



McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

Amanda Energy Pty Ltd

Electricity Retail Licence ERL 20 Performance Audit





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Mr Martin Frank Jurat
Director
Amanda Energy Pty Ltd

Dear Mr Jurat

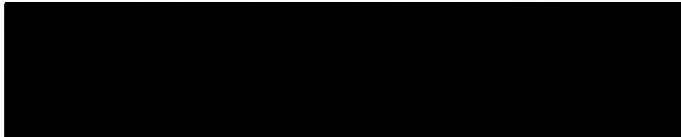
Performance Audit Electricity Licences

The fieldwork on the performance audit of Retail Licence ERL 20 for the audit period (9 August 2013 to 31 August 2015) 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 high level of compliance with the licence conditions. There were two non compliances.

In my opinion, the Licensee maintained, in all material aspects, effective control procedures in relation to the Retail licence (ERL 20) for the audit period on the relevant clauses referred to within the scope section of this report.

Yours sincerely



Kevan McGill
Director

Date 30 October 2015



Table of Contents

1	Electricity Retail Licence Audit.....	4
2	Executive Summary.....	4
2.1	Overall Conclusion	4
2.2	Audit period	4
2.3	The Licensee	4
2.4	Previous audit non compliances and recommendations	4
2.5	Issues from current audit	4
2.5.1	Compliance elements requiring corrective measures.....	4
3	Performance Audit.....	5
3.1	Performance Audit Objectives	5
3.2	Scope Limitation	6
3.3	Inherent Limitations	6
3.4	Statement of Independence.....	6
3.5	Scope of the Audit	7
3.6	Key Contacts Interviewed	8
3.7	Audit Requirements	9
3.8	Overall Conclusion	10
3.9	Findings.....	10
3.10	Audit compliance and controls rating scales	10
3.11	Establishing the Context	13
3.11.1	Audit Results and Recommendations	13
	measures	13
	14
	14
3.12	Detailed findings	14
3.12.1	Audit work undertaken	14
3.13	Audit evidence	14
3.14	Audit Findings - Details.....	16
3.14.1	Electricity Industry Customer Transfer Code – Licence Conditions and Obligations	16
3.14.2	Electricity Industry Act – Licence Conditions and Obligations	30
3.14.3	Electricity Licences – Licence Conditions and Obligations.....	32
3.14.4	Electricity Industry Metering Code – Licence Conditions and Obligations (all licence condition Licence clause 5.1).....	35



1 Electricity Retail Licence Audit

2 Executive Summary

This performance audit was conducted in accordance with the guidelines issued by the Economic Regulation Authority (*Authority*) for the audit period (9 August 2013 to 31 August 2015).

2.1 Overall Conclusion

In my opinion, the Licensee has maintained a high level of compliance with the licence conditions. There were two non-compliances requiring corrective actions. There are no issues with the integrity of reporting to the *Authority* or other statutory organisations.

In my opinion, the Licensee maintained, in all material aspects, effective control procedures in relation to the Retail Licence (ERL 20) for the audit period based on the relevant clauses referred to within the scope section (Page 6) of this report.

2.2 Audit period

This audit covers the period 9 August 2013 to 31 August 2015. This is the first audit.

2.3 The Licensee

The licensee (ERL 20) is a small retailer (currently 53 customers over 92 NMI). The business is as an electricity retailer. This is a first audit so there have been no changes from an earlier audit.

2.4 Previous audit non compliances and recommendations

This [REDACTED] non compliances or recommendations

2.5 Issues from current audit

There are 2 issues from current audit.

2.5.1 Compliance elements requiring corrective measures

There are 2 actions requiring corrective measures:

Table of Current Audit Non Compliances/Recommendations			
A. Resolved during current Audit period			
Manual Ref.	Non Compliance/Controls improvement (Rating / Legislative Obligation / Details of Non Compliance or inadequacy of controls)	Date Resolved (& management action taken)	Auditors comments



Nil			
B Unresolved at end of current Audit period			
Manual Ref.	Non Compliance/Controls improvement (Rating / Legislative Obligation / Details of Non Compliance or inadequacy of controls)	Date Resolved (& management action taken)	Auditors comments
69	A2 Electricity Industry Customer Transfer Annex 6 clause A6.2(b) An automated reply to Western Power emails not established.	20/10/15 – Procedures implemented to send reply to all Western Power emails.	No further action required.
124	B2 <i>Retail Licence condition 16.1</i> Not all annual reports submitted on time.	20/10/2015 – Control procedures have been implemented to ensure future reports are on time.	No further action required.

3 Performance Audit

3.1 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 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 *performance 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 was done in compliance with prevailing ERA documents “Audit and Review Guidelines: Electricity and Gas Licences (hereinafter “Guidelines”)¹ and the Electricity Compliance Reporting Manual (hereinafter “Manual”)². The latest manual was issued 6 months before the end of the audit period. There is no difference in obligations from the manual referenced in the audit plan and the latest manual. However the numbering has been aligned with the latest manual.

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

The audit was conducted in a manner consistent with Australian Auditing Standards (AUS) 808 “Planning Performance Audits” and AUS 806 “Performance Auditing”. McGill Engineering Services Pty Ltd evaluated the adequacy and effectiveness of the controls and performance by the Licensee relative to the standards referred in the Retail Licence through a combination of enquiries, examination of documents and detailed testing for Electricity Retail Licence ERL 20 for the Licensee.

This is the first audit of Amanda Energy (Amanda).

3.2 Scope Limitation

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

There are no small use customers. The Licensee will have small use customers in the next audit.

3.3 Inherent Limitations

Because of the [REDACTED] structure, it is possible that fraud [REDACTED] 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.

3.4 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.

¹ Economic Regulation Authority: Audit and Review guidelines: Electricity, and Gas Licences April 2014

² Economic Regulation Authority: Electricity Compliance Reporting Manual May 2014/July 2014/September 2014



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.

