

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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McGill Engineering Services Pty Ltd

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Mr Martin 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 (1 September 2015 to 31 August 2017) 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 five 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 16 January 2018



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1 Electricity Retail Licence Audit

2 Executive Summary

This performance audit was conducted in accordance with the guidelines issued by the Economic Regulation Authority (*ERA*) for the audit period (1 September 2015 to 31 August 2017).

2.1 Overall Conclusion

In my opinion, the Licensee has maintained a high level of compliance with the licence conditions. There were 4 non-compliances requiring corrective actions. There are no issues with the integrity of reporting to the *ERA* 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 8) of this report.

2.2 Audit period

This audit covers the period 1 September 2015 to 31 August 2017.

2.3 The Licensee

The licensee (ERL 20) is a small retailer (currently 183 customers -87 large consumers and 95 small). The business is as an electricity retailer.

2.4 Previous audit non-compliances and recommendations

There are 2 previous non-compliances or recommendations

Reference (Compliance rating/ Auditors' Date Further action (no./year) Legislative Obligation/ Recommendation Resolved (Yes/No/Not Application) details of the issue) or action taken Details of further action is a commendation required including recommendation B. Resolved during current Audit period Example of the issue Example of the issue	licable) &
B. Resolved during current Audit period	
B. Resolved during current Addit period	
Reference (Compliance rating/ Auditors' Date Further action	required
(no./year) Legislative Obligation/ Recommendation Resolved (Yes/No/Not App details of the issue) Details of furth required including	licable) &
recommendat if applicable	



	Current Audit Non-Com		endations								
There are 5 actions that are non-compliant with 4 actions requiring corrective measures:											
	2.5.1 Compliance elem	ents requiring correct	ive measure	es							
here are 5	issues from current audit.										
2.5 Issue	es from current audit										
			requi								
	details of the issue)			ils of further action							
(no./year)	Legislative Obligation/	Recommendation		/No/Not Applicable) &							
C. Onresolved at end of current Audit period Reference (Compliance rating/ Auditors' Further action required											
	C. Unresolved at end of	current Audit period	l								
1											
	on time.	future reports are on time.									
2/2015 124	B2 Retail Licence condition 16.1 Not all annual reports submitted	20/10/2015 – Control procedures have been implemented to ensure	2015	No further action required							
	An automated reply to Western Power emails not established.	emails.									
69	A2 Electricity Industry Customer Transfer Annex 6 clause A6.2(b)	20/10/15 – Procedures implemented to send reply to all Western Power emails.	2015.	No further action required.							

(Rating / Legislative Obligation / Details of Non-Compliance or inadequacy of controls)

Image: Nil Image: Nil Image: Nil												
Nil	Nil											
В	Unresolved at e	nd of current Audit per	iod									
Manua	al Non-Com	pliance/Controls Date	e Resolved (& management	Auditors								

Wanual	Non-Compliance/Controls	Date Resolved (& management	Auditors
Ref.	improvement	action taken)	comments



(Rating / Legislative Obligation / Details of Non-Compliance or inadequacy of controls

	inadequacy of controls)		
1/2017 105	B2 Electricity Industry Act section 17(1) Not all quarterly payments on time.	Adjust the payment procedure to meet requirements. This has been completed. (31/10/2017)	No further action required.
2/2017 119	A2 Retail Licence condition 12.1 Reports not to Australian accounting standards.	While not to the required standards are adequate for the purpose.	No further action required.
3/2017 272	B2 Code of Conduct clause 10.1(1) Notice of tariff increases not given	Implement procedure to give notice of tariff increases	Complete by 31 December 2017
4/2017 280	B2 Code of Conduct clause 10.3A There are no notices about service standard payments	Provide a procedure to and issue notices at least once a year about service standard payments. This has been completed. (07/11/2017)	No further action required
5/2017 292	B2 Code of Conduct clause 10.10(2) Code was not on website	The Code is now on the website.	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 (*ERA*) not less than once in every period of 2 years with a performance audit conducted by an independent expert acceptable to the *ERA*.

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 *ERA* determines should form part of the *performance audit*.

The licence also provides for individual licence conditions namely - the *ERA* 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. Note the audit period covers manuals from 2014 to 2017. The audit reflects all the applicable manuals and note that the 2017 changes do not affect retailers.

The Licensee appointed McGill Engineering Services Pty Ltd to conduct the audit of its Retail Licence with approval from the ERA. 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 by K McGill in accordance with the ERA Guidelines, in a manner consistent with Australian Auditing Standards ASAE 3000 Standard on assurance engagements, ASA 500: Audit Evidence, ASA 530 Audit sampling and AS/NZS 31000:2009: Risk Management.

. 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.

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.

The Licensee has no small use consumers on non-standard contracts, so items 79 to 98, 132 to 135 have been deleted. There are no prepaid meters so items 245 to 271 have been deleted. There are no residential customers, so items 136, 147, 191-196, 200, 202-227, 231, 279, 294, 295 have been deleted. There are no non-contestable customers, so items 275-278 are deleted.

3.3 Inherent Limitations

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

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

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

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

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

² Economic Regulation Authority: Electricity Compliance Reporting Manual September 2014, July 2016, October 2016, July 2017



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.

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:

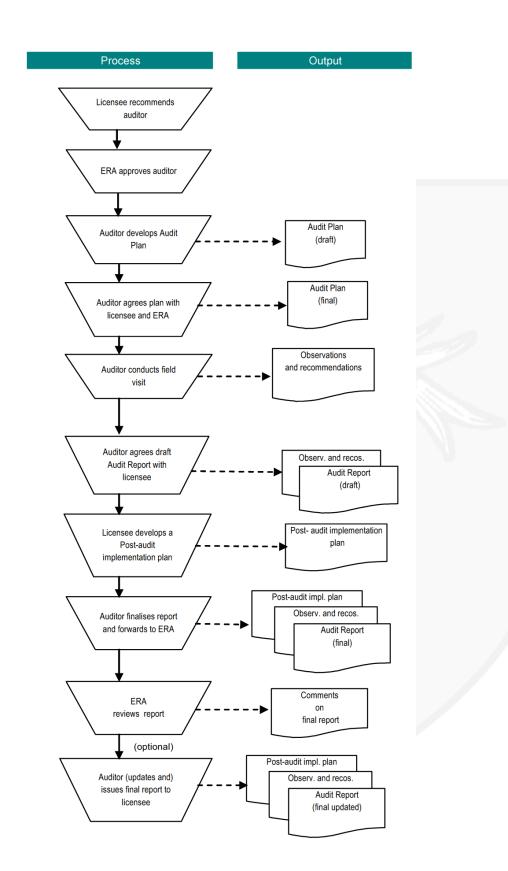
- no work has been undertaken by the auditor, or a member of the audit/review team, for the Licensee within the previous 24 months; or
- the auditor is currently undertaking for the Licensee; or
- the auditor has submitted an offer, or intends to submit an offer, to undertake for the Licensee within 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 audit was conducted in accordance with flow chart:

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 September 2017 to November 2017. 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 ERA guidelines for performance audits require that the audit considers:

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

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 four 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 18)

3.10 Audit compliance and controls rating scales

Performance	e audit compliance and contro	Is rating a	scales
Adequa	acy of Controls Rating		Compliance Rating
Rating	Description	Rating	Description
А	Adequate controls - no improvement needed	1	Compliant



В	Generally adequate controls – improvement needed	2	Non-compliant – minor impact on customers or third parties
С	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 (CI.=clause, Sch.=schedule)	Obligations under condition	Licence Type (R = Retail)	Type	Audit Prio	rity						Adequacy of Controls		Compliance Rating	(NR = Not Rated)
	ce Conditio			try	Priority			су о			Co	mplia	ance	e Rat	ing
(Licen	ice Conditio	ons) Regula	ation	omor				rati						4	
Trans	ations - Ele fer Code C	lause	usity Cusi	omer		A	В	С	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.	5(2)	4.4(2)	R	2	4					✓					✓
27.	5(2)	4.5(1)	R	2	4	✓					✓				
28.	5(2)	4.6(3)	R	2	4					✓					✓
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)	5.2	R	2	4	✓					✓				
48A ⁴ .	5(2)	6.1	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	✓					✓		-	-	

 3 r = Regulation

⁴ Inserted October 2016

McGill Engineering Services Pty Ltd



	nce Condition	ons - Electri ions) Regul		try	Priority		equa atrols				Co	ompl	lian	се	Rat	ing
		ectricity Indu		omer		A	В	С	D	NF	21	2	3	3	4	NR
	, sfer Code (,					-					-			
55.	5(2)	7.1(1)	R	NR	5					✓						✓
56.	5(2)	7.1(2)	R	NR	5					✓						✓
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					1						 ✓
68 ⁵ .	5(2)	Annex 6 clause A6.2(a)	R	NR	5	~					~					
69 ⁶ .	5(2)	Annex 6 clause A6.2(b)	R	2	4	~					~					
70 ⁷ .	5(2)	Annex 6 clause A6.6	R	NR	5	~					~					
71 ⁸ .	5(2)	Annex 6 clause A6.7	R	NR	5	~					~					
		ns – Licence stomer Cont		Retail	Priority		equa ntrol				Con	nplia	ance	e R	atin	g
Oblig regu	ations- (Cus lations	stomer Con	tracts)			cor A	equa ntrol: B			NP	1	nplia 2	ance 3		atin 4	g NR
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Oblig regu 78. 100. Licer Oblig 101. 105. 106 107. 108. 109. 110 111 113 Licer Secti	ations- (Cus lations 5.1 28.1 28.1 14.1 4.1 5.1 5.1 24.1 25.4 27.1 21.1 5.1 5.1 21.1 5.1 s.1	stomer Con <u>s51</u> r.38 ns – Licence ctricity Indust <u>s⁹13(1)</u> <u>s17(1)</u> <u>s31(3)</u> <u>s41(6)</u> <u>s54(1)</u> <u>s54(2)</u> <u>s76</u> <u>s101</u> <u>s115(2)</u> ns – Electricit	R R Clause – R ry Act Sect R R R R R R R R R R R R R R R R R R R	2 Retail ion NR 2 NR 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 9 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7 7	Cor A A A A A A A A A A A A A A A A			ing D of D D D D D D D D D D D D D	✓ NP ✓ ✓	1 ✓ Con 1 ✓ ✓ ✓	2 nplia 2 √		e R	4 atin 4 	9 NR 9 V V V V V

⁵ Deleted October 2016 applies up to that date.

 $^{\rm 6}$ Deleted October 2016 applies up to that date.

⁷ Deleted October 2016 applies up to that date.

⁸ Deleted October 2016 applies up to that date.

⁹ s = Section of Act

McGill Engineering Services Pty Ltd



Sectio	n	ns – Electricity		Act	Priority			acy (s rat			Cor	mplia	ance	Rati	ng
Obliga	itions- Lice	ence Clause –	Retail			А	В	С	D	NP	1	2	3	4	NR
116.	s11	24.2	R	NR	5					>					~
117.		24.3	R	NR	5					✓					✓
118.		25.1	R	2	4					✓					✓
119.	s11	12.1	R	2	4	✓						√			
120.	s11	13.4	R	2	4					~					√
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	2 R	2	4					>					~
126.	s11	18.1	R	2	4	✓					✓ -				
		ns – Licence d			Priority			acy o			Cor	nplia	ance	Rati	ng
		ctricity Industry	Code of					s rat						<u> </u>	
Cona	uct Clause	9				А	В	С	D	NP	1	2	3	4	NF
	1/14	Asses	Marke	ting Li	cence co	ondit	ion	23.1							
129.	s82	2.1	R	2	4	✓					✓				
130.	s82	2.2(1)	R	2	4	 Image: A set of the set of the					✓				
131.	s82	2.2(2)	R	2	4	<					✓				
137.	s82	2.4(2)	R	2	4	✓					✓				
138.	s82	2.5(1)	R	2	4					✓					 Image: A start of the start of
139.	s82	2.5(2)	R	2	4	✓					✓				
140.	s82	2.6	R	2	4					✓					✓
141.	s82	2.9	R	2	4					✓					✓
142.	s82	2.10	R	2	4					✓					✓
				Co	onnectio	n						-			
143.	s82	3.1(1)	R	2	4					✓					<
144.	s82	3.1(2)	R	2	4					✓					✓
			6.9		Billing										
145.	s82	4.1	R	2	4	✓					✓				
146.	s82	4.2(1)	R	2	4				1	✓					✓
148.	s82	4.2(3)	R	2	4					✓					✓
149.	s82	4.2(4)	R	2	4					✓					 Image: A start of the start of
150.	s82	4.2(5)	R	2	4					✓					✓
	s82	4.2(6)	R	2	4					✓					√
	s82	4.3(1)	R	2	4					✓					√
	s82	4.3(2)	R	2	4					✓					√
	s82	4.4	R	2	4	✓					✓				
155.		4.5(1)	R	2	4	 ✓ 					 ✓ 				
156.		4.5(3)	R	2	4					✓					√
	s82	4.6(1)	R	2	4	✓					✓				
158.		4.7	R	NR	4	· •					· •				
159.		4.8(1)	R	2	4					✓					 Image: A start of the start of
160.		4.8(2)	R	2	4	-			-	· •					· •
161.		4.8(3)	R	2	4					· ✓					· •
162.		4.8(3)	R	2	4		-			· •					· ✓
163.		4.9	R	∠ NR	5		-		-	• ✓					✓
163.		4.10	R	2	5 4					▼ ✓					▼ ▼
				2	4					▼ ✓					▼ ▼
165.		4.11(2)	R		4	-	-		-	▼ ✓					✓ ✓
166.		4.12(1)	R	2			-			 ✓ 		_	_		✓ ✓
	s82	4.13	R	2	4	✓	-		-	•					-
168.		4.14(1)	R	NR	5	•					✓				-
169.		4.14(2)	R	2	4		-			✓ ✓		_	_		 ✓
170.		4.14(3)	R	2	4					√					 ✓
171.		4.15	R	2	4					✓					 ✓
172.	s82	4.16(1)(a)	R	2	4					\checkmark					\checkmark



		s – Licence c icity Industry			Priority			acy (s rat			Cor	nplia	ance	Rati	ng
	uct Clause	,				A	B	C	D	NP	1	2	3	4	NR
173.	s82	4.16(1)(b)	R	2	4					 ✓ 					 Image: A start of the start of
174.		4.16(2)	R	2	4					✓					 Image: A start of the start of
175.	s82	4.16(3)	R	2	4					✓					√
176.		4.17(2)	R	2	4					✓					✓
176A.		4.17(3)	R	NR	5					\checkmark					✓
177.		4.18(2)	R	NR	5					✓					✓
178.		4.18(3)	R	2	4					✓					✓
179.		4.18(4)	R	NR	5					✓					✓
180.	s82	4.18(6)	R	NR	5					✓					✓
181.	s82	4.18(7)	R	NR	5					✓					✓
182.	s82	4.19(1)	R	2	4					✓					 Image: A start of the start of
183.	s82	4.19(2)	R	NR	5					✓					 Image: A set of the set of the
184.	s82	4.19(3)	R	2	4					~					 Image: A second s
185.	s82	4.19(4)	R	NR	5					~					 Image: A second s
186.	s82	4.19(7)	R	NR	5					✓					 Image: A set of the set of the
				F	Payment	1	2								
187.		5.1	R	2	4	✓					✓				
188.	s82	5.2	R	2	4	✓					✓				
189.		5.3	R	2	4	✓					✓				
190.		5.4	R	2	4	✓					✓				
197.	s82	5.7(1)	R	2	4	✓ -					~				
198.	s82	5.7(2)	R	2	4					~					✓
199.	s82	5.7(4)	R	2	4	✓					✓				
201.	s82	5.8(2)	R	2	4	✓					✓				
201A.	s82	5.9	R	NR	5					~					✓
			yment Dif			nano	cial	Har	dsh	ip					
228.	s82	6.11	R	2	4					~					 Image: A second s
			C: 24	Disc	connecti	ion	_								
229.	s82	7.1(1)	R	2	4					✓					✓
230.	s82	7.2(1)	R	2	4					✓					 Image: A set of the set of the
232.	s82	7.4(1)	R	2	4					✓					 Image: A set of the set of the
234.	s82	7.6	R	1	2					✓					 Image: A set of the set of the
235.	s82	7.7(1)	R	1	2	✓					 Image: A set of the set of the				
236.	s82	7.7(2)	R		2					✓					 Image: A start of the start of
240.		7.7(6)	R	2	4					✓					 Image: A set of the set of the
241.	s82	7.7(7)	R	2	4					√					✓
		-			onnecti	on					-	_			
242.		8.1(1)	R	2	4					✓					✓
243.	s82	8.1(2)	R	2	4					✓					✓
					& Com	nun	icat	tion							_
272.		10.1(1)	R	2	4		✓					 Image: A start of the start of	_		
273.		10.1(2)	R	2	4					√			_		√
274.		10.1(3)	R	2	4					✓			_		✓
280.		10.3A	R	2	4		~					✓			
281.	s82	10.4	R	2	4					✓					 Image: A start of the start of
282.	s82	10.5	R	2	4					✓					~
290.		10.9	R	NR	5	✓					✓				
291.	s82	10.10(1)	R	2	4		ļ.,			✓		_			✓
292.		10.10(2)	R	2	4		~					✓			
297	S82	10.12(2)	R	2	4					✓					✓
		[Compla	1	1		esol	utio	n						_
298.	s82	12.1(1)	R	2	4	✓					√				
299.		12.1(2)	R	2	4	✓					✓				
300.		12.1(3)	R	2	4					✓					✓
301.	s82	12.1(4)	R	2	4					\checkmark					\checkmark



Obligations- Electricity Industry Code of					Priority		Adequacy of controls rating				Compliance Rating				
Cond	uct Clause					А	В	С	D	NP	1	2	3	4	NR
302.	s82	12.2	R	2	4	✓					✓				
303.	s82	12.3	R	2	4					✓					✓
304.	s82	12.4	R	2	4					✓					✓
	•		•	R	eporting	3									
305.	s82	13.1	R	2	4	✓					✓				
306.	s82	13.2	R	2	4	✓					~				
307.	s82	13.3	R	2	4	<					>				
			Se	rvice St	andard	Pay	mer	nts							
308.	s82	14.1(1)	R	2	4					~					✓
310.	s82	14.2(1)	R	2	4					~					✓
312.	s82	14.3(1)	R	2	4					 Image: A set of the set of the					 Image: A second s
315.	s82	14.7(1)	R	2	4					~					 Image: A set of the set of the
					C		1.1				-				_
		is – Licence			Priority						Cor	nplia	nce	Rati	ng
Clause		ricity Industr	y metering	j Code			ntrol			1				1.	1
Claus	6					А	В	С	D	NP	1	2	3	4	NR
324.	5.1	3.3B	R	2	4	~					~				
339.	5.1	3.11(3)	R	2	3					~					 Image: A second s
364.		3.27	R	2	4					~					~
371.	5.1.	4.4(1)	R	NR	5					✓					 Image: A second s
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	2	5					✓					✓
401.	5.1	5.16	R	2	4					✓					✓
402.	5.1	5.17(1)	R	2	4					✓					√
405.	5.1	5.18	R	2	4					✓					✓
406.		5.19(1)	R	NR	5					✓					✓
407.		5.19(2)	R	NR	5					✓					✓
408.	5.1	5.19(3)	R	2	4					✓					✓
410.	5.1	5.19(6)	R	NR	5	\checkmark					✓				
416.	5.1	5.21(5)	R	2	4					✓					✓
417.	_	5.21(6)	R	2	4					✓					✓
435.		5.27	R	2	4					✓					✓
448.		6.1(2)	R	2	4	✓					✓				
451.		7.2(1)	R	NR		✓					✓				
453.		7.2(4)	R	2	4					✓					✓
454		7.2(5)	R	2	4					✓					✓
455		7.5	R	2	4	✓					✓				
456		7.6(1)	R	2	4					✓					✓
457		8.1(1)	R	NR						✓					✓
458		8.1(2)	R	NR						~					 Image: A second s
459		8.1(3)	R	NR						~					 Image: A second s
460		8.1(4)	R	2	4					~					~
461	5.1	8.3(2)	R	NR	5					~					\checkmark

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 5 non-compliances.

