power purchase agreements cover supply reliability.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The network is essentially radial and there is no backup for line failures. There have been no requests for standby or alternative supply due to shutdown. These circumstances are very unlikely as planned outages are coordinated with mine shutdowns.	
Issues	
None	
Recommendations	
None	

Item 465 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 13(2)</i> A distributor or transmitter must, so far as reasonably practicable, ensure that customers in specified areas do not have average total lengths of interruptions of supply greater than specified durations.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>

Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
Nine planned events took longer than 6 hours and of these 4 were to accommodate outages for upstream issues outside the control of the licensee. The customers were notified and they were rectified in a reasonable time. The outage log requested in a previous audit has been sighted.. The average duration was 217.5 minutes for all causes which is within the Code requirements. Note that no outages to any customers that may have small connections exceeded the 12 hour target and the number was less than 16 times and there were no power quality complaints.									
Issues									
None									
Recommendations									
None									

Item 466 Licence condition 5.1								Compliance rating Compliant 4	
Licence: <i>Distribution</i>									
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 13(3)</i> The average total length of interruptions of supply is to be calculated using the specified method.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The average duration was 217.5 minutes for all causes which is within the Code requirements.									
Issues									
None									
Recommendations									
None									

Item 467 Licence condition 5.1								Compliance rating Not Rated	
Licence: <i>Distribution</i>									
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 14(8)</i> A distributor or transmitter must, on request, provide to an affected customer a free copy of an instrument issued by the Minister and of any notice given under section 14(7) of the Electricity Industry (Network Quality and Reliability of Supply) Code 2005.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No requests have been made.									
Issues									
None									
Recommendations									
None									

Item 468 Licence condition 5.1	Compliance rating Not Rated
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 15(2)</i> A distributor or transmitter that agrees with a customer to exclude or modify certain provisions must set out the advantages and disadvantages to the customer of doing so in their agreement.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans.	
Process	<input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no new agreements in the audit period.	
Issues	
None	
Recommendations	
None	

Item 474 Licence condition 5.1	Compliance rating Compliant 4
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 23(1)</i> A distributor or transmitter must take all such steps as are reasonably necessary to monitor the operation of its network to ensure compliance with specified requirements.	
Observations	
Documents	<input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans SCADA sighted.	
Process	<input checked="" type="checkbox"/> Outcome <input checked="" type="checkbox"/> Output <input checked="" type="checkbox"/> Reporting <input checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>
The southern system is part of the mine SCADA. The southern network is not continuously monitored in real time by an operations room dedicated to the network but by is monitored by the mine site operations centre. Alarms or faults are relayed to network staff by mobile telephone. Outage reports requested in last audit have been sighted. The northern system is not monitored by the network operator. The system is very small (essentially Leinster town site) and outages are reported quickly for the network operator staff to respond. This meets the reasonably necessary requirements. Another network operator monitors the upstream supply and will endeavour to notify of any failures. Repair work is carried out by contractors. The reporting requirements do not apply as there are no small use customers.	
Issues	
None	
Recommendations	
None	

Item 475 Licence condition 5.1	Compliance rating Compliant 5
Licence: <i>Distribution</i>	
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 23(2)</i> A distributor or transmitter must keep records of information regarding its compliance with specific requirements for the period specified.	

Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The time requirement only applies to reports under s27 which in turn are not required as there are no small use consumers. Power quality surveys and incident logs are being maintained for 23(1)(a)									
Issues									
None									
Recommendations									
None									

Item 476 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 24(3)</i> A distributor or transmitter must complete a quality investigation requested by a customer in accordance with specified requirements.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans, correspondence files									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No requests have been made.									
Issues									
None									
Recommendations									
None									

Item 477 Licence condition 5.1							Compliance rating Not Rated		
Licence: <i>Distribution</i>									
<i>Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 24(4)</i> A distributor or transmitter must report the results of an investigation to the customer concerned.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Asset Manager, inspected substations and sample installations. Documents: Power quality survey, incident logs, network plans, correspondence files									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No requests/reports have been made.									
Issues									
None									
Recommendations									
None									