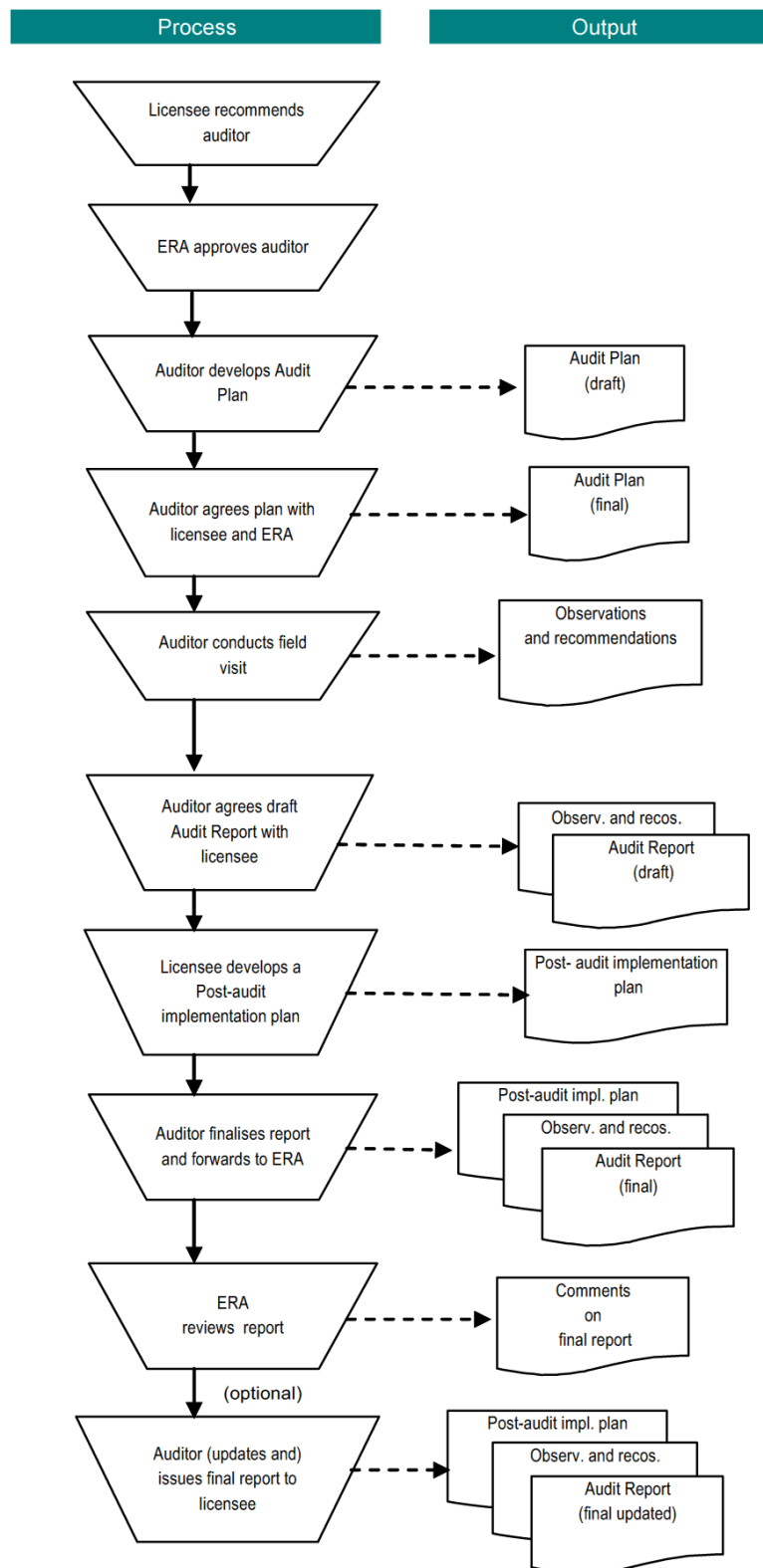
There is no risk of a self-review threat as:

- 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.

3.5 Scope of the Audit

The

During this audit the North Fremantle office was visited.



3.6 Key Contacts Interviewed

The key contacts interviewed were:

- Licensee:



- Martin Jurat, Director Amanda Energy Pty Ltd
- Sylvain Ramanah, Office Manager, Amanda Energy Pty Ltd
- Tim McLeod, Senior Data Analyst, Amanda Energy Pty Ltd.

The audit was conducted during August 2015 to October 2015. Kevan McGill spent about 100 hours on the audit.

3.7 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:

- Process compliance** - the effectiveness of systems and procedures in place throughout the audit period, including the adequacy of internal controls.
- Outcome compliance** – the actual performance against standards prescribed in the licence throughout the audit period.
- Output compliance** – the existence of the output from systems 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).
- Integrity of performance reporting** – the completeness and accuracy of the performance reporting to the Authority.
- Compliance with any individual licence conditions** - the requirements imposed on the specific Licensee by the Authority or specific issues for follow-up that are advised by the Authority.

Stage	Auditor	Standard
1. Risk & Materiality Assessment Outcome - Open Performance Plan	K McGill	ASA 300 Planning ASA 315: Risk Assessments and Risk Management
2. System Analysis	K McGill	ERA Guidelines AUS 810: Special Purpose Reports on Effectiveness of Control Procedures
3. Fieldwork Assessment and testing of; • 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



3.8 Overall Conclusion

In my opinion, the Licensee maintained, in all material aspects, effective control procedures in relation to the Retail (ERL 20) licence for the audit period based on the relevant clauses referred to within the scope section of this report.

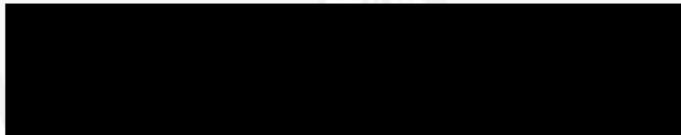
There are two non-compliances that required corrective actions by the licensee.