McGill Engineering Services Pty Ltd



3.11.2 Compliance elements requiring Corrective measures

There are 4 Issues requiring corrective action:

Table of C	Current Audit Non-Complia	nces/Recommendations	
A. Res	solved during current Audit p	eriod	
Manual	Non-Compliance/Controls	Date Resolved (& managem	ent Auditors
Ref.	improvement	action taken)	comments
	(Rating / Legislative		
	Obligation / Details of Non-Compliance or inadequacy of controls)		
Nil	10.0	1100 cm	
B Unre	solved at end of current Aud	it period	
Manual	Non-Compliance/Controls	Date Resolved (& managem	ent Auditors
Ref.	improvement	action taken)	comments
	(Rating / Legislative		
	Obligation / Details of Non-Compliance or inadequacy of controls)		
1/2017 105	B2 Electricity Industry Act section 17(1)	Adjust the payment procedure to meet requirements. This has been completed (31/10/2017)	No further action required.
	Not all quarterly payments on time.		
2/2017 119	A2	While not to the required standards are adequate for the purpose.	No further action required.
	<i>Retail Licence condition 12.1</i> Reports not to Australian accounting standards.		
3/2017 272	B2 Code of Conduct clause 10.1(1)	Implement procedure to give notice of tariff increases	Complete by 31 December 2017
	Notice of tariff increases not given		
4/2017 280	B2 Code of Conduct clause 10.3A	Provide a procedure to and issue notices at least once a year about service standard payments.	No further action required
	There are no notices about service standard payments	This has been completed. (07/11/2017)	
5/2017 292	B2 Code of Conduct clause 10.10(2)	The Code is now on the website.	No further action required
	Code was not on website		

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 with one item requiring action and no actions to be given in a post audit plan where corrections have already been made for 3 items.

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 accountant.
- 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 2017 Audit and Review ERL020- Amanda Energy Pty Ltd
- Letter from ERA Approving Audit Plan
- Performance report
- Complaints process
- Sample bills



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	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 3.2		
A retailer must submit a separate data request for	or each exit point unless	otherwise agreed.
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I	Data Analyst. Document	s: Sample transfers
on portal, Portal screen captures		
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 2
Transfers in the audit period (280) took place us constrains data requests to exit points. The porta		
one NMI (exit point) at a time.	al uues nut alluw uata le	quests for more than
Issues		
Nana		
None Recommendations		
None		
Item 7	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
A retailer, unless otherwise agreed, must submit submit more than a prescribed number of standi day. Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I	Data Analyst. Document	s: Sample transfers
on portal. Portal screen captures		
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance
There have been 6,861 data requests. All transference portal. The portal does not allow data requests for day. However, the Licensee has sought and obtained and obtain the sought and obtain the soug	or more than the prescril	bed number (20) per
to 100 per day. This was only required for a short		
Issues		
None		
Recommendations		
None		
Item 8	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating Not Performed	Not Rated
Regulations regulation 5(2) Licence: Retail	NULFEIIUIIIIEU	NUL NALEU
	(0)	
Electricity Industry Customer Transfer Code 3.5	3)	
Accill Engineering Services Dtyletd		Dogo 10
IcGill Engineering Services Pty Ltd		Page 19



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. The licensee's procedures check for verifiable
consent before requesting all types of consumption data.
Issues
None
Recommendations
None

Item 9	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail	127	
Electricity Industry Customer Transfer Code 3.6	(2)	
A retailer must pay any reasonable costs incurre	ed by the network operat	or for work performed
in relation to a request for historical consumption	n data that has been sub	sequently withdrawn.
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senior I	Data Analyst. Documen	ts: client file
Process Outcome Output	□ Reporting □	Compliance
There have been no withdrawn requests.		
Issues		
None		
Recommendations	()	
None		
Item 16	Adequacy of controls	Compliance rating

Item 16					Ac	equacy of contro	ols	Compliance rating
Electricity Industry (Licence Conditions)					rat	ing		
Regulations regulation 5(2)								1
Licence: Retail								
Electricity Industry Customer Transfer Code 3.9(1)								
						e customer to pro		
customer with a	a qu	otation for the	supp	ly of ele	ectricity	by the retailer c	or to	initiate a transfer of
that contestable	e cu	istomer.						
Observations								
Documents	N	Compliance		\checkmark				
Evidence: inte	rvie	wed Office Ma	anage	r, Senic	or Data	Analyst. Docum	nent	s: client file, data
base.								
Process	Ŋ	Outcome	N	Output	\square	Reporting	Q	Compliance 🗹
There have bee	en c	uotes for sup	oly. A	written	conse	nt is maintained	on fi	ile. Amanda maintains
a contestable c	a contestable customer's historical consumption data for its own internal purposes only.							
Amanda Energy's metering and retail pricing data base does not allow for the association of								
meter data fron	meter data from another customer.							
Issues								



	-	-	-	-	-
N	o	n	e		

None		
Item 17	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	e e in prior realing
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Inductory Customer Transfer Code 2.0	(0)	
Electricity Industry Customer Transfer Code 3.9 A retailer must not aggregate a contestable cust		antion data with that
of other contestable customers for the purposes		
requested not to do so by the customer.	of internal business dev	elopment, ii
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I	Data Analyst Document	ts: client file
Process I Outcome I Output	☑ Reporting ☑	Compliance Ø
There have been no requests not to aggregate of		
Issues		
None		
Recommendations		
None		
Item 18	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 3.9	(3)	
A retailer must not disclose a contestable custor		erson without the
verifiable consent of the contestable customer, e		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I	ata Analyst Documon	te: client file
Process I Outcome I Output	☑ Reporting ☑	Compliance
No data has been disclosed. A written consent is		
contestable customer's historical consumption d		
Issues		
None		
Recommendations	- V	
None		
Item 19	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 3.9	· · /	
A retailer must keep a copy of the verifiable cons	sent received from a cor	ntestable customer for
two years.		

Observations

Documents	V	Compliance	V

Evidence: interviewed Office Manager, Senior Data A	nalyst. Documents: Verifiable consent
forms.	



Manifiah la sa	\checkmark	Outcome	$\mathbf{\nabla}$	Output	\square	Reporting	$\mathbf{\nabla}$	Compliance	\checkmark
verifiable col	nsent	forms sighted.	. All V	/CFs are r	nainta	ained in both el	ectro	onic and hard cop	у
formats. Inte	rnal p	rocedures requ	uire t	hat an eleo	ctroni	c copy of all do	cum	ents be maintaine	ed
						y and hard cop			
		not to delete a				,			
Issues									
None									
Recommend	datior	าร							
None									
None									
Item 23			-1141			equacy of contr	OIS	Compliance rati	ng
		(Licence Cond	aitior	is)	rati	ng			
Regulations					A			1	
Licence:		etail			1.				
Electricity Inc	dustry	Customer Tra	insfe	r Code 4.2	(2)				
						equest for eacl	h exi	t point unless	
otherwise ag	reed.		1					-	
Observation	IS					2			
Documents		Compliance							
Evidence: in	tervie	wed Office Ma	anag	er, Senior	Data	Analyst. Docu	ment	ts: Sample transfe	er on
		en captures, cli				1 13			
Process	V	Outcome	V	Output	V	Reporting	\checkmark	Compliance	\checkmark
	nsfer		out				ch co	onstrains custome	er
								llow transfer requ	
								ating NMIs to exit	
points.									
Issues									
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Recommend	datior	ıs			_				
Recommend None	datior	IS							Ŧ
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None	datior	IS			Ade	equacy of contr	ols	Compliance rati	ng
None Item 24		-	ditior			equacy of contr	ols	Compliance rati	ng
None Item 24 Electricity Ind	dustry	(Licence Con	ditior	ns)	rati		ols	Compliance rati	ng
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None Item 24 Electricity Ind Regulations Licence: Electricity Ind A retailer's re	dustry regula Re dustry	(Licence Cond ation 5(2) etail Customer Tra for a transfer f	insfe must	r Code 4.3	A A	the customer to	ransf	fer request form a	15
None Item 24 Electricity Ind Regulations Licence: Electricity Ind A retailer's re either to tran	dustry regula Re dustry eason sfer a	(Licence Cond ation 5(2) etail Customer Tra for a transfer for a t	insfe must ustor	r Code 4.3 be specifi ner to the	A A	the customer to	ransf	1	15
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None Item 24 Electricity Ind Regulations Licence: Electricity Ind A retailer's re either to tran request or to Observation Documents Evidence: in portal. Portal Process All transfers a reasons of ei	dustry regula Re dustry eason sfer a rever is I scree scree scree ittervie scree ittervie	(Licence Cond ation 5(2) etail Customer Tra for a transfer contestable contestable contest	anage ient f	r Code 4.3 be specifimer to the ansfer. r, Senior ile Output ally with th r" or "New	ed in retaile	the customer the c	ransf tted t ment	1 fer request form a the customer tran ts: Sample transfe Compliance	as isfer er on
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None Item 24 Electricity Ind Regulations Licence: Electricity Ind A retailer's re either to tran request or to Observation Documents Evidence: in portal. Portal Process All transfers reasons of ei them be chea Issues	dustry regula Re dustry eason sfer a rever scree scree scree ither " cked a	(Licence Cond ation 5(2) etail Customer Tra for a transfer contestable contestable contest	anage ient f	r Code 4.3 be specifimer to the ansfer. r, Senior ile Output ally with th r" or "New	ed in retaile	the customer the c	ransf tted t ment	1 fer request form a the customer tran ts: Sample transfe Compliance ides for transfer	as isfer er on



Item 25	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 4 A retailer may only submit a customer transfer	er request if it has an acces	s contract for the
network, unless it is to reverse an erroneous	transfer.	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, SenioProcessImage: OutcomeImage: OutcomeImage: Output		
Process	V	•••••
Western Power only issues authority to acces		
Issues	C. 9	
None	1000	
Recommendations		
None		
Item 26	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating Not Derformed	Not Rated
Regulations regulation 5(2) Licence: Retail	Not Performed	
Electricity Industry Customer Transfer Code 4		
Documents Image: Compliance Image: Compliance Evidence: interviewed Office Manager, Senio Process Image: Control Process Image: Control	Reporting	Compliance 🛛
A transfer was requested but the customer was not proceed. The transfer did take place at a	anted the transfer at a later	time, the transfer di
have the functionality to cause a customer to		
them after having first caused a customer to I		
have the functionality to direct Western Powe Consequently, a notice of Erroneous Transfe		
to its original retailer.		
Issues		
None		
Recommendations		
None		
		-
Item 27	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	rating A	1
Licence: Retail		·
Electricity Industry Customer Transfer Code 4	1 5(1)	
A retailer must submit a customer transfer red		st not submit more
than a prescribed number of customer transfe	er requests in a business da	
nominated transfer date, unless otherwise ag		
Gill Engineering Services Ptv Ltd		Page 2



Observations

Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I transfer documents	Data Analyst. Document	s: Portal screen,
Process I Outcome I Output	☑ Reporting ☑	Compliance 🗹
All transfers were requested electronically via th		
internet (TCP/IP as per definition of electronic) a		
transfers to less than the prescribed number and	d thus meets the require	ment for the retailer
The portal limits customer transfers to the presc		
transfers with the same nominated transfer date		
obtained Western Power approval to extend this		
for a short period.		
Issues		
None		
Recommendations	699	
None	Tugal	
Item 28	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Customer Transfer Code 4.6	(3)	1000
A retailer must withdraw a customer transfer req		ustomer's verifiable
consent ceases to apply before the transfer occ		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I	Data Analyst Document	s: Sample transfer on
portal. Portal screen captures, client file		
Process I Outcome I Output	☑ Reporting ☑	Compliance 🗹
No customer Verifiable Consents have ceased. Verifiable Consent to access data. In practice, a contractual terms have been agreed and the cor terms in order for the retailer to fulfil its obligation would constitute breach of contract. There were of Verifiable Consent.	customer would only be nsent to transfer would b ns. Equally, withdrawal c	e transferred after e implicit in those of consent to transfer
Issues		
None		
Recommendations		
None	- V	
Item 29	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 4.7		
A retailer must nominate a transfer date in a cus specified timeframes, except if the customer trans	stomer transfer request ir	
transfer.		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I		
	Data Analyst. Document	s: Sample transfer
on portal. Portal screen captures, client file	Data Analyst. Document	s: Sample transfer
on portal. Portal screen captures, client file	Data Analyst. Document	s: Sample transfer
on portal. Portal screen captures, client file	Data Analyst. Document	s: Sample transfer



Process	\mathbf{A}	Outcome	$\mathbf{\nabla}$	Output	\checkmark	Reporting	$\mathbf{\nabla}$		\checkmark
								estern Power po	
								to the portal sho	
								equires 3 busine	SS
		ere were no er					מכנ	usiness days for	
Issues	5. 111		lone		15 10	levelse.			
None									
Recommend	atio	าร							
None									
Item 30					Ade	equacy of contr	nle	Compliance rat	ina
	lustrv	(Licence Con	ditior	is)	rati		013	Compliance rat	ing
Regulations				,		Performed		Not Rated	
Licence:	R	etail				1			
Electricity Inc	lustry	Customer Tra	nsfe	r Code 4 8	(2)	ALC: NO			
						a network ope	rator	for providing an	d/or
		f a customer ti							
Observation	S						-		
Documents		Compliance			-		- 7		
			anage	er, Senior I	Data	Analyst. Docu	men	ts: Sample transf	fer on
		en captures, cl							
Process		Outcome		Output		Reporting		Compliance	
								vas no transfer to	
							io co	sts to pay. Wes	tern
Issues	am	onthly invoice	detai	ling charge	eable	transactions.			
None			- A	_					
Recommend	latio	15		_					
None									
					\sim				
Item 34	_		_		Ade	equacy of contr	ols	Compliance rat	ina
	lustrv	, (Licence Con	ditior	is)		ng	0.0	e e inpliance ra	g
Regulations I				- /		Performed		Not Rated	
Licence:	R	etail,							
Electricity Inc	lustrv	Customer Tra	nsfe	r Code 4 9	(6)				
						ed nominated t	trans	fer date in certai	n
circumstance				0					
Observation	S								
Documents		Compliance					1		
			anage	er, Senior I	Data	Analyst. Docu	men	ts: Sample trans	fer on
		ures, client file		ail sighted				·	
Process		Outcome		Output		Reporting		Compliance	
								ble. A request fo	or a
	resu	Ited in a withd	rawn	transfer re	ques	t and no transf	er oc	ccurred.	
Issues									
None									
Recommend	latio	าร							
None									
I									



E.

Item 39 Electricity Industry (Licence Conditions)	Adequacy of controls	Compliance rating
Regulations regulation 5(2)	rating Not Performed	Not Rated
Licence: Retail		Normalou
Electricity Industry Customer Transfer Code 4.1	1(3)	
A network operator and the retailer must take ce		table customer's
meter is not read on the nominated transfer date		
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senior I		
Process Outcome Output		Compliance
All meters were read before transfers occurred.		
retailers. It entails the retailer accepting Western		
transfer on time. It is not practicable for the mete	er to be not read as cont	estable meters store
data for 35 days and is usually read remotely.	C10	
	1	
None Recommendations	(and the second	
Recommendations		
None		
Item 40	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	g
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Customer Transfer Code 4.12	2(3)	
The parties to an access contract must negotiate		ssary amendments to
the access contract arising from certain circums		
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senior I	ata Analyst. Document	ts: ETAC
Process	□ Reporting □	Compliance
There have been no changes to Amanda ETAC		
Issues		
None		
None Recommendations		
Recommendations		

Item 43					A	lequacy o	f controls	Compl	iance rati	ng
Electricity Inc	lustry	(Licence Con	dition	s)	ra	ting				
Regulations r	egula	ation 5(2)			N	ot Perform	ed	Not Ra	ated	
Licence:	Re	etail								
Electricity Inc	lustry	Customer Tra	ansfer	Code 4	.15					
In the case of	f a tra	insfer to revers	se an	erronec	ous tra	nsfer, a no	etwork op	erator an	d all affeo	cted
		plicable AEMC								
		affected contest								
erroneous tra	Insfer	not occurred.				,				
Observation	s									
		1								
Documents		Compliance								
Evidence: in	tervie	wed Office Ma	anage	r, Senic	or Data	Analyst.	Documer	nts: Samp	ole transfe	ers
Process		Outcome		Output		Reporti	ng 🗆	Compl	iance	

A transfer was requested but the customer required another date and the transfer did not proceed. The transfer took 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.

Recommendations None Item 44 Adequacy of controls rating Regulations regulation 5(2) Compliance rating 1 Electricity Industry (Licence Conditions) A 1 Regulations regulation 5(2) A 1 Licence: Retail 1 Electricity Industry Customer Transfer Code 4.16 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request to reverse an erroneous transfer. Observations Documents Image: Compliance Imag			
None Adequacy of controls rating A Compliance rating 1 Regulations regulation 5(2) A 1 Licence: Retail 1 Electricity Industry Customer Transfer Code 4.16 Averifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Image: Compliance Image: Compliance </th <th>None</th> <th></th> <th></th>	None		
Item 44 Adequacy of controls rating Compliance rating Regulations regulation 5(2) A 1 Licence: Retail 1 Electricity Industry Customer Transfer Code 4.16 A 1 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Image: Compliance Image: Compliance <td< th=""><th>Recommendations</th><th></th><th></th></td<>	Recommendations		
Electricity Industry (Licence Conditions) rating 1 A 1 Licence: Retail Electricity Industry Customer Transfer Code 4.16 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Image: Compliance <	None		
Electricity Industry (Licence Conditions) rating 1 A 1 Licence: Retail Electricity Industry Customer Transfer Code 4.16 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Image: Compliance <			
Electricity Industry (Licence Conditions) rating 1 A 1 Licence: Retail Electricity Industry Customer Transfer Code 4.16 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Image: Compliance <	<u> </u>		
Regulations regulation 5(2) A 1 Licence: Retail Electricity Industry Customer Transfer Code 4.16 A A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request to reverse an erroneous transfer. Observations Documents Ø			Compliance rating
Licence: Retail Electricity Industry Customer Transfer Code 4.16 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request to reverse an erroneous transfer. Observations Documents ☑ Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfers Process ☑ Outcome ☑ Process ☑ Outcome ☑ Compliance ☑ A transfer was requested but the customer required another date and the transfer did not proceed. The transfer took place at a later date and there was no reversal. 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 Compliance rating rating at the set of the transfer of the transfer took place at a later date and there was no reversal. All VCFs are maintained perpetually. Issues None Recommendations Recommendations None Recommendations Compliance rating rating at the set of the transfer took place at a later date and there was no reversal. All VCFs are maintained perpetually. Compliance rating rating at the set of the transfer took place at a later date and there was no reversal. All VCFs are maintained perpetually. Issues None Recommendations			1
Electricity Industry Customer Transfer Code 4.16 A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Documents Image: Compliance Image:		<u>A</u>	I
A verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request must be retained by the incoming retailer for two years, except in the case of a customer transfer request to reverse an erroneous transfer. Observations Compliance Compliance Output Reporting Compliance Output Reporting Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance Compliance A transfer was requested but the customer required another date and the transfer did not proceed. The transfer took place at a later date and there was no reversal. All VCFs are maintained in both electronic and hard copy formats. Internal procedures require that an electronic copy of all documents be maintained perpetually.			
Documents Image: Compliance Image: Com	A verifiable consent given by a contestable cus customer transfer request must be retained by the case of a customer transfer request to reve	stomer in relation to the lo the incoming retailer for t	wo years, except in
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfers Process Image: Compliance			
Process Image: Compliance Image: Compl			
A transfer was requested but the customer required another date and the transfer did not proceed. The transfer took place at a later date and there was no reversal. 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 Recommendations None Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Dosenvations Documents			
proceed. The transfer took place at a later date and there was no reversal. 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 Recommendations None Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents ☑ Compliance ☑ Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process ☑ Outcome ☑ Output ☑ Reporting ☑ Compliance ☑ Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents ☑ Evidence: Interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process ☑ Previous customers have not been billed for charges after the transfer. Invoicing is based onlon 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	electronic copy of all documents be maintained		s require that an
None Adequacy of controls rating A Compliance rating 1 Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Adequacy of controls rating A Compliance rating 1 Licence: Retail Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents ☑ Compliance ☑ Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Compliance ☑ Previous customers have not been billed for charges after the transfer. Invoicing is based onlo 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	None		
Item 45 Adequacy of controls rating A Compliance rating 1 Electricity Industry (Licence Conditions) Regulations regulation 5(2) A 1 Licence: Retail 1 Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents I Compliance I Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Compliance I Process I Outcome I Reporting I Compliance Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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		
Item 45 Adequacy of controls rating A Compliance rating 1 Electricity Industry (Licence Conditions) Regulations regulation 5(2) A 1 Licence: Retail 1 Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents I Compliance I Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Compliance I Process I Outcome I Reporting I Compliance Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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			
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Electricity Industry Customer Transfer Code 4.17 A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process Image: Outcome Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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	Item 45		Compliance rating
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A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer. Observations Documents ☑ Compliance ☑ Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process ☑ Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	rating	
time, except in the case of an erroneous transfer. Observations Documents Image: Compliance Documents Image: Compliance Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process Image: Outcome Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail	rating A	
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Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process Image: Outcome Image: Output Image: Reporting Image: Ompliance Image: O	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of	rating A 17 customer for charges incu	1
Evidence: interviewed Office Manager, Senior Data Analyst. Documents: Sample transfer, client file Process Image: Outcome Image: Output Image: Reporting Image: Ompliance Image: O	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transf	rating A 17 customer for charges incu	1
client file Process Image: Outcome Image: Output Im	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transf Observations	rating A 17 customer for charges incu	1
Process Image: Compliance Image: Compl	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transfer Observations Documents Ø	rating A 17 customer for charges incur fer.	1
Previous customers have not been billed for charges after the transfer. Invoicing is based onl 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	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transf Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior	rating A 17 customer for charges incur fer.	1
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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	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transfer Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior client file Process Image: Outcome	rating A 17 customer for charges incur er. r Data Analyst. Document	Tred after the transfer
cancelled). Consequently, the customer is known to have transferred once its data commences or ceases to be provided through that facility. Issues	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transfer Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior client file Process Image: Outcome Image: Output Previous customers have not been billed for chr	rating A 17 customer for charges incur er. r Data Analyst. Document Ø Reporting Ø narges after the transfer. I	ts: Sample transfer, Compliance ☑ nvoicing is based on!
commences or ceases to be provided through that facility. Issues None	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transfer Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior client file Process Image: Outcome Image: Output Previous customers have not been billed for choon meter data provided through the "Meter Date	rating A 17 customer for charges incur er. Data Analyst. Document Data Analyst. Document Compares after the transfer. In the Notify" function; data de	1 tred after the transfer ts: Sample transfer, Compliance Invoicing is based only elivered to that facility
Issues None	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transfer Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior client file Process Image: Outcome Image: Output Previous customers have not been billed for chon meter data provided through the "Meter Dat pertains only to a bone fide customer (albeit with the customer (rating A 17 customer for charges incur er. Data Analyst. Document Data Analyst. Document Marges after the transfer. I ta Notify" function; data de hich may subsequently re	ts: Sample transfer, Compliance
	Item 45 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A previous retailer must not bill a contestable of time, except in the case of an erroneous transfer Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior client file Process Image: Outcome Image: Output Previous customers have not been billed for chon meter data provided through the "Meter Dat pertains only to a bone fide customer (albeit will cancelled). Consequently, the customer is known	rating A 17 customer for charges incur er. T Data Analyst. Document Data Analyst. Document Parges after the transfer. If ta Notify" function; data de hich may subsequently re- wn to have transferred on	ts: Sample transfer, Compliance
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None

Item 48	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2) Licence: Retail	A	1
Electricity Industry Customer Transfer Code 5.2		
A network's communication rules apply in respe		n communication
between the network operator and a retailer und	er this Code.	
Observations		
Documents 🗹 Compliance 🗹		
Documents ☑ Compliance ☑ Evidence: interviewed Office Manager, Senior I	Data Analyst Document	s: Sample transfers
portal screen captures	Data Analyst. Document	.s. dampie transfers,
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 🗹
All transfers and data transactions are done electronic		. Communication with
Western Power's account manager is via email	and standard formats.	
Issues	24.1	
None		
Recommendations		
None		
	KAN	
Item 48A	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	Compliance rating
Regulations regulation 5(2)	A	1
Licence: Retail	•	
Electricity Industry Customer Transfer Code 6.1		
All notices must be in writing and delivered as d	escribed in subclauses 6	.1(a)-(c).
O bservations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I		
Evidence. Interviewed Onice Manager, Senior L	Jata Analyst. Document	s: Sample transfers,
portal screen captures	Jata Analyst. Document	s: Sample transfers,
portal screen capturesProcessImage: Colspan="3">OutcomeImage: Colspan="3">Output	 ☑ Reporting 	Compliance 🗹
Portal screen captures Process Image: Control of the strength of the strengt of the strength of the strength of the strength of the strength o	 ☑ Reporting 	Compliance 🗹
portal screen capturesProcessImage: Colspan="3">OutcomeImage: Colspan="3">Output	 ☑ Reporting 	Compliance 🗹
portal screen captures Process Image: Constraint of the screen captures All notices are done electronically with the porta	 ☑ Reporting 	Compliance 🗹
portal screen captures Process ☑ Outcome ☑ Output All notices are done electronically with the porta Issues	 ☑ Reporting 	Compliance 🗹
portal screen captures Process Image: Comparison of the portal screen captures All notices are done electronically with the porta Issues None	 ☑ Reporting 	Compliance 🗹
portal screen captures Process ☑ Outcome ☑ Output All notices are done electronically with the porta Issues None Recommendations	 ☑ Reporting 	Compliance 🗹
portal screen captures Process Image: Outcome Image: Output All notices are done electronically with the porta Issues None Recommendations None	☑ Reporting ☑ I. All methods were avail	Compliance 🗹 able.
portal screen captures Process Image: Outcome Image: Output All notices are done electronically with the porta Issues None Recommendations None Item 49	☑ Reporting ☑ I. All methods were avail All methods were avail Adequacy of controls	Compliance 🗹
portal screen captures Process Image: Comparison of the portal screen captures All notices are done electronically with the portal screen captures Issues None Recommendations None Item 49 Electricity Industry (Licence Conditions)	☑ Reporting ☑ I. All methods were avail	Compliance 🗹 able.
portal screen captures Process Image: Outcome Image: Output All notices are done electronically with the porta Issues None Recommendations None Item 49	Image: Control state Image: Control state Adequacy of controls rating	Compliance 🗹 able.
portal screen captures Process Image: Outcome Image: Output All notices are done electronically with the porta Issues Image: Output None Image: Output Recommendations Image: Output None Image: Output Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Image: Output Licence: Retail	Image: Control state Image: Control state Adequacy of controls rating A	Compliance I
portal screen captures Process Image: Outcome Image: Output All notices are done electronically with the porta Issues Image: Output None Image: Output Recommendations Image: Output None Image: Output Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Image: Output	Image: Control stating Image: Control stating Adequacy of controls rating A	Compliance able. Compliance rating 1
portal screen captures Process ☑ Outcome ☑ Output All notices are done electronically with the porta Issues Issues None Recommendations None Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 6.2 A licensee's notice in relation to a data request of connection point to which it relates.	Image: Control stating Image: Control stating Adequacy of controls rating A	Compliance able. Compliance rating 1
portal screen captures Process ☑ Outcome ☑ Output All notices are done electronically with the porta Issues Issues None Recommendations None Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 6.2 A licensee's notice in relation to a data request of the second secon	Image: Control stating Image: Control stating Adequacy of controls rating A	Compliance able. Compliance rating 1
portal screen captures Process ☑ Outcome ☑ Output All notices are done electronically with the porta Issues Issues None Recommendations None Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 6.2 A licensee's notice in relation to a data request of connection point to which it relates.	Image: Control stating Image: Control stating Adequacy of controls rating A	Compliance able. Compliance rating 1
portal screen captures Process Image: Outcome Image: Output All notices are done electronically with the portal issues Issues None Image: Process of the portal issues Recommendations Image: Process of the portal issues None Image: Process of the portal issues Item 49 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Image: Process of the portal issues Licence: Retail Electricity Industry Customer Transfer Code 6.2 A licensee's notice in relation to a data request of connection point to which it relates. Observations	Image: Control state Image: Control state Adequacy of controls rating A or customer transfer require	Compliance I



Process 🛛 Outcome 🖾 Output		Compliance 2
The Licensee's notice in relation to a data rec		
connection point. All transfers and data transa		
Western Power uses the NMI as the unique id allocating NMIs to connection (exit) points.	dentiller. Western Power is	responsible for
Issues		
None Recommendations		
None		
Item 52	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	Compliance rating
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		Horrialou
Fleetrigity Industry Quetomor Transfer Code (2 4/4)	
Electricity Industry Customer Transfer Code 6 A retailer must notify its contact details to a ne		o husingga dava of a
request.	etwork operator within three	e business days of a
Observations		100
Documents Compliance	an Data Analista Data	to: Not or all and to
Evidence: interviewed Office Manager, Senio		
Process Outcome Output The set of the se		Compliance
The network operator has not made a reques	t. The contact details were	provided with the
initial access contract.		
Issues		
None		
Recommendations		
None		
Item 53	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Customer Transfer Code 6	6.4(2)	
A retailer must notify any change in its contact		ator at least three
business days before the change takes effect		
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senio	r Data Analyst Documen	ts: Not applicable
Process D Outcome D Output		Compliance
There have been no changes to contact detail		
Issues	113.	
None		
Recommendations		
None		
Item 54	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 6	6.6	



A network operator or a retailer must send required electronic communications to the applicable electronic communication address, in accordance with the communication rules. **Observations**

Documents	$\mathbf{\Lambda}$	Compliance		\checkmark						
Evidence: int	tervie	wed Office Ma	anager	, Senio	or Data	Analyst.	Docur	nent	s: Not applicab	le
Process	\checkmark	Outcome	☑ (Dutput		Report	ing	\checkmark	Compliance	\checkmark
The use of the	e We	stern Power p	ortal sa	atisfies	the re	quiremer	nts the	com	munication rule	s. Fax
and email are	in a	ccordance with	n the re	quirer	nents.	All transfo	ers and	l dat	a transactions a	are
done electron	ically	with the porta	al. Othe	er com	munica	itions are	by em	ail to	o the correct	
addresses.										
Issues										
None										_
Recommend	ation	16								_
Recommenta	anoi	13								
None										
					-	-				_
Item 55					Ad	equacy c	of contro	ols	Compliance ra	ating
Electricity Ind	ustry	(Licence Con	ditions))	rat	ing				
Regulations r	egula	ation 5(2)			No	t Perform	ned		Not Rated	
Licence:	Re	etail						12		
Electricity Ind	ustry	Customer Tra	ansfer (Code 7	7.1(1)			C,		
For a dispute	in re	spect of a mat	ter und	ler or i	n conn	ection with	th the E	Elect	ricity Industry	
Customer Tra	ansfe	r Code, any di	sputing	party	must r	neet with	in five b	ousii	ness days of a	
request from	anoth	ner disputing p	arty an	d atte	mpt to	resolve th	ne disp	ute b	by negotiations	in
good faith.										
Observation	s									

Documents		Compliance							
Evidence: int	ervie	wed Office M	anagei	r, Senio	or Dat	a Analyst.	Documer	nts: Not applical	ole
Process		Outcome		Output		Reporti	ng 🗆	Compliance	
N <u>o disputes h</u>	ave o	occurred.							
lssues									
None					1				
Recommend	atior	าร			6				
None									

Item 56	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Customer Transfer Code 7.1	(2)	
If the negotiations in 7.1(1) of the Electricity Indu the dispute within 10 days after the first meeting executive officer of each disputing party who mu negotiations in good faith.	, the dispute must be ret	ferred to the senior
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senior I	Data Analyst. Documen	ts: Not applicable
Process Outcome Output	□ Reporting □	Compliance
No disputes have occurred.		
Issues		
None		



Recommendations

No	one	

Item 57	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Customer Transfer Code 7.1	(3)	
If the dispute is resolved, the disputing parties m		d signed record of the
resolution and adhere to the resolution.		
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senior I	Data Analyst. Document	ts: Not applicable
Process Outcome Output	□ Reporting □	Compliance 🛛
No disputes have occurred.		
Issues	111	-
None	E.	
Recommendations		
None		
Item 58	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Customer Transfer Code 7.2	(4)	
A disputing party that refers a dispute to the arb		arbitrator with
prescribed details of the nature of the dispute.	•	
prescribed details of the nature of the dispute. Observations		
Observations		
Observations Documents Compliance		
Observations Documents □ Compliance □ Evidence: interviewed Office Manager,	Data Analyst. Document	ts: Not applicable
Observations Documents □ Compliance □ Evidence: interviewed Office Manager, Senior I Process □ Outcome □ Output		
Observations Documents □ Compliance □ Evidence: interviewed Office Manager,	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Vidence: interviewed Office Manager, Senior I Process Outcome Issues	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Output No disputes have occurred. Output Out	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltes Output No disputes have occurred. Issues None Recommendations	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Output No disputes have occurred. Issues	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltes Output No disputes have occurred. Issues None Recommendations	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltes Output No disputes have occurred. Issues None Recommendations	Data Analyst. Document	ts: Not applicable Compliance
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltage Output No disputes have occurred. Issues None Recommendations None	Data Analyst. Document	ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Volte Output No disputes have occurred. Issues None Recommendations None	Data Analyst. Document	ts: Not applicable Compliance
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Vodisputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions)	Data Analyst. Document	ts: Not applicable Compliance
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Volume Output No disputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Data Analyst. Document Image: Decision of the second state of	ts: Not applicable Compliance
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltage Output No disputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail	Data Analyst. Document	ts: Not applicable Compliance □ Compliance rating Not Rated
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltage Output No disputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 7.3 A disputing party must at all times conduct itself achieving the objectives in clause 7.3(1) of the E	Data Analyst. Document	ts: Not applicable Compliance □ Compliance rating Not Rated ected towards
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Vodisputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 7.3 A disputing party must at all times conduct itself	Data Analyst. Document	ts: Not applicable Compliance □ Compliance rating Not Rated ected towards
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltage Output No disputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 7.3 A disputing party must at all times conduct itself achieving the objectives in clause 7.3(1) of the E	Data Analyst. Document	ts: Not applicable Compliance □ Compliance rating Not Rated ected towards
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Voltage Output No disputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 7.3 A disputing party must at all times conduct itself achieving the objectives in clause 7.3(1) of the E Observations	Data Analyst. Document □ Reporting 0 Reporting 0 Reporting 0 Reporting 0 Reporting 0	ts: Not applicable Compliance Compliance rating Not Rated ected towards mer Transfer Code. ts: Not applicable
Observations Documents Compliance Evidence: interviewed Office Manager, Senior I Process Outcome Vodisputes have occurred. Issues None Recommendations None Item 59 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 7.3 A disputing party must at all times conduct itself achieving the objectives in clause 7.3(1) of the E Observations Documents Compliance	Data Analyst. Document □ Reporting 0 Reporting 0 Reporting 0 Reporting 0 Reporting 0	ts: Not applicable Compliance □ Compliance rating Not Rated ected towards mer Transfer Code.



Issues	
None	
Recommendations	
None	

Item 68	Adaguacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance failing
Regulations regulation 5(2)	A	1
Licence: Retail		•
Electricity Industry Customer Transfer Code Ani		
A network operator and a retailer must use reas		
information system on which electronic commun	lications are made is ope	erational 24 nours a
day and 7 days a week. Observations	6.9	
Documents 🗹 Compliance 🗹	14000	
Evidence: interviewed Office Manager, Senior I		
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 🗹
The communication systems meet this requirem		
supplies. All transfers and data transactions are		
provides the prescribed availability. Other comm		and are available at
all times. This requirement ceased in October 2	016.	
Issues		
None		
Recommendations		
None		
None		
Item 69	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail	1.0	
Electricity Industry Customer Transfer Annex 6	clause A6 2(b)	
A network operator and a retailer must establish		te an automated
response message for each electronic commun		
	ication tother than an au	tomated response
		tomated response
message) received at the electronic communica Observations		tomated response
message) received at the electronic communica Observations		tomated response
message) received at the electronic communications Observations Documents Image: Compliance	ation address.	
message) received at the electronic communications Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior Image: Seni	ation address. Data Analyst. Document	s: Portal screens
message) received at the electronic communications Observations Documents ☑ Evidence: interviewed Office Manager, Senior I Process ☑ Outcome ☑	ation address. Data Analyst. Document I ☑ Reporting I ☑	s: Portal screens Compliance
message) received at the electronic communications Observations Documents ☑ Compliance ☑ Evidence: interviewed Office Manager, Senior I Process ☑ Outcome ☑ Output The communication system meets the requirem	ation address. Data Analyst. Document ☑ Reporting ☑ ents. All transfers and da	s: Portal screens Compliance I
message) received at the electronic communications Observations Documents ☑ Evidence: interviewed Office Manager, Senior Process ☑ Outcome ☑ The communication system meets the requirem done electronically with the portal which provide	ation address. Data Analyst. Document ☑ Reporting ☑ ents. All transfers and dates the prescribed automa	s: Portal screens Compliance ata transactions are tic responses.
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message) received at the electronic communications Observations Documents Image: Compliance Evidence: interviewed Office Manager, Senior I Process Image: Outcome Process Image: Outcome Output The communication system meets the requirem done electronically with the portal which provide Procedures in place to send reply to all Western October 2016. Issues None	ation address. Data Analyst. Document ☑ Reporting ☑ ents. All transfers and dates the prescribed automa	s: Portal screens Compliance ata transactions are tic responses.