3.9 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 the detailed audit findings section (Page 14)

3.10 Audit compliance and controls rating scales

Performance audit compliance and controls rating scales			
Adequacy of Controls Rating		Compliance Rating	
Rating	Description	Rating	Description
A	Adequate controls - no improvement needed	1	Compliant
B	Generally adequate controls – improvement needed	2	Non-compliant – minor impact on customers or third parties
C	Inadequate controls -significant improvement required	3	Non-compliant – moderate impact on customers or third parties
D	No controls evident	4	Non-compliant – major impact on customers or third parties





Item	Licence Clause/Condition reference (Cl.=clause, Sch.=schedule)	Obligations under condition	Licence Type (R + Retail)	Type	Audit Priority	Adequacy of Controls (NP=Not Performed)					Compliance Rating (NR = Not Rated)				
Licence Conditions - Electricity Industry (Licence Conditions) Regulation Obligations - Electricity Industry Customer Transfer Code Clause					Priority	Adequacy of controls rating					Compliance Rating				
						A	B	C	D	NP	1	2	3	4	NR
6.	r ³ 5(2)	3.2(2)	R	2	4	✓					✓				
7.	5(2)	3.4(1)	R	2	4	✓					✓				
8.	5(2)	3.5(3)	R	2	4					✓					✓
9.	5(2)	3.6(2)	R	2	4					✓					✓
16.	5(2)	3.9(1)	R	2	4	✓					✓				
17.	5(2)	3.9(2)	R	2	4					✓					✓
18.	5(2)	3.9(3)	R	2	4	✓					✓				
19.	5(2)	3.9(4)	R	2	4					✓					✓
23.	5(2)	4.2(2)	R	2	4	✓					✓				
24.	5(2)	4.3	R	2	4	✓					✓				
25.	5(2)	4.4(1)	R	2	4	✓					✓				
26.	[REDACTED]									✓					✓
27.						✓					✓				
28.										✓					✓
29.	5(2)	4.7	R	2	4	✓					✓				
30.	5(2)	4.8(2)	R	2	4					✓					✓
34.	5(2)	4.9(6)	R	2	4					✓					✓
39.	5(2)	4.11(3)	R	2	4					✓					✓
40.	5(2)	4.12(3)	R	NR	5					✓					✓
43.	5(2)	4.15	R	NR	5					✓					✓
44.	5(2)	4.16	R	2	4					✓					✓
45.	5(2)	4.17	R	2	4	✓					✓				
48.	5(2)	5.1(4)	R	2	4	✓					✓				
49.	5(2)	6.2	R	2	4	✓					✓				
52.	5(2)	6.4(1)	R	2	4					✓					✓
53.	5(2)	6.4(2)	R	2	4					✓					✓
54.	5(2)	6.6	R	2	4	✓					✓				
55.	5(2)	7.1(1)	R	NR	5					✓					✓
56.	5(2)	7.1(2)	R	NR	5					✓					✓

³ r = Regulation



Licence Conditions - Electricity Industry (Licence Conditions) Regulation						Priority					Adequacy of controls rating					Compliance Rating				
Obligations - Electricity Industry Customer Transfer Code Clause											A	B	C	D	NP	1	2	3	4	NR
57.	5(2)	7.1(3)	R	2	4										✓					✓
58.	5(2)	7.2(4)	R	NR	5										✓					✓
59.	5(2)	7.3(2)	R	NR	5										✓					✓
68.	5(2)	Annex 6 clause A6.2(a)	R	NR	5	✓										✓				
69.	5(2)	Annex 6 clause A6.2(b)	R	2	4	✓											✓			
70.	5(2)	Annex 6 clause A6.6	R	NR	5	✓										✓				
71	5(2)	Annex 6 clause A6.7	R	NR	5	✓										✓				

Licence Conditions – Licence Clause – Retail Obligations- Electricity Industry Act Section						Priority					Adequacy of controls rating					Compliance Rating				
											A	B	C	D	NP	1	2	3	4	NR
101.	14.1	s ⁴ 13(1)	R	NR	5						✓					✓				
105.	4.1	s17(1)	G	2	4						✓					✓				
106	5.1	s31(3)	R	NR	5										✓					✓
107.	5.1	s41(6)	R	2	4										✓					✓
110	5.1	s76	R	2	4										✓					✓
113	5.1	s115(2)	R	2	4						✓					✓				

Licence Conditions – Electricity Industry Act Section Obligations- Licence Clause – Retail						Priority					Adequacy of controls rating					Compliance Rating				
											A	B	C	D	NP	1	2	3	4	NR
119											✓					✓				
120															✓					✓
121.	s11	14.2	R	2	4						✓					✓				
123.	s11	15.1	R	2	4										✓					✓
124.	s11	16.1	R	2	4							✓					✓			
125.	s11	17.1&17.2	R	2	4										✓					✓
126.	s11	18.1	R	2	4						✓					✓				

Licence Conditions – Licence clause Obligations- Electricity Industry Metering Code Clause						Priority					Adequacy of controls rating					Compliance Rating				
											A	B	C	D	NP	1	2	3	4	NR
324.	5.1	3.3B	R	2	4						✓					✓				
339.	5.1	3.11(3)	R	2	3										✓					✓
364.	5.1	3.27	R	2	4										✓					✓
371.	5.1.	4.4(1)	R	NR	5										✓					✓
372.	5.1	4.5(1)	R	NR	5						✓					✓				
373.	5.1	4.5(2)	R	2	4										✓					✓
388.	5.1	5.4(2)	R	NR	5										✓					✓
401.	5.1	5.16	R	2	4										✓					✓
402.	5.1	5.17(1)	R	2	4										✓					✓