Item 70	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	rating A	1
Licence: Retail		
Electricity Industry Customer Transfer Annex 6 of		
The originator of an electronic communication m	just identify itself in the c	communication.
Observations		
Documents Compliance		
Evidence: interviewed Office Manager, Senior I		
Process Outcome Output	□ Reporting □	Compliance
The communication system meets the requirement done electronically with the portal which provide requirement ceased in October 2016.		
Issues		
None	C194-1	
Recommendations	Duni	
None		
	1 22	
Item 71 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Electricity Industry Customer Transfer Code Ann The originator of an electronic communication m consistent data format for information over time, information by the addressee. Observations	ust use reasonable end	
Documents 🗹 Compliance 🗹		
Evidence: interviewed Office Manager, Senior I		
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 🗹
The communication system meets the requirement transfers and data transactions are done electro prescribed consistency. This requirement cease	nically with the portal wh	
Issues		
None		
Recommendations		
None		



3.14.2 Electricity Industry (Customer Contracts) Regulations– Licence Conditions and Obligations

Item 78 Electricity Industry Act s.51.	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Retail Licence condition 5.1 Where the licensee supplies electricity under a scontract must comply with that licensee approve website. Observations		
Documents 🗹 Compliance 🗹		
Documents ☑ Compliance ☑ Evidence: interviewed Office Manager, Senior Contract, Sample contracts Process ☑ Outcome ☑ Output The Licensee has an approved Standard Form	 ☑ Reporting 	Compliance 🛛
contract.		
Issues		
None		
Recommendations	1 4	
None	22	
		N State
Item 100 Electricity Industry (Customer Contracts) Regulations r.38 Licence: Retail	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Retail Licence condition 28.1 If a licensee becomes aware of a customer takin supplied under the licensee's standard form cor within 5 days after becoming aware of it and pro Observations	tract, the licensee must	notify the customer
Documents Compliance		
Evidence: interviewed Office Manager, Senior I Contract, Sample contracts	Data Analyst. Document	ts: Standard Form
Process Outcome Output	□ Reporting □	Compliance
All customers were contracted before taking a s not apply.	upply of electricity so de	eming conditions do
Issues		
None		
Recommendations		
None		



3.14.3 Electricity Industry Act – Licence Conditions and Obligations

Retail Licence condition 14.1		rating	
Licence: Retail		A	1
Electricity Industry Act section 13(1) A Licensee must provide the ERA with expert acceptable to the ERA, not less Observations			l by an independent
Observations			
Documents 🗹 Compliance	\checkmark		
Evidence:Interviewed Office Managethe ERA of the contract arrangementsProcessImage: Image:	with th Output	e approval of the auditor. ☑ ☑ Reporting ☑	Compliance 🛛
		100 March	
None	_		
Recommendations			
None			
Item 105 Retail Licence condition 4.1		Adequacy of controls rating B	Compliance rating
Licence: Retail			
Observations			
Process I I Outcome I I The Licensee paid the fees and within payments 2017 which were 1 and 2 da	Output the pre	Image: Second systemReportingImage: Second systemescribed times except the (both payment were less)	Compliance III January and March s than \$10). They were
Documents ☑ Compliance Evidence: Interviewed Office Manage spreadsheet. Process ☑ Outcome Image Image The Licensee paid the fees and within	Output the pre	Image: Second systemReportingImage: Second systemescribed times except the (both payment were less)	Compliance III January and March s than \$10). They were
Documents ☑ Compliance Evidence: Interviewed Office Manage spreadsheet. ☑ Outcome ☑ Process ☑ Outcome ☑ The Licensee paid the fees and within payments 2017 which were 1 and 2 dat paid at end of month which is their pro	Output the pre	Image: Second systemReportingImage: Second systemescribed times except the (both payment were less)	Compliance III January and March s than \$10). They were
Documents Image: Compliance Evidence: Interviewed Office Manage spreadsheet. Process Image: Compliance Process Image: Compliance Image: Compliance The Licensee paid the fees and within payments 2017 which were 1 and 2 dat paid at end of month which is their protection requirements Issues	Output the pre	Image: Second systemReportingImage: Second systemescribed times except the (both payment were less)	Compliance IS January and March s than \$10). They were
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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 restrictio of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause. Issues None Recommendations None Item 107 Adequacy of controls rating Not Performed Retail Licence condition 5.1 Adequacy of controls rating Not Performed Licence: Retail Electricity Industry Act section 41(6) A Licensee must pay the costs of taking an interest in land or an easement over land. Observations Outcome Documents Compliance Process Outcome Issues Output None Recommendations None Compliance Documents Compliance Process Outcome Output Reporting Issues None Recommendations Compliance None Compliance Process Output Reporting None Compliance Image: Compliance None Compliance rating rating alinterest in or an easement over land. There has been	Evidence: Interviewed Office Manager, Documents: Not Applicable					
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Licence: Retail Electricity Industry Act section 54(1) A retail or integrated regional licensee must not supply electricity to a small use customer otherwise than under a standard form contract or a non-standard form contract that complies with the Act. Observations Documents Image: Compliance Documents Image: Compliance Evidence: Interviewed Office Manager, Documents: Not Applicable. Process Image: Outcome Image: Outcome Image: Output All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues None Recommendations None Item 109 Adequacy of controls rating Retail Licence condition 25.4 Adequacy of controls rating						
Electricity Industry Act section 54(1) A retail or integrated regional licensee must not supply electricity to a small use customer otherwise than under a standard form contract or a non-standard form contract that complies with the Act. Observations Documents Image: Compliance Documents Image: Compliance Evidence: Interviewed Office Manager, Documents: Not Applicable. Process Image: Compliance All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues None Recommendations None Item 109 Retail Licence condition 25.4		A	1			
A retail or integrated regional licensee must not supply electricity to a small use customer otherwise than under a standard form contract or a non-standard form contract that complies with the Act. Observations Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager, Documents: Not Applicable. Process ☑ Outcome ☑ All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues None Recommendations None Retail Licence condition 25.4	L icence : Retail					
A retail or integrated regional licensee must not supply electricity to a small use customer otherwise than under a standard form contract or a non-standard form contract that complies with the Act. Observations Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager, Documents: Not Applicable. Process ☑ Outcome ☑ All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues None Recommendations None Item 109 Retail Licence condition 25.4	Electricity Industry Act section 54(1)					
with the Act. Observations Documents ☑ Evidence: Interviewed Office Manager, Documents: Not Applicable. Process ☑ Outcome ☑ All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues None Recommendations None Item 109 Retail Licence condition 25.4		not supply electricity to a s	small use customer			
Observations Documents Image: Compliance Image: Complicable Evidence: Interviewed Office Manager, Documents: Not Applicable. Process Image: Compliance Image: Compliance Process Image: Compliance Image: Compliance Image: Compliance All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues Image: Compliance Image: Compliance None Image: Compliance Image: Compliance None Image: Compliance Image: Compliance Item 109 Adequacy of controls Compliance rating Retail Licence condition 25.4 Adequacy of controls Compliance rating	otherwise than under a standard form contra	ct or a non-standard form	contract that complies			
Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager, Documents: Not Applicable. Process ☑ Outcome ☑ Output ☑ Reporting ☑ Compliance ☑ All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues I						
Evidence: Interviewed Office Manager, Documents: Not Applicable. Process Image: Outcome Image: Output I	Observations					
Evidence: Interviewed Office Manager, Documents: Not Applicable. Process Image: Outcome Image: Output	Documents 🗹 Compliance 🗹					
Process Image: Compliance Image: Compliance <th compl<="" image:="" td=""><td colspan="5"></td></th>	<td colspan="5"></td>					
All contracts are Standard Form Contracts (SFC) that have been approved by ERA. Issues None Recommendations None Item 109 Retail Licence condition 25.4			Compliance 🗹			
Issues None Recommendations None Item 109 Retail Licence condition 25.4 Adequacy of controls Compliance rating						
None Recommendations None Item 109 Retail Licence condition 25.4 Adequacy of controls Compliance rating	· ·					
Recommendations None Item 109 Retail Licence condition 25.4 Adequacy of controls Compliance rating	Issues					
Recommendations None Item 109 Retail Licence condition 25.4 Adequacy of controls Compliance rating	None					
None Item 109 Retail Licence condition 25.4 Adequacy of controls rating						
Item 109 Adequacy of controls Compliance rating Retail Licence condition 25.4 rating Compliance rating						
Retail Licence condition 25.4 rating	None					
Retail Licence condition 25.4 rating						
Retail Licence condition 25.4 rating	Item 109	Adequacy of controls	Compliance rating			
Not Performed Not Rated		rating				
		Not Performed	Not Rated			
Licence: Retail	Licence: Retail					
L	L					



Electricity Industry Act section 54(2)		
A licensee must comply with any direction by	/ the ERA to amend the s	tandard form contract
and do so within the period specified. Observations		
Documents Compliance		
Evidence: Interviewed Office Manager, Doo Process		Compliance
There has been no direction to amend the S	· · · · ·	
Issues		
None		
Recommendations		
None		
Item 110	Adequacy of controls	Compliance rating
Retail Licence condition 27.1	rating	g
	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Act section 76		
If a designation under section 71(1) of the El		
perform the functions of a retailer of last reso		
plan if it comes into operation under section Observations	70 of the Electricity Indus	try Act.
Documents Compliance		
Evidence: Interviewed Office Manager, Doc		
Process There has been no designation.	t 🗆 Reporting 🗆	Compliance
There has been no designation.		
Issues		
None		
Recommendations		
None		
Item 111	Adaguagy of controls	Compliance rating
Retail Licence condition 21	Adequacy of controls rating	Compliance rating
	A	1
Licence: Retail		
Electricity Industry Act section 101		
A notell allotude of an interaction of the		
A retail, distribution or integrated regional lice		
customers unless the licensee is a member	of an approved scheme a	nd is bound by, and
customers unless the licensee is a member compliant, with any decision or direction of the	of an approved scheme a	nd is bound by, and
customers unless the licensee is a member compliant, with any decision or direction of the scheme.	of an approved scheme a	nd is bound by, and
customers unless the licensee is a member compliant, with any decision or direction of the scheme. Observations	of an approved scheme a	nd is bound by, and
customers unless the licensee is a member of compliant, with any decision or direction of the scheme. Observations Documents Image: Compliance	of an approved scheme a ne electricity ombudsman	nd is bound by, and under the approved
customers unless the licensee is a member of compliant, with any decision or direction of the scheme. Observations Documents Image: Compliance Evidence: Interviewed Office Manager, Doce	of an approved scheme a ne electricity ombudsman	nd is bound by, and under the approved voices/receipts.
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customers unless the licensee is a member of compliant, with any decision or direction of the scheme. Observations Documents Image: Compliance Evidence: Interviewed Office Manager, Doce	of an approved scheme a ne electricity ombudsman cuments: Ombudsman inv t I I Reporting I neme and there has been	nd is bound by, and under the approved roices/receipts.
customers unless the licensee is a member of compliant, with any decision or direction of the scheme. Observations Documents ☑ Evidence: Interviewed Office Manager, Doce Process ☑ Outcome The Licensee is member of an approved scheme	of an approved scheme a ne electricity ombudsman cuments: Ombudsman inv t I I Reporting I neme and there has been	nd is bound by, and under the approved roices/receipts.
customers unless the licensee is a member of compliant, with any decision or direction of the scheme. Image: Compliance of the scheme. Observations Image: Compliance of the scheme. Image: Compliance of the scheme. Documents Image: Compliance of the scheme. Image: Compliance of the scheme. Documents Image: Compliance of the scheme. Image: Compliance of the scheme. Process Image: Compliance of the scheme. Image: Compliance of the scheme. Process Image: Compliance of the scheme. Image: Compliance of the scheme. Process Image: Compliance of the scheme. Image: Compliance of the scheme. Process Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Complicance of the scheme. Image: Com	of an approved scheme a ne electricity ombudsman cuments: Ombudsman inv t I I Reporting I neme and there has been	nd is bound by, and under the approved roices/receipts.
customers unless the licensee is a member of compliant, with any decision or direction of the scheme. Image: Compliance of the scheme. Observations Image: Compliance of the scheme. Image: Compliance of the scheme. Documents Image: Compliance of the scheme. Image: Compliance of the scheme. Documents Image: Compliance of the scheme. Image: Compliance of the scheme. Process Image: Compliance of the scheme. Image: Compliance of the scheme. Process Image: Compliance of the scheme. Image: Compliance of the scheme. The Licensee is member of an approved scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Compliance of the scheme. Image: Complian	of an approved scheme a ne electricity ombudsman cuments: Ombudsman inv t I I Reporting I neme and there has been	nd is bound by, and under the approved roices/receipts.



None

Itom 112	Adaguacy of controls	Compliance rating			
Item 113	Adequacy of controls	Compliance rating			
Retail Licence condition 5.1	rating				
	A	1			
Licence: Retail					
Electricity Industry Act section 115(2)					
A licensee that has, or is an associate of a pe	erson that has, access to	services under an			
access agreement must not engage in condu					
access.		5 1 5			
Observations					
Documents 🗹 Compliance 🗹					
Evidence: Interviewed Office Manager, Doc	uments: Lease payment j	ournal entries.			
Process 🗹 Outcome 🗹 Output	: ☑ Reporting ☑	Compliance 🗹			
There have been no complaints about behav	iour for the purpose of hir	dering or prohibiting			
access.		5 1 5			
Issues					
None					
Recommendations					
None					





3.14.1 Electricity Licences – Licence Conditions and Obligations

Item 114 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating				
Licence: Retail						
Retail Licence condition 23.1 A licensee must ensure that an electricity ma applicable codes. Observations	arketing agent of the licen	see complies with the				
Documents 🗹 Compliance 🗹						
Evidence: Interviewed Office Manager. Doc	uments not applicable					
Process I Outcome I Output		Í Compliance 🛛 🗹				
The Licensee has no marketing agents but n						
Issues	<u></u>	,				
None						
Recommendations						
None						
5	24.2					
How AAE						
Item 115	Adequacy of controls	Compliance rating				
Electricity Industry Act section 11	rating Not Performed	Not Rated				
Licence: Retail	Not i choimed	Not Rated				
Retail Licence condition 23.2						
The licensee must report a breach of the app marketing agent to the ERA within the presce Observations		y an electricity				
Documents Compliance						
Evidence: Interviewed Office Manager. Doc						
Process 🔲 Outcome 🔲 Output		Compliance				
The Licensee has no marketing agents and t	inere are no breaches of	the Code to report.				
Issues						
None						
Recommendations						
None						
Item 116	Adequacy of controls	Compliance rating				
Electricity Industry Act section 11	rating					
	Not Performed	Not Rated				
Licence: Retail						
Retail Licence condition 24.2 A licensee must, if directed by the ERA, revie		tract and submit to the				
ERA the results of that review within the time	e specified.					
Observations						
Documents Compliance						
Evidence: Interviewed Office Manager. Doc						
Process Outcome Output		I Compliance 🛛				
There has been no direction to review the SF	FC.					
Issues						
None						
Recommendations						
None						
None						



There has been no direction to review the SFC. Issues None Recommendations None Item 118 Electricity Industry Act section 11 Retail Licence: Retail Retail Licence condition 25.1 A licensee can only amend the standard form contract with the ERA's approval. Observations Documents Compliance Process Outcome Outcome Output Resonance Reporting Compliance Compliance Process Outcome System Output Recommendations None None Recommendations None Compliance rating rating A Issues Outcome None Compliance rating rating A Issues Compliance rating A None Compliance rating A Item 119 Adequacy of controls rating A Electricity Industry Act section 11 Adequacy of controls rating A I Adequacy of controls rating A I Compliance rating A	Item 117 Electricity Industry Act section 11	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
A licensee must comply with any direction given by the ERA in relation to the scope, process and methodology of the standard form contract review. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Documents not applicable Process □ Compliance □ Process □ Output Reporting □ Compliance □ None Recommendations None Recommendations None Recommendations None Recommendation 25.1 A licensee can only amend the standard form contract with the ERA's approval. Observations Documents □ Compliance □ Evidence: Evi	Licence: Retail				
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Evidence: Interviewed Office Manager. Documents not applicable Process Outcome Output Reporting Compliance Issues None Recommendations None None Adequacy of controls Compliance rating Recommendations Not Performed Not Rated Licence: Retail Retail Compliance rating Retail Licence condition 25.1 Alicensee can only amend the standard form contract with the ERA's approval. Observations Documents Compliance Evidence: Image: Compliance Evidence: Evidence: Interviewed Office Manager. Documents SFC Compliance Evidence: Evidence: Process Outcome Output Reporting Compliance Evidence: Item 119 Outcome Output Recommendations 2 Licence: Compliance rating rating A 2 None Electricity Industry Act section 11 Adequacy of controls rating A Compliance rating A 2 Issues None Compliance rating A Electricity Industry Act section 11 Electricity Industry Act section 11 Adequacy of controls Compliance rating A					
Process □ Outcome □ Output □ Reporting □ Compliance □ There has been no direction to review the SFC. Issues □ <td< td=""><td></td><td>numents not applicable</td><td></td></td<>		numents not applicable			
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since initial approval. Issues None Recommendations None Recommendations None Item 119 Electricity Industry Act section 11 Adequacy of controls rating A 2 Licence: Retail Retail Licence condition 12.1 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 ☑ Compliance ☑ Evidence: Interviewed Office Manager. Documents Financial auditors letter on accounting standards. Process ☑ Process ☑ Outcome ☑ The Licensee do not comply with Australian accounting standards. They are externally reviewed and reconciled to public practice standards. The Licensee is not a reporting body to ASIC so do not have to meet listed company standards. The accounts are adequate for the purposes.					
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Licence: Retail Retail Licence condition 12.1 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 Observations Documents ☑ Evidence: Interviewed Office Manager. Documents Financial auditors letter on accounting standards Process ☑ Outcome ☑ Output ☑ Reporting ☑ Compliance ☑ Autorial auditors letter on accounting standards Process ☑ Outcome ☑ Output ☑ Reporting ☑ Compliance ☑ Process ☑ Outcome ☑ Output ☑ Reporting ☑ Compliance ☑ Value Interviewed and reconciled to public practice standards. The yare externally reviewed and reconciled to public practice standards. The accounts are adequate for the purposes.		rating			
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Evidence: Interviewed Office Manager. Documents Financial auditors letter on accounting standards Process Image: Outcome Image: Output Image: Reporting Image: Compliance Image	A Licensee and any related body corporate r with the Australian Accounting Standards Bo Accounting Standards.				
Evidence: Interviewed Office Manager. Documents Financial auditors letter on accounting standards Process Image: Outcome Image: Output Image: Reporting Image: Output Image: Output<					
ProcessImage: OutcomeImage: OutputImage: Outp	Evidence: Interviewed Office Manager. Doc	L cuments Financial auditors	s letter on accounting		
reviewed and reconciled to public practice standards. The Licensee is not a reporting body to ASIC so do not have to meet listed company standards. The accounts are adequate for the purposes.		t 🗹 Reporting 🗹	Compliance 🗹		
Issues	reviewed and reconciled to public practice st ASIC so do not have to meet listed company	andards. The Licensee is	not a reporting body to		
	L				