⁴ s = Section of Act



Licence Conditions – Licence clause Obligations- Electricity Industry Metering Code Clause					Priority	Adequacy of controls rating					Compliance Rating				
						A	B	C	D	NP	1	2	3	4	NR
405.	5.1	5.18	R	2	4					✓					✓
406.	5.1	5.19(1)	R	NR	5					✓					✓
407.	5.1	5.19(2)	R	NR	5					✓					✓
408.	5.1	5.19(3)	R	2	4					✓					✓
410.	5.1	5.19(6)	R	NR	5	✓					✓				
416.	5.1	5.21(5)	R	2	4					✓					✓
417.	5.1	5.21(6)	R	2	4					✓					✓
435.	5.1	5.27	R	2	4					✓					✓
448.	5.1	6.1(2)	R	2	4	✓					✓				
451.	5.1	7.2(1)	R	NR	5	✓					✓				
453.	5.1	7.2(4)	R	2	4					✓					✓
454.	5.1	7.2(5)	R	2	4					✓					✓
455.	5.1	7.5	R	2	4	✓					✓				
456.	5.1	7.6(1)	R	2	4					✓					✓
457.	5.1	8.1(1)	R	NR	5					✓					✓
458.	5.1	8.1(2)	R	NR	5					✓					✓
459.	5.1	8.1(3)	R	NR	5					✓					✓
460.	5.1	8.1(4)	R	2	4					✓					✓
461.	5.1	8.3(2)	R	NR	5					✓					✓

3.11 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 Corporation's Operating Licence were examined and referred to throughout the audit process.

3.11.1 Audit Results and Recommendations

Summary of significant results

There are 2 non-compliances

3.11.2 Compliance elements requiring Corrective measures

There

Table of Current Audit Non Compliances/Recommendations

A. Resolved during current Audit period

Manual Ref.	Non Compliance/Controls improvement (Rating / Legislative Obligation / Details of Non Compliance or inadequacy of controls)	Date Resolved (& management action taken)	Auditors comments
Nil			

B Unresolved at end of current Audit period



Manual Ref.	Non Compliance/Controls improvement (Rating / Legislative Obligation / Details of Non Compliance or inadequacy of controls)	Date Resolved (& management action taken)	Auditors comments
69	A2 Electricity Industry Customer Transfer Annex 6 clause A6.2(b) An automated reply to Western Power emails not established.	20/10/2015 – Procedures implemented to send reply to all Western Power emails.	No further action required.
124	B2 Retail Licence condition 16.1 Not all annual reports submitted on time.	20/10/2015 – Control procedures have been implemented to ensure future reports are on time.	No further action required.

3.11.3 Suggestions for improvement

There are no suggestions for improvement.

3.11.4 Post Audit Implementation Plan

The Licensee will address any post audit actions but there are no actions to be given in a post audit plan as corrections have already been made.

3.12 Detailed findings

The following sets out the audit findings

3.12.1 Audit work undertaken

We conducted interviews and enquiries to:

- Understand the control environment by determining the responsibility matrix and key control points
- Obtain the policies and procedures for managing licensed areas; and
- Identify the information systems and processes employed to manage licensed areas
- Determine the level of understanding of the systems and processes for managing 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.

3.13 Audit evidence

- Retail Licence



- Financial statements and statement of compliance with Australian Accounting standards.
- Licence fee invoices, journal entries
- ERA annual returns
- Verifiable consent file
- Sample transfers
- Portal screen captures.
- Financial reports
- Access Contract (ETAC)
- ERA Approval of auditor - 2015 Audit and Review - ERL020- - Amanda Energy Pty Ltd
- Letter from ERA Approving Audit Plan
- Advice from Western Power that daily transfers had been extended to 100.





3.14 Audit Findings - Details

The following sets out the audit findings

3.14.1 Electricity Industry Customer Transfer Code – Licence Conditions and Obligations

Item 6 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1
Licence: Retail		
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 checked="" type="checkbox"/>	Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfers on portal, Portal screen captures		
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"/>
Transfers in the audit period (864) took place using the Western Power portal which constrains data requests to exit points. The portal does not allow data requests for more than one NMI at a time.		
Issues		
None		
Recommendations		
None		

Item 7 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1
Licence: Retail		
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 checked="" type="checkbox"/>	Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfers on portal. Portal screen captures		
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 5933 data requests. All transfers are conducted electronically with the portal. The portal does not allow data requests for more than the prescribed number (20) per day. However the Licensee has sought and obtained Western Power approval to extend this to 100 per day.		
Issues		
None		
Recommendations		
None		

Item 8 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	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 ☐ Compliance ☐

Evidence: interviewed Office Manager, Senior Data Analyst. Documents: verifiable consent forms

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

All customers have verifiable consent. There have been requests for historical consumption data on the Portal but all with current verifiable consents. There has been no need to withdraw a request because of no verifiable consent.

Issues

None

Recommendations

None

Item 9 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	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 ☐ Compliance ☐

Evidence: interviewed Office Manager, Senior Data Analyst. Documents: client file

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There have been no withdrawn requests.

Issues

None

Recommendations

None

Item 16 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1
--	-------------------------------------	------------------------

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 ☒ Compliance ☒

Evidence: interviewed Office Manager, Senior Data Analyst. Documents: client file

Process ☒ Outcome ☒ Output ☒ Reporting ☒ Compliance ☒

There have been quotes for supply. A written consent is maintained on file. Amanda maintains a contestable customer's historical consumption data for its own internal purposes only.

Issues

None

Recommendations

None



Item 17 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating 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 checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>		
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: client 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 requests not to aggregate data.		
Issues		
None		
Recommendations		
None		

Item 18 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1
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 checked="" type="checkbox"/> Compliance <input checked="" type="checkbox"/>		
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: client 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"/>		
No data has been disclosed. A written consent is maintained on file. Amanda maintains a consent for internal purposes only.		
Issues		
None		
Recommendations		
None		

Item 19 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating 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 Office Manger, Senior Data Analyst. Documents: Verifiable consent forms		
Process <input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>		
Verifiable consent forms sighted. As any outgoing customers would be less than 2 years old retention cannot be verified. All VCFs are maintained in both electronic and hard copy formats. Internal procedures require that an electronic copy of all documents be maintained perpetually. There are external drives for data security and hard copy of all VCFs.		