Do not comply with Australian accounting s Recommendations	standards.	
None		
Item 120 Electricity Industry Act section 11	Adequacy of controls rating	Compliance rating
Licence: Retail	Not Performed	Not Rated
Retail Licence condition 13.4		
A Licensee must comply with any individua Observations	I performance standards p	rescribed by the ERA.
Documents		
Evidence:Interviewed Office Manager, DeProcessIOutcomeIOutpThere are no individual performance standard	out 🛛 Reporting 🗆	Compliance
Issues		
None		
Recommendations		
None		
Item 121 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating
Licence: Retail		
A Licensee must comply, and require its au guidelines for the performance audit. Observations	antor to comply, with the E	RA'S Standard audit
Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager, Drangements to the ERA with the approva Process ☑ Outcome ☑ Outp The Licensee has contracted with the audit audit complied with the requirements.	l of th <mark>e auditor. Compliance out ☑ Reporting ☑</mark>	e file I Compliance 🛛 🗹
Issues		
None		
Recommendations		
None		
Item 123 Electricity Industry Act section 11	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail	Not Fenomed	Not Nated
Retail Licence condition 15.1 A Licensee must report to the ERA, in the r administration or there is a significant chan was granted which may affect a Licensee's Observations	ge in the circumstances up	on which the licence
Documents Compliance		
Evidence: Interviewed Office Manager, lis	ted staff on site. Documen	ts: Retail licence.
Process Outcome Outp	out 🛛 Reporting 🗆	Compliance



None Recommendations None Identified in the section 11 Item 124 Electricity Industry Act section 11 Interview of the the the the the section 16.1 A Licensee must provide the the the the the the the the the th	er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	Act. returns. Compliance
Image:	rating A anner prescribed, any infor er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	rmation the ERA Act.
tem 124 Electricity Industry Act section 11 .icence: Retail Retail Licence condition 16.1 A Licensee must provide the ERA, in the ma equires in connection with its functions under Observations Documents Image: Compliance Process Image: Outcome Outcome Image: Output The annual compliance reports were comple vere provided to ERA on the due date. They late. The 2015 compliance report is outside ssues Jone. Recommendations	rating A anner prescribed, any infor er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	rmation the ERA Act.
Iectricity Industry Act section 11 icence: Retail Retail Licence condition 16.1 A Licensee must provide the ERA, in the malequires in connection with its functions under the sections Observations Documents Image: Compliance Process Image: Outcome Process Image: Outcome Process Image: Outcome Process Image: Outcome Outcome Image: Output The annual compliance reports were comple Vere provided to ERA on the due date. They Iate. The 2015 compliance report is outside Ssues Jone. Recommendations	rating A anner prescribed, any infor er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	rmation the ERA Act.
Iectricity Industry Act section 11 icence: Retail Retail Licence condition 16.1 A Licensee must provide the ERA, in the malequires in connection with its functions under the sections Observations Documents Image: Compliance Process Image: Outcome Process Image: Outcome Process Image: Outcome Process Image: Outcome Outcome Image: Output The annual compliance reports were comple Vere provided to ERA on the due date. They Iate. The 2015 compliance report is outside Ssues Jone. Recommendations	rating A anner prescribed, any infor er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	rmation the ERA Act.
icence: Retail Retail Licence condition 16.1 A Licensee must provide the ERA, in the maequires in connection with its functions under Diservations Observations Documents Image: Compliance Documents Image: Compliance Process Image: Outcome Process Image: Outcome<	A anner prescribed, any infor er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	rmation the ERA Act. returns. Compliance
Retail Licence condition 16.1 A Licensee must provide the ERA, in the maequires in connection with its functions under Diservations Documents Image: Compliance Drocess Image: Compliance Dro	Inner prescribed, any infor er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	rmation the ERA Act. returns. Compliance
Retail Licence condition 16.1 A Licensee must provide the ERA, in the maequires in connection with its functions under Diservations Documents Image: Compliance Drocess Image: Compliance Dro	er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	Act. returns. Compliance
A Licensee must provide the ERA, in the malequires in connection with its functions under Deservations Observations Observations Occuments Image: Compliance Occuments Image: Compliance Oracess Image: Compliance Process Image: Compliance Outcome Image: Compliance Outcome Image: Compliance Outcome Image: Compliance Vere provided to ERA on the due date. They late. The 2015 compliance report is outside Ssues None. Recommendations	er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	Act. returns. Compliance
equires in connection with its functions under Deservations Documents Image: Compliance Documents Image: Compliance Documents Image: Compliance Documents Image: Compliance Drocess Image: Complian	er the Electricity Industry A ector. Documents: Annual t 🗵 Reporting 🗹 eted and on time. The anr v were published on the w	Act. returns. Compliance
Documents Image: Compliance Image: Direction Evidence: Interviewed Office Manager, Direction Process Image: Outcome Image: Output The annual compliance reports were comple Output Output The annual compliance reports were comple Vere provided to ERA on the due date. They They Late. The 2015 compliance report is outside Sues Jone. Recommendations Image: Output	t ⊠ Reporting ⊠ eted and on time. The anr / were published on the w	Compliance
Evidence: Interviewed Office Manager, Dire Process Image: Outcome Image: Output The annual compliance reports were comple Output Vere provided to ERA on the due date. They Itale. The 2015 compliance report is outside Ssues Sales None. Recommendations	t ⊠ Reporting ⊠ eted and on time. The anr / were published on the w	Compliance
Process Image: Contract of the second seco	t ⊠ Reporting ⊠ eted and on time. The anr / were published on the w	Compliance
he annual compliance reports were comple vere provided to ERA on the due date. They late. The 2015 compliance report is outside ssues lone. Recommendations	eted and on time. The anr / were published on the w	nual performance repo
vere provided to ERA on the due date. They late. The 2015 compliance report is outside ssues lone. Recommendations	were published on the w	
late. The 2015 compliance report is outside ssues lone. Recommendations		
ssues lone. Recommendations		
Recommendations		
lone		
tem 125	Adequacy of controls	Compliance rating
Electricity Industry Act section 11	rating	
	Not Performed	Not Rated
icence: Retail		
Retail Licence condition 17.1&17.2	1	
Licensee must publish any information it is	s directed by the ERA to p	ublish, within the
meframes specified. Deservations		
Documents Discussion Compliance	aumonto: Not applicable	
Process Dutcome Dutput		Compliance
here was no requirement to publish any info	· _ v	Compliance
ssues		
lone		
Recommendations		
lone		
tem 126	Adequacy of controls	Compliance rating
Electricity Industry Act section 11	rating	,
· · ·	A	1
icence: Retail		
Retail Licence condition 18.1	· · · ·	
All notices must be in writing, unless otherwis Dbservations	se specified.	
Documents 🛛 🗠 Compliance		



Evidence: Interviewed Office Manager. Documents: Sample communication with ERA. Compliance spreadsheet.

 Process
 ☑
 Outcome
 ☑
 Output
 ☑
 Reporting
 ☑
 Compliance
 ☑

 The ERA did not require any notices. All material communication with the ERA is in writing.

 Issues

None

Recommendations

None





3.14.1 Electricity Industry Code of Conduct – Licence Conditions and Obligations (all licence conditions Electricity Industry Act s82 and Licence clause 23.1)

Marketing

Item 129 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 2.1 A retailer must ensure that its electricity mark Conduct. Observations	keting agents comply with	Part 2 of the Code of
Documents 🗹 Compliance 🗹		
Evidence:Interviewed Office Manager. DocProcessImage: OutcomeImage: OutputThe Licensee has no marketing agents but a no complaints.Image: Output	t 🗹 Reporting 🗹	
Issues		
None		
Recommendations		
None		
Item 130 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
	A	1
Licence: Retail		
Observations ☑ Compliance ☑ Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager. Doc Process ☑ Outcome ☑ Output The Licensee has no marketing agents and t	t 🛛 Reporting 🖾 there are no unsolicited co	ComplianceImage: Image: Organizationonsumer agreements.
The contract has been implemented in accor no complaints.	rdance with the requireme	nts. There have been
Issues		
None		
Recommendations		
None		
Item 131 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 2.2(2) Subject to subclause 2.2(3), the retailer or ele the specified information in subclause 2.2(2) r		



_

Observations				
Documents 🗹 Compliance 🗹				
Evidence: Interviewed Office Manager. Doo	cuments: welcome pack			
Process 🗹 Outcome 🗹 Output				
The Licensee has no marketing agents. The	e required information is in	the welcome pack		
given to new customers when entering the c	ontract.			
Issues				
None				
Recommendations				
None				
None				
Item 137	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct		1		
Licence: Retail	Α			
	11100			
Code of Conduct clause 2.4(2)				
A retailer or electricity marketing agent must				
number, to a customer and ensure that the comarketing agent during normal business hou				
complaints.	is for the purposes of end			
Observations	1000			
Documents I Compliance I				
Evidence: Interviewed Office Manager. Doc Process Ø Outcome Ø Output		Compliance		
Process ☑ Outcome ☑ Outpu The Licensee has no marketing agents. The				
given to new customers when entering the c				
retailer during normal business hours for the				
complaints.				
Issues				
None				
Recommendations				
None				
Item 138	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating			
	Not performed	Not Rated		
Licence: Retail				
Code of Conduct clause 2.5(1)				
A retailer or electricity marketing agent must,	on request, provide a cust	omer with the		
information specified in subclause 2.5(1).				
Observations				
Documents Compliance				
Evidence: Interviewed Office Manager. Doc				
Process 🛛 Outcome 🖾 Output		Compliance 🛛		
There has been no request.				
Issues				
None				
Recommendations				
None				



Item 139 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 2.5(2) A retailer or electricity marketing agent who r	neets with a customer fac	e to face must:
• wear a clearly visible and legible identity subclause 2.5(2)(a); and	card showing the informa	tion specified in
 provide the written information specified i following a request by the customer. Observations 	n subclause 2.5(2)(b) as	soon as practicable
Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager. Doc	uments: Identity card	
Process 🗹 Outcome 🗹 Output		Compliance 🗹
The Licensee has no marketing agents. The identification lanyard. The procedures require examined carried their ID. There was no require performed/Not rated.	e carrying the identification	n lanyard and those
Issues		
None		
Recommendations		
None		
Item 140 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Licence: Retail	Not performed	Not Rated
A retailer or electricity marketing agent who vis marketing must comply with any clearly visible at the premises, or no advertising is to be left a Observations	signs indicating that canv	
Documents D Compliance D		
Evidence: Interviewed Office Manager. Doc Process Image: Outcome Image: Output		
Process Outcome Output The Licensee has no marketing agents. The		
reference or client initiated.		
Issues		
None		
Recommendations		
None		
Item 141 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating
Licence: Retail	Notpenoimeu	Not Rated
Code of Conduct clause 2.9 An electricity marketing agent must keep a re- who are contacted by, or on behalf of, the ele- marketing; and provide the electricity ombuds to a complaint, within 28 days of receiving a re-	ctricity marketing agent fo man with all of the inform	r the purposes of ation that it has relating
cGill Engineering Services Pty Ltd		Page 46



Observations	5									
Documents		Compliance								
Evidence: In	tervie	ewed Office M	lanag	er. Doc	uments	: NA				
Process		Outcome		Output		Reporting		Compliance		
		no marketing and the Ombudsma	•	s. The	re have	been no comp	olain	ts and no reques	st fo	r
Issues										
None										
Recommend	atior	IS								
None										

Item 142	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail	A CONTRACTOR OF THE OWNER OF THE	
Code of Conduct clause 2.10		
An electricity marketing agent must keep a re	ecord, or other information	n, required under the
Code for at least 2 years after the last time the		
behalf of, the electricity marketing agent, or a		tact from, or on behalf
of, the electricity marketing agent, whichever	is later.	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc	cuments: NA	
Process 🛛 Outcome 🖾 Output	t 🗆 Reporting 🗆	Compliance
The Licensee has no marketing agents. The	re have been no records	or other information to
be recorded and retained. There is a retention	n policy to retain all recor	d and information
perpetually.		
Issues		
None		
Recommendations		
None		

Connection

Item 143	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating			
	Not performed	Not Rated		
Licence: Retail				
Code of Conduct clause 3.1(1)				
If a retailer agrees to sell electricity to a cus	tomer or arrange for the co	nnection of the		
customer's supply address, the retailer mus	t forward the customer's re	quest for the connection		
to the relevant distributor.				
Observations				
Documents Compliance				
Evidence: Interviewed Office Manager. D	ocuments: NA			
Process Outcome Outp	out 🛛 Reporting 🗆	Compliance		
There have been no connections with all cu	ustomers transferred.	· · ·		
Issues				
None				
Recommendations				
None				



Item 144 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
	Not performed	Not Rated
Licence: Retail		

Code of Conduct clause 3.1(2)

Unless the customer agrees otherwise, a retailer must forward the customer's request for the connection to the relevant distributor that same day, if the request is received before 3pm on a business day; or the next business day if the request is received after 3pm or on a weekend or public holiday.

Observations

Observation	S							
Documents		Compliance						
Evidence: Ir	ntervi	ewed Office N	lanag	er. Doci	ument	s: NA		
Process		Outcome		Output		Reporting	Compliance	
There have b	een i	no connection	s with	all cust	omers	transferred.		
Issues	. 1							
None	1000				1	address of the second		
Recommend	atio	ns						

None

Billing

Have AAF	Adamuany of controls	Compliance rating
Item 145	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	A	1
Licence: Retail		
Code of Conduct clause 4.1		
A retailer must issue a bill no more than once	a month and at least on	ce every 3 months.
except for the circumstances specified in sub		
Observations		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc	uments: Identity card	
Process 🗹 Outcome 🗹 Output	Reporting	1 Compliance 🗹
Bills are issued monthly and no more frequer	ntly.	
Issues		
None		
Recommendations		
None		

Item 146		Adequacy of cor	trols	Compliance ratin	g
Electricity Industry Act Cod	e of Conduct	rating			
		Not performed		Not Rated	
Licence: Retail					
Code of Conduct clause 4.	2(1)				
For the purposes of subcla	use 4.1(a)(ii), a re	etailer has given a o	custome	er notice if, prior to	
placing a customer on a sh	ortened billing cy	cle, the retailer adv	vises the	e customer of the	
information specified in sub	clause 4.2(1).				
Observations					
Documents D Compli	ance 🛛				
Evidence: Interviewed Off	fice Manager. Do	cuments: NA			
Process 🛛 Outcom	ne 🛛 Outpu	ut 🛛 Reporting	g 🗆	Compliance	
There have been no custor	ners on a shorte	ned billing cycle. Th	nere are	no residential	
customers.					



Issues

None Recommendations

None

Item 148	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.2(3) A retailer must give a customer written notice cycle within 10 business days of making the		the customer's billing
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo		
ProcessIOutcomeIOutpuThere have been no customers on a shorten		Compliance
Issues	ied billing cycle.	1-11
None		
Recommendations		
None		
None		
Item 149	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Compliance rating
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.2(4)		
A retailer must ensure that a shortened billindays.	g cycle is for a period of a	t least 10 business
Observations		
Documents		
Evidence: Interviewed Office Manager. Doo	cuments: NA	
Process 🛛 Outcome 🖾 Outpu		Compliance 🛛
There have been no customers on a shorten Issues	ed billing cycle.	
None Recommendations		
None		
Item 150 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail		
Code of Conduct clause 4.2(5)		
On request, a retailer must return a custome billing cycle that previously applied if the cus date.		
Observations		
Documents		
Evidence: Interviewed Office Manager. Doo	cuments: NA	
Process 🛛 Outcome 🖵 Outpu	t 🗆 Reporting 🗆	Compliance 🛛



There have been no customers on a shorter	ned billing cycle.	
Issues		
None		
Recommendations		
None		
Item 151	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not performed	Not Rated
Licence: Retail	- Not pononnou	Horrialou
Code of Conduct clause 4.2(6)		
A retailer must inform a customer, who is su	bject to a shortened billing	cycle, at least every 3
months about the conditions upon which the	customer can be returned	to the previous billing
cycle. Observations		
	1.110	
Documents Discrete Compliance	cuments: NA	1
Process D Outcome D Output		Compliance 🛛
There have been no customers on a shorter		
Issues		\leq
None		
Recommendations		
None		
Item 152	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Compliance rating
	Not performed	Not Rated
Licence: Retail	_	
Code of Conduct clause 4.3(1)		
Notwithstanding clause 4.1, on receipt of a r		
customer with a bill that reflects a bill-smoot period.	ning arrangement with resp	pect to any 12-month
Observations		
Documents		
Evidence: Interviewed Office Manager. Do	cuments: NA	
Process		Compliance 🛛
There have been no customers on bill smoc	thing arrangement. Some	
regular amount but this is not a smoothing a	rrangement.	
Issues		
None		
Recommendations		
None		
Item 153	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.3(2) If a retailer provides a customer with a bill unit	der a bill- smoothing arrang	rement the retailer must
ensure that the conditions specified in subcla		yonioni, ine retailer musi
Observations		