Issues
None
Recommendations
None

Item 23 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
Licence: Retail									
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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Sample transfer on portal. Portal screen captures, client 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"/>
Customer transfers were carried out with Western Power Portal which constrains customer transfer requests to single requests for exit points. The portal does not allow transfer requests for more than one NMI at a time. Western Power is responsible for allocating NMIs to exit points.									
Issues									
None									
Recommendations									
None									

Item 24 Electricity Industry (Licence Conditions) Regulations regulation 5(2)		Adequacy of controls rating A		Compliance rating 1										
Licence: Retail														
Electronics A retailer must submit a separate customer transfer request form as either a new customer transfer request or to reverse an erroneous transfer.														
Observations														
Documents		<input checked="" type="checkbox"/>	Compliance		<input checked="" type="checkbox"/>									
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Sample transfer on portal. Portal screen captures, client 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"/>
All transfers are conducted electronically with the portal. The portal provides for transfer reasons of either "Erroneous Transfer" or "New Customer Transfer" and requires that one of them be checked as a condition of acceptance. Amanda has not transferred a customer in error. A transfer was requested but as the customer was already contracted to another retailer the transfer did not proceed but will do so when that contract is completed. There was no transfer and therefore no reversal.														
Issues														
None														
Recommendations														
None														



Item 25 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: ETAC									
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"/>
Amanda has an ETAC with a 5 year term and option to extend for a further 5 years. Western Power only issues authority to access the portal to those with an ETAC.									
Issues									
None									
Recommendations									
None									

Item 26 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Rated	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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Not applicable									
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 transfer was contracted to another retailer the transfer was completed. The transfer will take place and the functionality to cause a customer to be transferred to them (normal) or away from them after having first caused a customer to be erroneously transferred to them. They do not have the functionality to direct Western Power to transfer a customer to a particular party. Consequently, a notice of Erroneous Transfer informs Western Power to restore the customer to its original retailer.									
Issues									
None									
Recommendations									
None									

Item 27 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1
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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>	
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Portal screen, transfer documents				
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 transfers were requested electronically via the Western Power portal which is on the internet (TCP/IP as per definition of electronic) and this Portal constrains the number of transfers to less than the prescribed number and thus meets the requirement for the retailer. The portal limits customer transfers to the prescribed limit of 20, which limit also applies to transfers with the same nominated transfer date. However the Licensee has sought and obtained Western Power approval to extend this limit to 100 per day.				
Issues				
None				
Recommendations				
None				

Item 28 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating 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 checked="" type="checkbox"/>	Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Sample transfer on portal. Portal screen captures, client 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"/>
No customer Verifiable consents have ceased. Verifiable Consent to transfer is different from Verifiable Consent to access data. In practice, a customer would only be transferred after contractual terms have been agreed and the consent to transfer would be implicit in those terms in order to transfer to a new retailer. If a customer withdraws consent to transfer, the withdrawal of consent to transfer would		
Issues		
None		
Recommendations		
None		

Item 29 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1
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 checked="" type="checkbox"/>	Compliance <input checked="" type="checkbox"/>
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Sample transfer on portal. Portal screen captures, client 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"/>
Transfer requests nominated a transfer date as the requests used the Western Power portal which requires a transfer date to be nominated. Transfers are entered into the portal shortly before they are due to take place, bearing in mind that Western Power requires 3 business days in the metro area to transfer customers to the new retailer, and 5 business days for country		



areas. There were no erroneous transfers to reverse.
Issues
None
Recommendations
None

Item 30 Electricity Industry (Licence Conditions) Regulations regulation 5(2)		Adequacy of controls rating Not Performed		Compliance rating 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 Office Manger, Senior Data Analyst. Documents: Sample transfer on portal. Portal screen captures, client file									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No transfer requests have been withdrawn. So no costs to pay. Western Power issues a monthly invoice detailing chargeable transactions.									
Issues									
None									
Recommendations									
None									

Item 34 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence [REDACTED]									
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 in certain circumstances.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer on portal screen captures, client file. Email sighted									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no revised transfer dates..									
Issues									
None									
Recommendations									
None									

Item 39 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: 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 Office Manger, Senior Data Analyst. Documents: Sample transfers									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
All meters were read before transfers occurred. This provision relates to transfers between retailers. It entails the retailer accepting Western Power's reasonable endeavours to make a transfer on time. It is not practicable for the meter to be not read as contestable meters store data for 35 days and is usually read remotely.									
Issues									
None									
Recommendations									
None									

Item 40 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: 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 Office Manger, Senior Data Analyst. Documents: ETAC									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no changes to Amanda ETAC									
Issues									
None									
Recommendations									
None									

Item 43 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: Retail									
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 Office Manger, Senior Data Analyst. Documents: Sample transfers									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A transfer was requested but as the customer was already contracted to another retailer the transfer did not proceed but will do so when that contract is completed. The transfer will take place at a later date and there was no reversal. This provision applies when a retailer mistakenly instructs Western Power to allocate to it a new customer but as it was not transferred, no rights and obligations were affected..									
Issues									
None									



Recommendations
None

Item 44 Electricity Industry (Licence Conditions) Regulations regulation 5(2)		Adequacy of controls rating Not Performed		Compliance rating 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 Office Manger, Senior Data Analyst. Documents: Sample transfers									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A transfer was requested but as the customer was already contracted to another retailer the transfer did not proceed but will do so when that contract is completed. The transfer will take place at a later date and there was no reversal. No VCFs are older than 2 years to verify retention. All VCFs are maintained in both electronic and hard copy formats. Internal procedures require that an electronic copy of all documents be maintained perpetually									
Issues									
None									
Recommendations									
None									

Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2)		Adequacy of controls rating A	Compliance rating 1	
Licence: Retail				
Elect		Charges incurred after the transfer		
A previous customer has been billed for charges incurred after the transfer				
time				
Observations				
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>	
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Sample transfer, client 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"/>
Previous customers have not been billed for charges after the transfer. Invoicing is based only on meter data provided through the "Meter Data Notify" function; data delivered to that facility pertains only to a bone fide customer (albeit which may subsequently reversed and cancelled). Consequently, the customer is known to have transferred once its data commences or ceases to be provided through that facility.				
Issues				
None				
Recommendations				
None				



Item 48 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
Licence: Retail									
Electricity Industry Customer Transfer Code 5.1(4) A network operator and a retailer must comply with approved communication rules.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Sample transfers, portal screen captures									
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 transfers and data transactions are done electronically with the portal. Communication with Western Power's account manager is via email and standard formats.									
Issues									
None									
Recommendations									
None									

Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
Licence: 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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manger, Senior Data Analyst. Documents:, portal screen captures									
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 [REDACTED] transfer request identifies the exit point [REDACTED] with the portal. Western Power use [REDACTED] responsible for allocating NMIs to exit point [REDACTED]									
Issues									
None									
Recommendations									
None									

Item 52 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating 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 Office Manger, Senior Data Analyst. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The network operator has not made a request. The contact details were provided with the initial access contract. The physical address has changed (from 98 to 100) but the contact details									



(post office address, phone numbers and email) have not changed.
Issues
None
Recommendations
None

Item 53 Electricity Industry (Licence Conditions) Regulations regulation 5(2)		Adequacy of controls rating Not Performed		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 Office Manger, Senior Data Analyst. 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 changes to contact details. The physical address has changed (from 98 to 100) but the contact details (post office address, phone numbers and email) have not changed.														
Issues														
None														
Recommendations														
None														

Item 54 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
Licence: Retail									
Electrical services A network operator must provide communications to the applicable electrical services in accordance with the requirements of Annexe 6.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Not applicable									
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 use of the Western Power portal satisfies the requirements of Annexe 6. Fax and email are in accordance with the requirements. All transfers and data transactions are done electronically with the portal. Other communications are by email to the correct addresses.									
Issues									
None									
Recommendations									
None									

Item 55 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: 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 Office Manger, Senior Data Analyst. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No disputes have occurred.									
Issues									
None									
Recommendations									
None									

Item 56 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: 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 Office Manger, Senior Data Analyst. Documents: Not applicable		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No disputes have occurred.		
Issues		
None		
Recommendations		
None		

Item 57 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: 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 Office Manger, Senior Data Analyst. Documents: Not applicable		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
No disputes have occurred.		
Issues		
None		
Recommendations		
None		



Item 58 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: 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 Office Manger, Senior Data Analyst. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No disputes have occurred.									
Issues									
None									
Recommendations									
None									

Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: 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 Office Manger, Senior Data Analyst. Documents: Not applicable									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
No disputes have occurred.									
Issues									
None									
Recommendations									
None									

Item 68 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
Licence: 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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Portal screen views									
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 communication systems meet this requirement. There are back up systems/power supplies. All transfers and data transactions are done electronically with the portal which provides the prescribed availability. Other communications are by email and are available at all times.									
Issues									
None									



Recommendations

None

Item 69 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 2							
Licence: 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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Portal screens									
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 communication system meets the requirements. All transfers and data transactions are done electronically with the portal which provides the prescribed automatic responses. Procedures are to be implemented to send reply to all Western Power emails.									
Issues									
Automated reply to Western Power emails									
Recommendations									
Procedures are to be implemented to send reply to all Western Power emails.									

Item 70 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1							
Licence: Retail									
Electricity Industry Customer Transfer Annex 6 clause A6.6 The [REDACTED] self in the communication.									
Obs									
Doc									
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Portal screens									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The communication system meets the requirements. All transfers and data transactions are done electronically with the portal which provides the prescribed identification.									
Issues									
None									
Recommendations									
None									

Item 71 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating 1	
Licence: 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 checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>



Evidence: interviewed Office Manger, Senior Data Analyst. Documents: Portal screens									
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 communication system meets the requirements. There is a consistent response. All transfers and data transactions are done electronically with the portal which provides the prescribed consistency.									
Issues									
None									
Recommendations									
None									

3.14.2 Electricity Industry Act – Licence Conditions and Obligations

Item 101 Retail Licence condition 14.1	Adequacy of controls rating A	Compliance rating 1							
Licence: <i>Retail</i>									
<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 Office Manger, Documents: Compliance file. The licensee advised the Authority of the contract arrangements with the approval of the 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 has contracted with the auditor in accordance with the requirements.									
Issues									
None									
Recommendations									
None									

Item 105 Retail Licence condition 4.1	Adequacy of controls rating A	Compliance rating 1							
Licence: <i>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 Office Manger, Documents: Licence invoices, Compliance spreadsheet.									
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 paid the fees and within 30 days of ERA invoices.									
Issues									
None.									
Recommendations									
None									



Item 106 Retail Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: <i>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 type="checkbox"/> Compliance <input type="checkbox"/>		
Evidence: Interviewed Office Manger, Documents: Not Applicable		
Process <input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>		
The onus on network availability lies with Western Power, not the electricity retailer. Amanda has no capacity to minimize 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.		
Issues		
None		
Recommendations		
None		

Item 107 Retail Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: <i>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 Office Manger, Documents: Not Applicable.		
Process <input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>		
Amanda [REDACTED] over land.		
Issues		
None		
Recommendations		
None		

Item 110 Retail Licence condition 5.1	Adequacy of controls rating not Performed	Compliance rating Not Rated
Licence: <i>Retail</i>		
<i>Electricity Industry Act section 76</i> If a designation under section 71(1) of the Electricity Industry Act is in force a licensee must perform the functions of a retailer of last resort and must carry out the supplier of last resort plan if it comes into operation under section 70 of the Electricity Industry Act.		
Observations		
Documents <input type="checkbox"/> Compliance <input type="checkbox"/>		
Evidence: Interviewed Office Manger, Documents: Not Applicable.		
Process <input type="checkbox"/> Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>		
There has been no designation.		