Documents		Compliance			
Evidence: In	ntervie	ewed Office Mar	nager. Doc	cuments: NA	
Process			□ Output		Compliance
				othing arrangement. Sor	ne customers do pay a
	nt bu	t this is not a sm	oothing ar	rangement.	
Issues					
None					
Recommend	ation	IS			
None					
Item 154				Adequacy of controls	Compliance rating
	uetrv	Act Code of Co	nduct	rating	Compliance rating
	ustry		nauot	A	1
Licence:	Re	etail			
Code of Cond	duct c	lause 4.4			
A retailer mus	st issu	le a bill to a cust	tomer at th	ne customer's supply add	Iress, unless the
customer has	nom	inated another a	address or	an electronic address.	
Observation	S				
Documents	\checkmark	Compliance	V		
Evidence: Ir	ntervie		hager. Doc	cuments: sample bills	
Process	\checkmark		I Output		I Compliance ☑
Bills are sent	to the	supply address	s or the no	minated other address o	r electronic address.
lssues	n			news	
None					
Recommend	ation	IS			
None					
		1.0			
Item 155				Adequacy of controls	Compliance rating
Electricity Ind	ustry	Act Code of Co	nduct	rating	
				A	1
Licence:		etail			
Code of Cond	duct c	lause 4.5(1)			
A retailer mus	st incl	ude the minimur	m prescrib	ed information in subclau	use 4.5(1) on a
customer's bi	ll, unl	ess the custome	er agrees o	otherwise.	
Observation	s		HA		
Documente	\checkmark	Compliance			
Documents		Compliance		umonte: comple hills	

Observation	S				5.7				
Documents	\checkmark	Compliance		\square					
Evidence: In	tervi	ewed Office M	lanag	ger. Docur	ments	: sample bills			
Process	$\mathbf{\Sigma}$	Outcome	V	Output	$\mathbf{\nabla}$	Reporting	$\mathbf{\nabla}$	Compliance	V
Bills meet the	requ	uirements. Not	e iter	ns (b), (c)), (j), (l	<) are not appl	licabl	e.	
Issues									
None									
Recommend	atior	าร							
None									

Item 156 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail		
Code of Conduct clause 4.5(3)		



If a retailer identifies and wishes to bill a cust		
the customer of the amount of the historical of	debt and its basis, before,	with, or on the
customer's next bill.		
Observations		
Documents		
Evidence: Interviewed Office Manager. Doo	cuments: NA	
Process		Compliance
There no historical debts.		
Issues		
None		
Recommendations		
None		
Item 157	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating A	1
Licence: Retail	Duo.	
Code of Conduct clause 4.6(1)		
A retailer must base a customer's bill on	the following:	
• the distributor's or metering agent's re		istomer's supply
address;	5	
 the customer's reading of the meter 	in the circumstances spe	cified in subclause
4.6(1)(b); or		
 if the connection point is a Type 7 c 		
metrology procedure or Metering Co	ode, or as set out in any a	pplicable law
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc	cuments: sample bills	
Process 🗹 Outcome 🗹 Output		Compliance 🗹
The bills are based on the the distributor's or	metering agent's (Western	Power) reading. There
are no customers reading meters or Type 7 of	connection points.	
Issues		
None		
Recommendations		
None		
Item 158	Adequacy of controls	Compliance rating
	rating	Compliance rating
Electricity Industry Act Code of Conduct	A	1
Licence: Retail	Π	
Code of Conduct clause 4.7		
Other than in respect of a Type 7 connection	n, a retailer must use its b	est endeavours to
ensure that the meter reading data is obtain		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc	cuments: sample bills	
Process 🛛 Outcome 🖾 Output		Compliance 🗹
The meters are read daily which is more than		
Issues		
None		
Recommendations		

None



Item 159 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail		
Code of Conduct clause 4.8(1) If a retailer is unable to reasonably base a bit the customer an estimated bill.	ill on a reading of the mete	er, a retailer must give
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo		1
Process ☐ Outcome ☐ Outpu There no estimated bills. If there were no me		•••••
Issues	eter reading there were no	DIIIS.
None		
Recommendations		
17 YANK	//ups	
None		
1 400		Osmalia
Item 160 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Liectricity industry Act Code of Conduct	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.8(2) In circumstances where a customer's bill is e information required under subclause 4.8(2). Observations		clearly specify the
DocumentsIComplianceIEvidence:Interviewed Office Manager.Doc		
Process		Compliance 🛛
There no estimated bills.		
lssues		
None		
Recommendations		
None	A. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1.	
Item 161 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.8(3) On request, a retailer must inform a custome	er of the basis and the rea	son for the estimation
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo	cuments: NA	
Process 🛛 Outcome 🖾 Outpu		Compliance 🛛
There no estimated bills. Issues		
None Recommendations		
None		

No water and the second second

Item 162	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Compliance rating
Electricity industry Act bode of bonduct	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.9		
In accordance with clause 4.9	ives a customer an estim	ated hill and the meter is
subsequently read, the retailer must include		
the actual meter reading.		
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc	Luments: NA	
Process		Compliance 🛛
There no estimated bills.		
Issues		
None	- C	
Recommendations		
	1400	
None		1
Item 163	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.10		
If a customer satisfies the requirements spec		
best endeavours to replace an estimated bill Observations	with a bill based on an ac	tual reading.
	1	
Documents Compliance		
Evidence: Interviewed Office Manager. Doc		
Process Outcome Output There no estimated bills.	t 🔲 Reporting 🔲	Compliance
Issues		
None		
Recommendations		
None		
Item 164	Adequacy of controls	Compliance rating
Item 164 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct		Compliance rating Not Rated
	rating	
Electricity Industry Act Code of Conduct	rating	
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested	nating Not performed	Not Rated sonable charge (if any)
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution	nating Not performed	Not Rated sonable charge (if any)
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested	nating Not performed	Not Rated sonable charge (if any)
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Compliance 	rating Not performed d, and pays a retailer's rea ibutor or metering agent to	Not Rated sonable charge (if any)
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Doc	rating Not performed d, and pays a retailer's rea ibutor or metering agent to cuments: NA	Not Rated sonable charge (if any) o do so.
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Output	rating Not performed d, and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any)
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output There have been no requests for meter tests Destruction	rating Not performed d, and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any) o do so.
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Output	rating Not performed d, and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any) o do so.
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output There have been no requests for meter tests Issues None None None	rating Not performed d, and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any) o do so.
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Output There have been no requests for meter tests	rating Not performed d, and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any) o do so.
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distribution Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output There have been no requests for meter tests Issues None None None	rating Not performed d, and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any) o do so.
Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.11(1) If a customer requests the meter to be tested for doing so, a retailer must request the distri Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Output There have been no requests for meter tests Issues None Recommendations	rating Not performed and pays a retailer's realibutor or metering agent to cuments: NA t □ Reporting □	Not Rated sonable charge (if any) o do so.



Item 165	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.11(2)		
If the meter is tested and found to be defecti	ve, the retailer's reasonab	le charge for testing the
meter (if any) is to be refunded to the custon		
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Do	cuments: NA	
Process		Compliance
There have been no requests for meter tests		
Issues		
135003	- C + Q + 1	
None		
Recommendations		
None		
	1 Sec. 1	1
Item 166	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.12(1)		
If a retailer offers alternative tariffs and a cus	tomer applies to receive a	an alternate tariff and
demonstrates to the retailer that they satisfy	the conditions of eligibility	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b	the conditions of eligibility	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions.	the conditions of eligibility	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b	the conditions of eligibility	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions.	the conditions of eligibility	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations	the conditions of eligibility business days of the custo	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Dpcuments Compliance	the conditions of eligibility business days of the custo cuments: NA	r, a retailer must change
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents □ Evidence: Interviewed Office Manager.	the conditions of eligibility business days of the custo cuments: NA	v, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents	the conditions of eligibility business days of the custo cuments: NA	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output Alternative tariffs have not been offered. Issues	the conditions of eligibility business days of the custo cuments: NA	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Alternative tariffs have not been offered. Issues None	the conditions of eligibility business days of the custo cuments: NA	v, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output Alternative tariffs have not been offered. Issues	the conditions of eligibility business days of the custo cuments: NA	v, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Alternative tariffs have not been offered. Issues None	the conditions of eligibility business days of the custo cuments: NA	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Process □ Outcome □ Output Alternative tariffs have not been offered. Issues None Recommendations	the conditions of eligibility business days of the custo cuments: NA	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Process □ Outcome □ Output Alternative tariffs have not been offered. Issues None Recommendations	the conditions of eligibility pusiness days of the custo cuments: NA t	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance	the conditions of eligibility pusiness days of the custo cuments: NA t	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Process □ Outcome □ Output Alternative tariffs have not been offered. Issues None Recommendations	the conditions of eligibility pusiness days of the custo cuments: NA t	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance	the conditions of eligibility pusiness days of the custo cuments: NA t	r, a retailer must change mer satisfying those Compliance □
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance	the conditions of eligibility pusiness days of the custo cuments: NA t	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance	the conditions of eligibility pusiness days of the custo cuments: NA t	r, a retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output Alternative tariffs have not been offered. Issues None Recommendations None Item 167 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.13	the conditions of eligibility pusiness days of the custo cuments: NA t	 a retailer must change mer satisfying those Compliance Compliance rating Not Rated
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance Compliance Code of Conduct clause 4.13 If a customer's electricity use changes, and the formula tariffs of the formula tariffs o	the conditions of eligibility pusiness days of the custo cuments: NA t	 a retailer must change mer satisfying those Compliance Compliance rating Not Rated eligible to continue to
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance Code of Conduct clause 4.13 If a customer's electricity use changes, and t receive an existing more beneficial tariff, a reference of the set of the	the conditions of eligibility pusiness days of the custo cuments: NA t	 a retailer must change mer satisfying those Compliance Compliance rating Not Rated eligible to continue to
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Compliance Compliance Code of Conduct clause 4.13 If a customer's electricity use changes, and the formula tariffs of the formula tariffs o	the conditions of eligibility pusiness days of the custo cuments: NA t	 a retailer must change mer satisfying those Compliance Compliance rating Not Rated eligible to continue to
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Coutome Coutput Alternative tariffs have not been offered. Issues None Recommendations None Item 167 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.13 If a customer's electricity use changes, and the receive an existing more beneficial tariff, a reconstruct to changing the customer to an alternative tarions Observations	the conditions of eligibility pusiness days of the custo cuments: NA t	 a retailer must change mer satisfying those Compliance Compliance rating Not Rated eligible to continue to
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 b conditions. Observations Documents Process Outcome Process Outcome Output Aternative tariffs have not been offered. Issues None Recommendations None Licence: Retail Code of Conduct clause 4.13 If a customer's electricity use changes, and the receive an existing more beneficial tariff, a recommendations Documents Documents Documents Documents Documents	the conditions of eligibility pusiness days of the custo cuments: NA t	 a retailer must change mer satisfying those Compliance Compliance rating Not Rated eligible to continue to
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Process □ Outcome □ Outcome □ Output A ternative tariffs have not been offered. Issues None Recommendations None Item 167 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.13 If a customer's electricity use changes, and the receive an existing more beneficial tariff, a rector changing the customer to an alternative tarisf. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Documents □ Compliance	the conditions of eligibility pusiness days of the custo cuments: NA t	A retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents Image: Interviewed Office Manager. Doe Process Image: Outcome Process Image: Outcome Issues None Recommendations None Item 167 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.13 If a customer's electricity use changes, and the receive an existing more beneficial tariff, a receive and existi	the conditions of eligibility pusiness days of the custo cuments: NA t	A retailer must change mer satisfying those
demonstrates to the retailer that they satisfy the customer to an alternate tariff within 10 k conditions. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Process □ Outcome □ Outcome □ Output A ternative tariffs have not been offered. Issues None Recommendations None Item 167 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.13 If a customer's electricity use changes, and the receive an existing more beneficial tariff, a rector changing the customer to an alternative tarisf. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Documents □ Compliance	the conditions of eligibility pusiness days of the custo cuments: NA t	A retailer must change mer satisfying those



None		
Recommendations		
None		
Item 168 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail	Π	
Code of Conduct clause 4.14(1) If a customer requests a retailer to issue a fmust use reasonable endeavours to arrange customer's request. Observations Documents Image: Compliance Documents Image: Compliance Process Image: Outcome One final bill was requested. The customer haccess which the Licensee facilitated. Issues None	for that final bill in accord	ance with the Compliance
Recommendations		
None		
Item 169 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating
Licence: Retail		
Code of Conduct clause 4.14(2) Subject to subclause 4.14(3), if a customer's closure, a retailer must, in accordance with the credit to another account that the customer he by the customer, within 12 business days or Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output No accounts were in credit at time of account Issues	he customer's instructions has with the retailer or a ba other agreed time. cuments: NA t □ Reporting □	, transfer the amount of
Recommendations		
None		
Item 170 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail		
Code of Conduct clause 4.14(3)		

If a customer's account is in credit at the time of account closure and the customer owes a debt to a retailer, the retailer may use that credit to offset the debt owed to the retailer by giving the customer written notice. If any amount remains after the set off, the retailer must ask the customer for instructions to transfer the remaining amount in accordance with subclause 4.14(2).



Observations

Documents		
Evidence: Interviewed Office Manager. Doo		
Process 🛛 Outcome 🖾 Outpu		Compliance
No accounts were in credit at time of account	t closure.	
Issues		
None		
Recommendations		
None		
INOTIE		
Item 171	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.15	Chan and a second se	
A retailer must review a customer's bill on re		
paying that portion of the bill under review th		
dispute, or an amount equal to the average a		
months (excluding the bill in dispute, whicher	ver is less), and paying an	y future bills that are
properly due. Observations		
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc	cuments: NA	
Process 🛛 Outcome 🖾 Outpu		Compliance
There have been no requests to review a bil		
Issues		
None		
Recommendations		
Nezo		
None		
Item 172	Adequacy of controls	Compliance rating
	rating	
Item 172 Electricity Industry Act Code of Conduct		Compliance rating Not Rated
Item 172	rating	
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a)	rating Not performed	Not Rated
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill and	rating Not performed d is satisfied that the bill is	Not Rated
Item 172Electricity Industry Act Code of ConductLicence:RetailCode of Conduct clause 4.16(1)(a)If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid	d is satisfied that the bill is amount. The retailer must	Not Rated
Item 172Electricity Industry Act Code of ConductLicence:RetailCode of Conduct clause 4.16(1)(a)If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter term	d is satisfied that the bill is amount. The retailer must st in accordance with the	Not Rated
Item 172Electricity Industry Act Code of ConductLicence:RetailCode of Conduct clause 4.16(1)(a)If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retail	d is satisfied that the bill is amount. The retailer must st in accordance with the ler's internal complaints h	Not Rated
Item 172Electricity Industry Act Code of ConductLicence:RetailCode of Conduct clause 4.16(1)(a)If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retail details of any applicable external complaints	d is satisfied that the bill is amount. The retailer must st in accordance with the ler's internal complaints h	Not Rated
Item 172Electricity Industry Act Code of ConductLicence:RetailCode of Conduct clause 4.16(1)(a)If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retail	d is satisfied that the bill is amount. The retailer must st in accordance with the ler's internal complaints h	Not Rated
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retail details of any applicable external complaints Observations Documents Compliance 	rating Not performed d is satisfied that the bill is amount. The retailer must ist in accordance with the ler's internal complaints h handling processes.	Not Rated
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retaid details of any applicable external complaints Observations Documents □ Compliance □	rating Not performed d is satisfied that the bill is amount. The retailer must st in accordance with the ler's internal complaints h handling processes.	Not Rated s correct, the retailer advise the customer applicable law; and andling processes and
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retaid details of any applicable external complaints Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output	rating Not performed d is satisfied that the bill is amount. The retailer must ast in accordance with the ler's internal complaints h handling processes. cuments: NA t Reporting	Not Rated
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retaid details of any applicable external complaints Observations Documents Compliance Evidence: Interviewed Office Manager. Dool Process Outcome Output There have been no requests to review a bill	rating Not performed d is satisfied that the bill is amount. The retailer must ast in accordance with the ler's internal complaints h handling processes. cuments: NA t Reporting	Not Rated s correct, the retailer advise the customer applicable law; and andling processes and
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retaid details of any applicable external complaints Observations Documents Compliance Evidence: Interviewed Office Manager. Door Process Outcome Output	rating Not performed d is satisfied that the bill is amount. The retailer must ast in accordance with the ler's internal complaints h handling processes. cuments: NA t Reporting	Not Rated s correct, the retailer advise the customer applicable law; and andling processes and
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retaid details of any applicable external complaints Observations Documents Compliance Evidence: Interviewed Office Manager. Dool Process Outcome Output There have been no requests to review a bill	rating Not performed d is satisfied that the bill is amount. The retailer must ast in accordance with the ler's internal complaints h handling processes. cuments: NA t Reporting	Not Rated s correct, the retailer advise the customer applicable law; and andling processes and
Item 172 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.16(1)(a) If a retailer has reviewed a customer's bill an may require the customer to pay the unpaid that the customer may request for a meter te also, the existence and operation of the retaid details of any applicable external complaints Observations Documents Compliance Evidence: Outcome Output There have been no requests to review a bill Issues	rating Not performed d is satisfied that the bill is amount. The retailer must ast in accordance with the ler's internal complaints h handling processes. cuments: NA t Reporting	Not Rated s correct, the retailer advise the customer applicable law; and andling processes and

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No with

Item 173 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated	
Licence: Retail			
Code of Conduct clause 4.16(1)(b) If a retailer has reviewed a customer's bill an must adjust the bill in accordance with clause		s incorrect, the retailer	
Observations			
Documents Compliance			
Evidence: Interviewed Office Manager. Doc			
Process Outcome Output	· · · ·	Compliance 🛛	
There have been no requests to review a bill			
Issues			
None			
Recommendations			
None	1100		
Itom 174	Adaguagy of controls	Compliance rating	
Item 174 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating	
Electricity industry Act Code of Conduct	Not performed	Not Rated	
Licence: Retail			
Code of Conduct clause 4.16(2)			
A retailer must inform a customer of the outc	ome of the review of a bill	as soon as practicable.	
Observations			
Documents			
Evidence: Interviewed Office Manager. Doc	cuments: NA		
Process Outcome Output		Compliance 🛛	
There have been no requests to review a bill			
Issues			
None			
Recommendations			
None			
110110			
1		O	
Item 175	Adequacy of controls rating	Compliance rating	
Electricity Industry Act Code of Conduct	Not performed	Not Rated	
Licence: Retail		Hornatou	
Code of Conduct clause 4.16(3)			
If a retailer has not informed a customer of th	e outcome of the review of	of a hill within 20	
business days from the date of receipt of the			
customer with notification of the status of the			
Observations			
Documents Compliance			
Evidence: Interviewed Office Manager. Doc	cuments: NA		
Process Outcome Output Output		Compliance	
There have been no requests to review a bill			
Issues			
None			
Recommendations			
None			



Item 176	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct	Not performed	Not Rated
Licence: Retail		_ · · • • · · • • •
Code of Conduct clause 4.17(2)		
If a retailer proposes to recover an amount u		
default for which the retailer or distributor is r		ere a meter has been
found to be defective), a retailer must do so i Observations	n the manner specified.	
	1	
Documents Compliance		
Evidence:Interviewed Office Manager.DodProcessIOutcomeIOutput		Compliance
There have been no amounts undercharged		
Issues	C.Y 1	
None	100.0	
Recommendations	Contraction of the second	
None		
Item 176A	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.17(3)		
A retailer may charge a customer interest on	the undercharged amour	nt or require the
customer to pay a late fee, if the conditions in	n clause 4.17(3) are met.	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo		
Process There have been no amounts undercharged.		Compliance 🛛
Issues		
None Recommendations		
None		
Item 177	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not performed	Not Rated
Licence: Retail	Not performed	Not Nateu
Code of Conduct clause 4.18(2) If a customer (including a customer who has	vacated the supply addre	ss) has been
overcharged as a result of an error, defect, o		
responsible (including where a meter has be	en found to be defective),	the retailer must use its
best endeavours to inform the customer with		
aware of the error, defect, or default. Subject must ask the customer for instructions if the a		
account or repaid to the customer directly.		
Observations		
Documents		
Evidence: Interviewed Office Manager. Doc	cuments: NA	
Process		Compliance 🛛