Issues
None
Recommendations
None

Item 113 Retail Licence condition 5.1	Adequacy of controls rating A	Compliance rating 1							
Licence: <i>Retail</i>									
<i>Electricity Industry Act section 115(2)</i> A licensee that has, or is an associate of a person that has, access to services under an access agreement must not engage in conduct for the purpose of hindering or prohibiting access.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: Interviewed Office Manger, Documents: Lease payment journal entries.									
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 complaints about behaviour for the purpose of hindering or prohibiting access.									
Issues									
None									
Recommendations									
None									

3.14.3 Electricity Licences – Licence Conditions and Obligations

Item 119 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating 1							
Licence [REDACTED]									
<i>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 Office Manger. Documents Financial report summary. Financial auditors letter on 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 Licensee complies with Australian accounting standards.									
Issues									
None									
Recommendations									
None									

Item 120 Electricity Industry Act section 11	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: <i>Retail</i>		



Retail Licence condition 13.4 A Licensee must comply with any individual performance standards prescribed by the Authority.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger, 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.									
Issues									
None									
Recommendations									
None									

Item 121 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating 1							
Licence: <i>Retail</i>									
Retail Licence condition 14.2 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 Office Manger, Documents: The Licensee provided contracting arrangements to the Authority with the approval of the auditor. Compliance 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 Licensee has contracted with the auditor in accordance with the requirements.									
Issues									
None									
Recommendations									
None									

Item 123 Electricity Industry Act section 11	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: <i>Retail</i>									
Retail Licence condition 15.1 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 Office Manger, listed staff on site. Documents: Retail licence.									
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 nor was there a significant change in the circumstances upon which the licence was granted.									
Issues									
None									
Recommendations									
None									



Item 124 Electricity Industry Act section 11	Adequacy of controls rating B	Compliance rating 2							
Licence: <i>Retail</i>									
<i>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 Office Manager, Director. Documents: Annual returns.									
Process	<input checked="" type="checkbox"/>	Outcome	<input checked="" type="checkbox"/>	Output	<input checked="" type="checkbox"/>	Reporting	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>
The annual reports were completed but not all on time. Control procedures have been implemented to ensure future reports are on time. The reports were due on the last day of the audit period but one was overdue at this date.									
Issues									
Not report on time.									
Recommendations									
Control procedures have been implemented to ensure future reports are on time.									

Item 125 Electricity Industry Act section 11	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: <i>Retail</i>									
<i>Retail Licence condition 17.1&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 Office 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 [REDACTED]									
Issues									
None									
Recommendations									
None									

Item 126 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating 1							
Licence: <i>Retail</i>									
<i>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 Office Manager. Documents: Sample communication with ERA. Compliance spreadsheet.									
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 Authority did not require any notices. All material communication with the Authority is in writing.									
Issues									
None									

**Recommendations**

None

3.14.4 Electricity Industry Metering Code – Licence Conditions and Obligations (all licence condition Licence clause 5.1)

Item 324 Licence condition 5.1	Adequacy of controls rating A		Compliance rating 1						
Licence: <i>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 Office Manger, Documents: The Licensee has no meters. Some customers have bi directional meters									
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"/>
For all customers installing solar systems Amanda have worked to ensure their meter has been bidirectional enabled. The retailers are notified in the approval to connect to the network.									
Issues									
None									
Recommendations									
None									

Item 334 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence [REDACTED]									
<i>Electricity Industry Metering Code clause 3.3B</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 type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The Licensee is not aware of any outages. The meter reading verification process showed no outages.									
Issues									
None									
Recommendations									
None									

Item 364 Licence condition 5.1	Adequacy of controls rating Not Performed	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 Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The retailer has not installed any meters. As a retailer, all metering installations are requested through Western Power who then engages its staff to conduct any necessary works. The retailer's metering agent is Western Power so it is unnecessary for the retailer to conduct any physical metering works (installation, upgrades, etc).									
Issues									
None									
Recommendations									
None									

Item 371 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: Retail									
<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 type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There has been no advice of a meter discrepancy and no corrected data provided.									
Issues									
None									
Recommendations									
None									

Item 372 Licence condition 5.1	Adequacy of controls rating A	Compliance rating 1							
Licence: Retail									
<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 type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensees details have not changed.									
Issues									
None									
Recommendations									
None									



Item 373 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<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 type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters.		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The licensee is not aware of any inaccuracies in an item of standing data in the registry.		
Issues		
None		
Recommendations		
None		

Item 388 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<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 Office Manager. Documents: The Licensee has no meters.		
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 or the Licensee.		
Issues		
None		
Recommendations		
None		

Item 401 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 5.16</i> A user that collects or receives energy data from a metering installation must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed.		
Observations		
Documents	<input checked="" type="checkbox"/>	Compliance <input checked="" type="checkbox"/>
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters.		
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 retailer has no physical role in respect of metering.		
Issues		
None		



Recommendations
None

Item 402 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 5.17(1)</i> A user must provide standing data and validated (and where necessary substituted or estimated) energy data to the user's customer, to which that information relates, where the user is required by an enactment or an agreement to do so for billing purposes or for the purpose of providing metering services to the customer.		
Observations		
Documents	<input type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There are no meters to collect information or data from for billing. (Meters are the Network Operators under the Meter Code). The retailer is obligated to supply meter data to the customer on request and at no charge and would do so if there were any requests.		
Issues		
None		
Recommendations		
None		

Item 405 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 5.18</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 type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.		
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 energisation status. The retailer has no physical role in respect of metering.		
Issues		
None		
Recommendations		
None		

Item 406 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 5.19(1)</i> A user must, when requested by the network operator acting in accordance with good electricity industry practice, use reasonable endeavours to collect information from customers, if any, that assists the network operator in meeting its obligations described in the Code and elsewhere.		



Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
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 407 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
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 type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The only connection points are with Western Power. There has been no request to collect and maintain a record of the address, site and customer attributes other than that provided at transfer. This information is collected by Western Power and the retailer takes it on trust unless there is a manifest error.									
Issues									
None									
Recommendations									
None									

Item 408 Licence condition 5.1	Adequacy of controls rating Not Performed	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 type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
The only connection points are with Western Power and the Licensee is not aware of any changes in attributes									
Issues									
None									
Recommendations									
None									



Item 410 Licence condition 5.1	Adequacy of controls rating A	Compliance rating 1							
Licence: Retail									
<i>Electricity Industry Metering Code clause 5.19(6)</i> A user must use reasonable endeavours to ensure that it does not notify the network operator of a change in an attribute that results from the provision of standing data by the network operator to the user.									
Observations									
Documents	<input checked="" type="checkbox"/>	Compliance	<input checked="" type="checkbox"/>						
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters. Email 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"/>
Western Power sends by email a notice of changed Standing Data attributes, which the licensee acknowledges without further correspondence to Western Power.									
Issues									
None									
Recommendations									
None									

Item 416 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: Retail									
<i>Electricity Industry Metering Code clause 5.21(5)</i> A Code participant must not request a test or audit unless the Code participant is a user and the test or audit relates to a time or times at which the user was the current user or the Code participant is the IMO.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A retailer may request a test only if at the time of the request it is the incumbent retailer. Amanda has made no such requests.									
Issues									
None									
Recommendations									
None									

Item 417 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: Retail									
<i>Electricity Industry Metering Code clause 5.21(6)</i> A Code participant must not make a test or audit request that is inconsistent with any access arrangement or agreement.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
A retailer may request a test only if at the time of the request it is the incumbent retailer. Amanda has made no such requests.									



Issues
None
Recommendations
None

Item 435 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 5.27</i> Upon request, a current user must provide the network operator with customer attribute information that it reasonably believes are missing or incorrect within the timeframes prescribed.		
Observations		
Documents	<input type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. 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 requests. This information is collected by Western Power and the retailer takes it on trust unless there is a manifest error.		
Issues		
None		
Recommendations		
None		

Item 448 Licence condition 5.1	Adequacy of controls rating A	Compliance rating 1
Licence: Retail		
<i>Electricity Industry Metering Code clause 6.1(2)</i> A user of the network must, in accordance with its contract, comply with the rules, procedures and criteria prescribed by the network operator.		
Observations		
Documents	<input type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
The Licensee has an ETAC and has complied with rules, procedures, agreements and criteria prescribed. The Licensee uses only the Western Power portal to make all metering transactions and thus meet compliance with Western Power's rules, procedures, agreements and criteria and further there have been no complaints.		
Issues		
None		
Recommendations		
None		

Item 451 Licence condition 5.1	Adequacy of controls rating A	Compliance rating 1
Licence: Retail		
<i>Electricity Industry Metering Code clause 7.2(1)</i> Code participants must use reasonable endeavours to ensure that they can send and receive a notice by post, facsimile and electronic communication and must notify the network operator of		



a telephone number for voice communication in connection with the Code.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Western Power has the Licensee's relevant addresses and telephone number.									
Issues									
None									
Recommendations									
None									

Item 453 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: Retail									
<i>Electricity Industry Metering Code clause 7.2(4)</i> A Code participant must notify its contact details to a network operator with whom it has entered into an access contract within 3 business days after the network operator's request.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Western Power has the Licensee's relevant addresses. There was no request in the audit period.									
Issues									
None									
Recommendations									
None									

Item 454 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: Retail									
<i>Electricity Industry Metering Code clause 7.2(5)</i> A Code participant must notify any affected network operator of any change to the contact details it notified to the network operator at least 3 business days before the change takes effect.									
Observations									
Documents	<input type="checkbox"/>	Compliance	<input type="checkbox"/>						
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
There have been no address changes.									
Issues									
None									
Recommendations									
None									

Item 455 Licence condition 5.1	Adequacy of controls rating A	Compliance rating 1
Licence: Retail		



Electricity Industry Metering Code clause 7.5

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 ☐ Compliance ☐

Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There has been no disclosure of confidential information.

Issues

None

Recommendations

None

Item 456

Licence condition 5.1

Adequacy of controls
rating
Not Performed

Compliance rating
Not Rated

Licence: Retail

Electricity Industry Metering Code clause 7.6(1)

A Code participant must disclose or permit the disclosure of confidential information that is required to be disclosed by the Code.

Observations

Documents ☐ Compliance ☐

Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There has been no confidential information to be disclosed.

Issues

None

Recommendations

None

Item 457

Licence condition 5.1

Adequacy of controls
rating
Not Performed

Compliance rating
Not Rated

Licence: Retail

Electricity Industry Metering Code clause 8.1(1)

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 ☐ Compliance ☐

Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.

Process ☐ Outcome ☐ Output ☐ Reporting ☐ Compliance ☐

There have been no disputes (the Licensee has no disputes with Western Power).

Issues

None

Recommendations

None



Item 458 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 8.1(2)</i> If a dispute is not resolved within 10 business days after the dispute is referred to representative negotiations, the disputing parties must refer the dispute to a senior management officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.		
Observations		
Documents	<input type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no disputes (the Licensee has no disputes with Western Power).		
Issues		
None		
Recommendations		
None		

Item 459 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 8.1(3)</i> If the dispute is not resolved within 10 business days after the dispute is referred to senior management negotiations, the disputing parties must refer the dispute to the senior executive officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.		
Observations		
Documents	<input type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no disputes (the Licensee has no disputes with Western Power).		
Issues		
None		
Recommendations		
None		

Item 460 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
<i>Electricity Industry Metering Code clause 8.1(4)</i> If the dispute is resolved by representative negotiations, senior management negotiations or CEO negotiations, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution.		
Observations		
Documents	<input type="checkbox"/>	Compliance <input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: The Licensee has no meters.		
Process	<input type="checkbox"/>	Outcome <input type="checkbox"/> Output <input type="checkbox"/> Reporting <input type="checkbox"/> Compliance <input type="checkbox"/>
There have been no disputes (the Licensee has no disputes with Western Power).		



Issues
None
Recommendations
None

Item 461 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated							
Licence: <i>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 type="checkbox"/>	Compliance	<input type="checkbox"/>						
The Licensee has no meters.									
Process	<input type="checkbox"/>	Outcome	<input type="checkbox"/>	Output	<input type="checkbox"/>	Reporting	<input type="checkbox"/>	Compliance	<input type="checkbox"/>
Evidence: Interviewed Office Manger. Documents: There have been no disputes (the Licensee has no disputes with Western Power).									
Issues									
None									
Recommendations									
None									