There have been no amounts overcharged.		
Issues		
None		
Recommendations		
None		
None		
Item 178	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct	Not performed	Not Rated
_icence: Retail	Notpenoinieu	Not Rated
Code of Conduct cloups 4 19(2)		
Code of Conduct clause 4.18(3) A retailer must pay the amount overcharged	in accordance with the cu	stomer's instructions
vithin 12 business days of receiving the inst		
Observations		
Documents	cumente: NA	
Process D Outcome Outcome		Compliance 🛛
There have been no amounts overcharged.		
ssues		
Nana		
None Recommendations		
Recommendations		
None		
Item 179	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
_icence : Retail		
Code of Conduct clause 4.18(4)		
If instructions regarding repayment of an ove		
days of a retailer making the request, a retai	ler must use reasonable er	
amount overcharged to a customer's accour	t.	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Do	cuments: NA	
Process 🛛 Outcome 🖾 Outpu	It 🛛 Reporting 🗆	Compliance
There have been no amounts overcharged.		
ssues		
None		
Recommendations		
None		
None		
		-
Item 180	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Net Dete d
icence: Retail	Not performed	Not Rated
Code of Conduct clause 4.18(6)	A	
Where the amount overcharged is less than	\$100, a retailer may proce	eed to deal with the
natter as outlined in subclause 4.18(6).		
	1	
Documents Compliance		
Evidence: Interviewed Office Manager. Do	cuments: NA	



Process Outcome Output	t 🛛 Reporting 🗆	Compliance 🛛
There have been no amounts overcharged. Issues		
None		
Recommendations		
None		
Item 181 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.18(7) A retailer may, by giving the customer written debt owed to the retailer, provided that the cu experiencing payment difficulties or financial amount of credit, the retailer must deal with the clauses 4.18(2) or 4.18(6), as applicable.	ustomer is not a residentian hardship. If, after the set of the se	al customer off, there remains an
Observations		
DocumentsImage: ComplianceImage: ComplianceEvidence:Interviewed Office Manager.Doc	uments: NA	
Process Outcome Output Output		Compliance 🛛
There have been no amounts overcharged.		
Issues		
None Recommendations		<u></u>
None		
Item 182 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.19(1) If a retailer proposes to recover an amount of act or omission of a customer, the retailer mu		
Observations		
Documents Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Doc	humonto: NA	
Process Outcome Outcome Output There have been no adjustments.		Compliance 🗆
Issues		
None		
Recommendations		
None		
Item 183 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.19(2) If the meter is read under either clause 4.6 or adjustment is an amount owing to the custom		



inform the customer within 10 business days repayment of the amount subject to sub-clau		instructions about the
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo	cuments: NA	
Process 🛛 Outcome 🗖 Outpu		Compliance
There have been no adjustments.	· · · ·	
Issues		
None		
Recommendations		
None		
Item 184 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating
Licence: Retail	//9/8/4	
Code of Conduct clause 4.19(3) If a retailer receives instructions under subcla accordance with the customer's instructions w instructions. Observations		
Documents		
Evidence: Interviewed Office Manager. Doc	Luments: NA	
Process D Outcome O Outpu		Compliance
There have been no adjustments.		
Issues		
None		
Recommendations		
None		
Item 185	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use rea adjustment to the customer's account.	er subclause 4.19(2), with	in 5 business days of
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use rea adjustment to the customer's account. Observations	er subclause 4.19(2), with	in 5 business days of
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance 	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of edit the amount of the
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Output	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Outpu There have been no adjustments. Output	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of edit the amount of the
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Outpu There have been no adjustments. Issues	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of edit the amount of the
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Outpu There have been no adjustments. Issues None None None	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of edit the amount of the
Code of Conduct clause 4.19(4) If a retailer does not receive instructions und making the request, the retailer must use real adjustment to the customer's account. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Outpu There have been no adjustments. Issues	er subclause 4.19(2), with isonable endeavours to cr	in 5 business days of edit the amount of the



Electricity Industry Act Code of Conduct Licence: Retail	rating Not performed	
Licence: Retail	Not performed	
Licence: Retail		Not Rated
Code of Conduct clause 4.19(7) A retailer may, after notifying the customer off that customer's debt owed to the retaile customer in payment difficulties or financia amount of credit, the retailer must deal with or, if the amount is less than \$100, subclau Observations	r, provided that the custom I hardship. If, after the set o I that amount in accordance	er is not a residential ff, there remains an
Documents		
Evidence: Interviewed Office Manager. D	ocuments: NA	
Process D Outcome D Outc		Compliance
There have been no adjustments.		
Issues		
None	1 Martine Contraction	
Recommendations		
None		
ayment		
Item 187	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	A	1
Licence: Retail		
Code of Conduct clause 5.1		
The due date on a bill must be at least 12 b	ousiness days from the disc	atch date of that bill

unless otherwise agreed with a customer.

Observation	3									
Documents		Compliance		$\overline{\mathbf{A}}$		1				
Evidence: Ir	ntervi	ewed Office N	/lanag	er. Doc	uments	s: Sample Bills	S			
Process		Outcome		Output	\square	Reporting	$\mathbf{\nabla}$	Compliance		$\mathbf{\nabla}$
Bills show du	e dat	e of at least 1	2 busi	iness da	ays fro	m the dispatch	n date	or otherwise a	gree	d.
Issues					2					
None										
Recommend	latior	าร		ZA		120				
None										

Item 188 Adequacy of controls Compliance rating rating Electricity Industry Act Code of Conduct A 1 Licence: Retail Code of Conduct clause 5.2 Unless otherwise agreed with a customer, a retailer must offer the customer at least the payment methods prescribed in clause 5.2. Observations \checkmark Documents 🗹 Compliance Evidence: Interviewed Office Manager. Documents: Sample Bills ☑ Compliance ☑ Outcome ☑ Output ☑ Reporting $\mathbf{\nabla}$ Process All methods are offered. Issues



None		
Recommendations		
None		
Item 189	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Licence: Retail	A	1
Code of Conduct clause 5.3		(
Prior to commencing a direct debit facility, a consent and agree with the customer the date		
frequency of the direct debits.		le facility and the
Observations		
DocumentsImage: ComplianceImage: DocumentationEvidence:Interviewed Office Manager. Doc	Lumente: cample verifichly	e consent and
agreement to conditions.	sumento, sample verillable	
Process I Outcome I Outpu	t 🗹 Reporting 🗹	Compliance
The sample showed compliance with the rec		customers with direct
debit and the sample was 6.		
Issues		
None		
Recommendations		
None		
ltere 400		Compliance ration
Item 190 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Electricity industry Act Code of Conduct	A	1
Licence: Retail	1	
Code of Conduct clause 5.4	_	
Upon request, a retailer must accept payment	t in advance from a custon	ner. This will not require
a retailer to credit any interest to the amounts		
otherwise agreed with a customer, the minimu	um amount for an advance	e payment that a retailer
will accept is \$20.		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doo		
Process 🗹 Outcome 🗹 Outpu	· _ v	
The procedures allow for payment in advance in advance.	e and nave been accepte	ea. Two customers pay
Issues		
None Recommendations		
Recommendations		
None		

Item 197 Electricity Industry Act Code of	Adequacy of controls rating A	Compliance rating
Conduct		1
Licence: Retail		
Code of Conduct clause 5.7(1) A retailer must not require a customer, we electricity consumed at the customer's su subclause 5.7(1).		



Observations			
Documents 🗹 Compliance 🗹			
Evidence: Interviewed Office Manager. Doc	cuments: sample account		
Process 🗹 Outcome 🗹 Output		Compliance	\checkmark
One customer has vacated the supply addre			
Issues		0	
None			
Recommendations			
Recommendations			
None			
Item 198	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating	g	
	Not Performed	Not Rated	
Licence: Retail	6.9		
Code of Conduct aloung E 7(2)			
Code of Conduct clause 5.7(2) If a customer reasonably demonstrates to a r	atailer that the oustomer	was evicted or	
otherwise required to vacate a supply address			21
for electricity consumed at that supply address			
the retailer.		and gave the notice i	.0
Observations			
Documents Compliance			-
Evidence: Interviewed Office Manager. Doc			-
Process Outcome Output Output			
One customer has vacated the supply addre	ss and was not evicted or	otherwise required to	o
vacate a supply address.			-
155065			
None			_
Recommendations			
None			
		0 "	
	dequacy of controls	Compliance rating	
, , , , , , , , , , , , , , , , , , , ,	ting		
Conduct A		1	
Licence: Retail			
Code of Conduct clause 5.7(4)			
Notwithstanding sub-clauses 5.7(1) and (2), a			
pay for electricity consumed at the supply ad	dress in the circumstance	es specified in subclau	JSe
5.7(4).			
Observations			
Documents 🗹 Compliance 🗹			
Evidence: Interviewed Office Manager. Doc	cuments: sample accounts	\$	
Process 🛛 🗹 🛛 Outcome 🖉 🖉 Output			\checkmark
ProcessImage: Contract of the second sec	t 🗹 Reporting 🗹	Compliance	V
	t 🗹 Reporting 🗹	Compliance	V
Previous customers did not pay for electricity	t 🗹 Reporting 🗹	Compliance	Ø
Previous customers did not pay for electricity circumstances specified. Issues	t 🗹 Reporting 🗹	Compliance	
Previous customers did not pay for electricity circumstances specified. Issues None	t 🗹 Reporting 🗹	Compliance	
Previous customers did not pay for electricity circumstances specified. Issues	t 🗹 Reporting 🗹	Compliance	



Item 201	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating A	1
Licence: Retail	Λ	I
Code of Conduct clause 5.8(2)	receiver a debt from a parag	n relating to a supply
A retailer must not recover, or attempt to address other than the customer who the	retailer has or had entered	into a contract for the
supply of electricity to that supply address		
Observations		
Documents 🗹 Compliance 🗹	1	
Evidence: Interviewed Office Manager.	Documents: sample account	s
		1 Compliance
Only the customer as the contract holder	of the supply address has p	aid for debts.
Issues		
None	C 22	
Recommendations	1 yan	
None		
Item 201A	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Lieenee: Deteil	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 5.9		
A retailer may transfer one customer's de		
owing the debt and provided that the reta the transfer.	lier obtains the other custom	er's verifiable consent to
Observations		
	-	
Documents Compliance	-	
Evidence: Interviewed Office Manager. Process	tput	
There has been no request.		
Issues		
None Recommendations		
None		
Payment Difficulties and Financial Ha	ardship	

P

Item 228 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating				
	Not Performed	Not Rated				
Licence: Retail						
Code of Conduct clause 6.11						
A retailer must consider any reasonable requ		ent arrangements from a				
business customer who is experiencing payr	nent difficulties.					
Observations						
Documents Compliance						
Evidence: Interviewed Office Manager. Doo	cuments: NA					
Process Outcome Outpu	t 🛛 Reporting 🗌	Compliance				
There has been no request.	There has been no request.					
Issues						
None						



Recommendations

None

Disconnection

Item 229	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not Performed	Not Rated
Licence: Retail	Not Fellolliled	NUL RALEU
Code of Conduct clause 7.1(1) Prior to arranging for a disconnection of a cu	stomer's supply address	for failure to pay a hill
a retailer must give the customer a reminder		
in subclause $7.1(1)(a)$, not less than 15 busin		
retailer must use its best endeavours to cont		
disconnection and give the customer a disco	nnection warning, in the r	manner and timeframes
specified in subclause 7.1(1)(c).	Condition of the second	
Observations	E.	
Documents Compliance		
Evidence: Interviewed Office Manager. Doc		
Process Outcome Output Output	t 🗆 Reporting 🗆	Compliance
There have been no disconnections.		
Issues	HA	
None		
Recommendations		
None		
Item 230	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 7.2(1)		
A retailer must not arrange for a disconnection		ddress for failure to pay
a bill in the circumstances specified in subclau	ıse 7.2(1).	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc	uments: NA	
Process 🛛 Outcome 🖾 Output	t 🗆 Reporting 🗆	Compliance
There have been no disconnections.		
Issues		
None		
Recommendations		
None		
None		
Item 232	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	compliance rating
Listing industry her odde of conduct	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 7.4(1)		
Unless the conditions specified in subclause 7	.4(1) are satisfied, a retail	er must not arrange for
the disconnection of a customer's supply addr	ess for denying access to	the meter.
IcGill Engineering Services Pty Ltd		Page 67

Observation	S								
Documents		Compliance							
Evidence: In	ntervi	ewed Office M	lanage	r. Doc	uments	: NA			
Process		Outcome		Dutput		Reporting		Compliance	
There have b	een r	no disconnecti	ons.						
Issues									
None									
Recommend	latior	าร							
None									
Item 234					Adequ	acy of control	s	Compliance rati	ng
— 1 <i>·</i> · · · ·			`			-		•	2

11				
Item 234	Adequacy of controls Compliance rating			
Electricity Industry Act Code of Conduct	rating			
	Not Performed	Not Rated		
Licence: Retail				
Code of Conduct clause 7.6	in a start			
Subject to subclause 7.6(3), a retailer or dist	ributor must comply with t	he limitations specified		
in sub-clauses 7.6(1) - (2) when arranging for				
supply address.		looking a cactomer c		
Observations				
Observations				
Documents Compliance				
Evidence: Interviewed Office Manager. Doo	cuments: NA			
Process Outcome Output Output	t 🗆 Reporting 🗆	Compliance		
There have been no disconnections.				
Issues				
None				
Recommendations				
None				

Item 235 Electricity Ind	lustry	Act Code of	Conduct	Adequ rating A	acy of controls	6	Compliance rating	
Licence:	R	etail			/			
	provi at a p	des a retailer person residin	g at the custo	omer's s	upply address		qualified medical uires life support	
Observation	s							
Documents	\checkmark	Compliance	\square					
Evidence: Ir Power	ntervi	ewed Office M	lanager. Doc	uments	: Register, not	e of	advice to Western	
Process	V	Outcome	☑ Output		Reporting	N	Compliance	$\mathbf{\nabla}$
							after 2016 Code). no disconnections of	of
Issues								
None								
Recommend	latior	าร						
None								



1/ 000								
Item 236	Adequacy of controls rating	Compliance rating						
Electricity Industry Act Code of Conduct	Not Performed	Not Rated						
Licence: Retail	Not Pollomiou	Normalou						
Code of Conduct clause 7.7(2)								
A retailer must undertake the actions specifi	ied in sub clauses 7 7(2)(a	a)-(a) if a customer						
registered with a retailer under subclause 7.								
 that the person requiring life support equipation 	uipment is changing supp	ly address;						
 that the customer, but not the person re supply address; 	 that the customer, but not the person requiring life support equipment, is changing supply address; 							
• of a change in contact details; or								
• that the address no longer requires regi	stration as life support eq	uipment address.						
Observations								
Documents Compliance	6.9							
Evidence: Interviewed Office Manager. Doc Power	cuments: Register, note of	advice to Western						
Process Outcome Output	t 🗆 Reporting 🗆	Compliance 🛛						
A customer is on life support equipment.	1 Store 1							
There has been no change of address or cor		ddress does not require						
life support equipment nor has the customer	changed.							
Issues								
None								
Recommendations								
None								
Item 240	Adequacy of controls	Compliance rating						
Electricity Industry Act Code of Conduct	rating							
	Not Performed	Not Rated						
Licence: Retail								
Code of Conduct clause 7.7(6)								
A retailer must contact the customer to ascer								
to request re-certification in the timeframe, m	anner and circumstances	specified in subclause						
7.7(6). Observations								
Documents Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Doc	uments: Register, note of	advice to Western						
Power	sumenta. Register, note of	advice to western						
Process Outcome Output	t 🗆 Reporting 🗆	Compliance						
A customer is on life support equipment.								
It is not 12 months since the customer advise								
ascertain whether life support equipment is r	equired or to request re-co	ertification.						
Issues								
Issues None								
None								

Item 241 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		



Code of Conduct clause 7.7(7)

A retailer or a distributor must remove the customers' details from the life support equipment register in the circumstances and timeframes specified in subclause 7.7(7).
Observations
Documents D Compliance D
Evidence: Interviewed Office Manager. Documents: Register, note of advice to Western
Power
Process Outcome Output Reporting Compliance
A customer is on life support equipment and still requires the supply.
Issues
None
Recommendations
None

Reconnection

Item 242	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating			
	Not Performed	Not Rated		
Licence: Retail				
Code of Conduct clause 8.1(1)				
A retailer must arrange to reconnect a custom	er's supply address if the	customer remedies their		
breach, makes a request for reconnection and	I pays the retailer's reason	able charges (if any) for		
reconnection, or accepts an offer of an instalm	nent plan for the retailer's r	easonable charges.		
Observations				
Documents Compliance				
Evidence: Interviewed Office Manager. Doc	cuments: NA			
Process Outcome Output	t 🗆 Reporting 🗆	Compliance		
There were no disconnections to require re-c	connection.			
Issues				
None				
Recommendations	1-0			
None				
Item 243	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating			
	Not Performed Not Rated			

					INOT PE	enormea		Not Rated	
Licence:	R	etail							
Code of Cond	duct o	clause 8.1(2)							
A retailer mus	st for	ward the reque	est fo	r reconn	nection 1	to the relevan	t distr	ributor within the	
timeframes sp	becifi	ed in subclaus	se 8.1	(2).					
Observation	S								
Documents		Compliance							
Evidence: In	itervi	ewed Office M	lanag	er. Doc	uments	: NA			
Process		Outcome		Output		Reporting		Compliance	
There were ne	o dis	connections to	o requ	uire re-c	onnecti	on.			
Issues									
None									
Recommend	atio	ns							
None									



Information & Communication

Licence: Retail Code of Conduct clause 10.1(1) A retailer must give notice of any variations in its tariffs to each of its customers affected by the variation on later than the next bill in the customer's billing cycle. Observations Documents Image: Compliance Evidence: Interviewed Office Manager. Documents: Sample bills Process Image: Compliance Recommendations Image: Compliance Advance notice of tariff increases not given. Recommendations Implement procedure to give advance notice of tariff charges. Issues Advance notice of tariff increases not given. Recommendations Implement procedure to give advance notice of tariff charges. Item 273 Electricity Industry Act Code of Conduct Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs. including alternative tariffs. Observations Documents Compliance Inter Yate been no requests. Issues None None None Documents Code of Conduct clause 10.1(3) A retail	Item 272 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating	
A retailer must give notice of any variations in its tariffs to each of its customers affected by the variation no later than the next bill in the customer's billing cycle. Observations Documents ☑ Compliance ☑ Evidence: Interviewed Office Manager. Documents: Sample bills Process ☑ Compliance ☑ Process ☑ Output ☑ Reporting ☑ Compliance ☑ Advance notice of tariff increases not given. Recommendations Implement procedure to give advance notice of tariff charges. Compliance rating not Recommendations Implement procedure to give advance notice of tariff charges. Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Compliance information on its tariffs, including alternative tariffs. Compliance information on the tariffs. Observations □ Output □ Reporting Compliance Documents □ Compliance □ □ Evidence: Interviewed Office Manager. Documents: NA Process □ Output □ Reporting □ Compliance □ Documents □ Output □ Reporting □ Compliance □ Dotareents □	Licence: Retail	В	2	
Evidence: Interviewed Office Manager. Documents: Sample bills Process Ø Outcome Ø Output Ø Reporting Ø Compliance Ø While the number of customers is small (4), the bills did not show future CPI tariff increases. Implement procedure to give advance notice of tariff charges. Advance notice of tariff increases not given. Recommendations Compliance rating rating Not Performed Not Rated Licence: Retail Adequacy of controls rating Not Performed Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Ocuments Compliance Implements: NA Process Output Reporting Compliance Implement None Issues Not Rated Implement Implement Documents Compliance Implements: NA Process Implement Implement Process Output Reporting Compliance Implement Implement Recommendations None Recommendations Not Performed Not Rated Implement <	A retailer must give notice of any variations in its tariffs to each of its customers affected by the variation no later than the next bill in the customer's billing cycle.			
Evidence: Interviewed Office Manager. Documents: Sample bills Process Ø Outcome Ø Output Ø Reporting Ø Compliance Ø While the number of customers is small (4), the bills did not show future CPI tariff increases. Implement procedure to give advance notice of tariff charges. Advance notice of tariff increases not given. Recommendations Compliance rating rating Not Performed Not Rated Licence: Retail Adequacy of controls rating Not Performed Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Ocuments Compliance Implements: NA Process Output Reporting Compliance Implement None Issues Not Rated Implement Implement Documents Compliance Implements: NA Process Implement Implement Process Output Reporting Compliance Implement Implement Recommendations None Recommendations Not Performed Not Rated Implement <				
Process Ø Outcome Ø Output Ø Reporting Ø Compliance Ø While the number of customers is small (4), the bills did not show future CPI tariff increases. Issues Advance notice of tariff increases not given. Recommendations Implement procedure to give advance notice of tariff charges, Adequacy of controls rating Not Performed Compliance rating Rating Not Performed Item 273 Electricity Industry Act Code of Conduct Adequacy of controls rating Not Performed Compliance rating Rating Not Performed Iconce: Retail Compliance rating Rating Not Performed Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance Implement Process Compliance Implement Process Values Output Reporting Compliance Implement Process Implement Process Documents Output Reporting Compliance Implement Process Implement Process None Output Reporting Compliance Implement Process Implement Process None Issues				
While the number of customers is small (4), the bills did not show future CPI tariff increases. Issues Advance notice of tariff increases not given. Recommendations Implement procedure to give advance notice of tariff charges, Item 273 Electricity Industry Act Code of Conduct Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance Process Output Issues None Recommendations None Item 274 Electricity Industry Act Code of Conduct Adequacy of controls Issues None None Item 274 Electricity Industry Act Code of Conduct Recommendations None Observations Conpliance None Recommendations None Code of Conduct Cause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if reques			Compliance	
Advance notice of tariff increases not given. Recommendations Implement procedure to give advance notice of tariff charges, Item 273 Adequacy of controls rating Not Performed Electricity Industry Act Code of Conduct Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Compliance				
Recommendations Implement procedure to give advance notice of tariff charges, Item 273 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Code of Conduct clause 10.1(2) Not Rated On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance	Issues			
Recommendations Implement procedure to give advance notice of tariff charges, Item 273 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Code of Conduct clause 10.1(2) Not Rated On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance	Advance notice of tariff increases not given.			
Item 273 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Not Performed Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance Image: Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Documents: NA Pocess Image: Compliance Image: Compliance There have been no requests. Image: Compliance Image: Compliance Image: Compliance Image: Compliance None Image: Compliance Image: Compliance Image: Compliance Image: Compliance Image: Compliance None Image: Compliance Ima		19 River		
Item 273 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Not Performed Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance Image: Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Documents: NA Poccess Compliance Image: Compliance There have been no requests. Image: Compliance Image: Compliance Image: Compliance Image: Compliance None Recommendations Not Rated Image: Compliance Image: Compliance Image: Compliance Item 274 Code of Conduct Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Image: Compliance Image: Compliance Documents Output Reporting Compliance Image: Compliance	Implement procedure to give advance notice	of tariff charges		
Electricity Industry Act Code of Conduct rating Not Performed Not Rated Licence: Retail Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Documents: NA Process Process Outcome Output Reporting Compliance Issues Issues Image: Compliance Image: Compliance Image: Compliance None Outcome Output Reporting Compliance Image: Compliance Issues Image: Compliance		or tarm onargoo,		
Electricity Industry Act Code of Conduct rating Not Performed Not Rated Licence: Retail Not Rated Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Documents: NA Process Process Outcome Output Reporting Compliance Issues Issues Image: Compliance Image: Compliance Image: Compliance None Outcome Output Reporting Compliance Image: Compliance Issues Image: Compliance				
Not Performed Not Rated Licence: Retail Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations			Compliance rating	
Licence: Retail Code of Conduct clause 10.1(2) On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations	Electricity industry Act Code of Conduct		Not Rated	
On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs. Observations Documents Compliance	Licence: Retail			
Evidence: Interviewed Office Manager. Documents: NA Process Outcome Output Process Outcome Issues None Recommendations None Recommendations None Item 274 Electricity Industry Act Code of Conduct Adequacy of controls rating Not Performed Not Rated Licence: Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Outcome Outcome Outcome Output Reporting Compliance Recommendations	On request and at no charge, a retailer must provide a customer with reasonable information on its tariffs, including alternative tariffs.			
Process Outcome Output Reporting Compliance There have been no requests. Issues None Recommendations None Item 274 Electricity Industry Act Code of Conduct Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Image: Compliance Output Process Outcome Outcome Output Reporting Compliance Interviewed Office Manager. Documents: NA Process Outcome Outcome Output Reporting Compliance Issues None Recommendations				
There have been no requests. Issues None Recommendations None Recommendations None Item 274 Electricity Industry Act Code of Conduct Adequacy of controls rating Not Performed Not Rated Licence: Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Documents Outcome Output Reporting Compliance Interviewed Office Manager. Documents: NA Process Outcome Output Reporting Compliance Issues None Recommendations				
Issues None Recommendations None None Item 274 Electricity Industry Act Code of Conduct Recommendations Not Performed Not Rated Licence: Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Process Output Nore Issues None Recommendations				
None Recommendations None Item 274 Adequacy of controls rating Not Performed Electricity Industry Act Code of Conduct Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Not Performed Not Rated Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Evidence: Interviewed Office Manager. Documents: NA Process Outcome Output Reporting Compliance Issues None Recommendations Interviewed States of the second to t				
Recommendations None Item 274 Electricity Industry Act Code of Conduct Adequacy of controls rating Not Performed Not Rated Licence: Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Process Outcome Outcome Output Reporting Compliance There have been no requests. Issues None Recommendations	Nene			
None Item 274 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Not Rated Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Evidence: Interviewed Office Manager. Documents: NA Process Outcome Output Reporting Compliance There have been no requests. Issues None Recommendations None Recommendations				
Item 274 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Not Performed Not Rated Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations Documents Compliance Image: Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Documents: NA Image: Compliance Image: Compliance Image: Compliance Process Image: Outcome Image: Compliance Image: Compliance Image: Compliance Image: State Compliance Image: Compliance Image: Compliance Image: Compliance Image: Compliance Image: State Compliance Image: Compliance Image: Compliance Image: Compliance Image: Compliance Image: Compliance There have been no requests. Image: Compliance Image: Complianc				
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Licence: Retail Code of Conduct clause 10.1(3) A retailer must give a customer the information requested on tariffs within 8 business days of the date of receipt and, if requested, provide the information in writing. Observations	Electricity Industry Act Code of Conduct		Not Potod	
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Observations Image: Compliance Image: Documents: NA Evidence: Interviewed Office Manager. Documents: NA Image: Documents: NA Process Image: Documents: NA Process Image: Documents: NA Process Image: Documents: NA Process Image: Documents: NA Image: Documents: NA Image: Documents: NA Image: Document is the process Image: Document is the process Issues Image: Document is the process None Image: Document is the process Recommendations Image: Document is the process				
Evidence: Interviewed Office Manager. Documents: NA Process Outcome Output Reporting Compliance Issues None Recommendations Recommendat				
Evidence: Interviewed Office Manager. Documents: NA Process Outcome Output Reporting Compliance Issues None Recommendations Recommendat	Documents			
Process Image: Outcome Image: Output		uments: NA		
Issues None Recommendations				
None Recommendations	There have been no requests.			
Recommendations	Issues			
	None			
None	Recommendations			
	None			



Item 280 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating		
Licence: Retail	В	2		
<i>Code of Conduct clause 10.3A</i> At least once a year, a retailer must provide a customer with written details of the retailer's and distributor's obligations to make payments to the customer under Part 14 of this Code and under any other legislation in Western Australia, including the amount of the payment and the eligibility criteria for the payment.				
Observations				
Documents 🗵 Compliance 🗵				
Evidence: Interviewed Office Manager. Doc				
Process 🗵 Outcome 🗵 Output		Compliance		
While there have been no disconnections no		laints there has been no		
notice to customers about service standard p	ayments.			
ISSUES				
No notice about service standard payments.				
Recommendations				
Provide a procedure to and issue notices at least once a year about service standard payments.				
Item 281	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating	Compliance rating		
	Not Performed	Not Rated		
Licence: Retail				
Code of Conduct clause 10.4 On request and at no charge, a retailer must	aive, or make available to			
information on cost effective and efficient was costs of major domestic appliances.				
costs of major domestic appliances. Observations Documents Compliance	ys to utilise electricity; and			
costs of major domestic appliances. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Doc	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Documents Image: Compliance Image: Compliance Documents Image: Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Doc Output Process Image: Compliance Image: Compliance	ys to utilise electricity; and uments: NA			
costs of major domestic appliances. Observations Documents □ Evidence: Interviewed Office Manager. Process □ Outcome □ There have been no requests.	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Documents Image: Compliance Image: Compliance Documents Image: Compliance Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Doc Output Process Image: Compliance Image: Compliance	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Documents □ Evidence: Interviewed Office Manager. Door Process □ Outcome □ There have been no requests. Issues None	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Documents □ Evidence: Interviewed Office Manager. Process □ Outcome □ Outcome □ Issues Units of the second secon	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Compliance Documents Compliance Evidence: Interviewed Office Manager. Doc Process Outcome Output There have been no requests. Issues None None	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Doc Process □ Outcome □ Process □ Outcome □ Output There have been no requests. Issues Issues Issues None Recommendations Issues Issues	ys to utilise electricity; and uments: NA	I the typical running		
costs of major domestic appliances. Observations Documents □ Compliance □ Evidence: Interviewed Office Manager. Doc Process □ Outcome □ Process □ Outcome □ Output There have been no requests. Issues Issues Issues None Recommendations Issues Issues	Adequacy of controls rating	Compliance rating		
costs of major domestic appliances. Observations Documents Compliance Evidence: Interviewed Office Manager. Process Outcome Process Outcome Output There have been no requests. Issues None Recommendations None	ys to utilise electricity; and uments: NA t	the typical running		
costs of major domestic appliances. Observations Documents Documents Compliance Evidence: Interviewed Office Manager. Process Outcome Process Outcome Process Outcome Process Outcome Issues None Recommendations None	Adequacy of controls rating	Compliance rating		
costs of major domestic appliances. Observations Documents Compliance Evidence: Interviewed Office Manager. Process Outcome Issues None Recommendations None Item 282 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 10.5 If asked by a customer for information relatingive the information to the customer or reference response.	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
costs of major domestic appliances. Observations Documents Compliance Evidence: Interviewed Office Manager. Process Outcome Process Outcome Output There have been no requests. Issues None Recommendations None Item 282 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 10.5 If asked by a customer for information relating give the information to the customer or reference of the customer of the customer or reference of the customer oreference of the customer or reference of the cust	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
costs of major domestic appliances. Observations Documents Compliance Evidence: Interviewed Office Manager. Process Outcome Issues None Recommendations None Item 282 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 10.5 If asked by a customer for information relatingive the information to the customer or reference response.	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
costs of major domestic appliances. Observations Documents Compliance Evidence: Interviewed Office Manager. Process Outcome Issues None Recommendations None Item 282 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 10.5 If asked by a customer for information relatingive the information to the customer or refering response. Observations	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
costs of major domestic appliances. Observations Documents Compliance Evidence: Interviewed Office Manager. Process Image: Interviewed Office Manager. Process Interviewed Office Manager. Issues Issues None Recommendations None Item 282 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 10.5 If asked by a customer for information relatingive the information to the customer or referingence. Observations Documents Image: Documents	Adequacy of controls rating Not Performed	Compliance rating Not Rated		



There have been no requests.
Issues
None
Recommendations
None

Item 290 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
	A	1
Licence: Retail		
Code of Conduct clause 10.9 To the extent practicable, a retailer and distrib must be given to a customer by the retailer or the Code of Conduct is expressed in clear, sin easy to understand.	distributor or its electricity	marketing agent under
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc package	cuments: Standard for con	tract, Welcome
Process 🗹 Outcome 🗹 Output	: 🗹 Reporting 🗹	Compliance 🗹
The sample documents comply.		
Issues		
None		
Recommendations		
None		
Item 291 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail		Hot Halou
Code of Conduct clause 10.10(1) On request, a retailer and a distributor must i Code of Conduct.	inform a customer how to	obtain a copy of the
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc		
Process Outcome Output	1 0	Compliance
There have been no requests. The Code is a	t the office.	
Issues		
None		

Recommendations

None

Item 292 Electricity Industry Act Code of Conduct	Adequacy of controls rating B	Compliance rating			
Licence: Retail					
<i>Code of Conduct clause 10.10(2)</i> A retailer and distributor must make electronic copies of the Code of Conduct available on their websites, at no charge.					



Observation	s								
Documents	×	Compliance		×					
Evidence: Ir	ntervi	ewed Office M	lanag	er. Docu	uments	: NA			
Process	×	Outcome	×	Output	×	Reporting	×	Compliance	×
The Code wa	is not	on the web s	ite but	t is now.					
Issues									
Code not on web site									
Recommendations									
The Code is now on the website.									

Item 297	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not Performed	Not Rated
Licence: Retail	C ¹	
Code of Conduct clause 10.12(2)		
On request, a retailer must advise a custom	er of the availability of diffe	erent types of meters or
refer the customer to the relevant distributor	for a response.	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Do	cuments: NA	
Process 🛛 Outcome 🖾 Output	It 🛛 Reporting 🛛	Compliance
There have been no requests.		
Issues	100	
None		
Recommendations		
None		

Complaints and Dispute Resolution

Item 298			Adequacy of controls	Compliance rating	3
Electricity Industry Act Code of Conduct			rating		
			Α	1	
Licence:	Retail				
Code of Cond	duct clause 12.1(1))			
A retailer and	distributor must de	evelop, maint	ain and implement an	internal process for	
handling com	plaints and resolvi	ng disputes.			
Observation	5				
Documents	☑ Compliance	$\mathbf{\nabla}$			
Evidence: In	Iterviewed Office N	/lanager. Doc	uments: Complaints p	rocess and manual	
Process	☑ Outcome	☑ Output	☑ Reporting	☑ Compliance	$\mathbf{\nabla}$
The licensee	has a complaints p	process and r	nanual. The ERA has	approved the process.	
Issues					
None					
Recommend	ations				
None					

Item 299 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 12.1(2)		



The complaints handling process under subclause 12.1(1) must comply with the requirements specified in subclauses 12.1(2)(a), (b) and (c) and be made available at no cost. **Observations** Documents 🗹 Compliance $\mathbf{\Lambda}$ Evidence: Interviewed Office Manager. Documents: Complaints process and manual □ Outcome □ Output □ Reporting $\mathbf{\nabla}$ Process ☐ Compliance The complaints process complies and is available at no cost. Issues None Recommendations None Compliance rating Item 300 Adequacy of controls Electricity Industry Act Code of Conduct rating Not Performed Not Rated Licence: Retail Code of Conduct clause 12.1(3) A retailer or a distributor must advise the customer in accordance with subclause 12.1(3). Observations Documents 🛛 Compliance Evidence: Interviewed Office Manager. Documents: NA Process

Outcome

Output

Reporting □ Compliance There have been no complaints.

Issues None

Recommendations

None

Item 301				Adequacy of contro	ls	Compliance ratir	ng
Electricity Industry Act Code of Conduct		rating					
				Not Performed		Not Rated	
Licence:	R	etail					
Code of Cond	duct o	clause 12.1(4)					
On receipt of	a writ	ten complaint by a c	ustome	er, a retailer or distrib	utor	must acknowledge	e the
				d to the complaint w			
Observation		,		011-0			
Documents		Compliance					
Evidence: In	tervi	ewed Office Manage	r. Doc	uments: NA			
Process		Outcome 🛛 0	Output	Reporting		Compliance	
There have b	een r	no complaints.					
Issues							
None							
Recommend	atior	IS					
None							

Item 302 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 12.2		



A retailer must comply with any guideline development of the second seco	eloped by the ERA to dis	tinguish customer
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc	uments: Complaints proc	cess and manual
Process I Outcome I Output		
The complaints process has been approved	by ERA.	
Issues		
None		
Recommendations		
None		
Item 303 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail		Hornatou
Code of Conduct clause 12.3		
On request and at no charge, a retailer, districustomer information that will assist the custoprocesses.		
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc	uments: NA	
Process Outcome Output		Compliance
There have been no requests nor complaints		
Issues		
None		
Recommendations		
None		
Item 304	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 12.4 When a retailer, distributor or electricity mark relate to its functions, it must advise the custo be appropriate to deal with the complaint (if k	omer of the entity that it re	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doc		
Process Outcome Output	Reporting	Compliance
There have been no complaints.		
Issues		
None		
Recommendations		
None		

Reporting



Item 305 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 13.1 A retailer and a distributor must prepare a rep the information specified by the ERA. Observations	port in respect of each rep	porting year setting out
	[
Documents Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. Doc	uments: performance ren	ort
Process I Outcome I Output		Compliance 🗹
The report was prepared in accordance with		
Issues		
None		
Recommendations		
None	1400	
Item 306 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 13.2 The report specified in clause 13.1 must be p manner and form, specified by the ERA. Observations	provided to the ERA by the	e date, and in the
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc	uments: performance rep	ort
Process 🗹 Outcome 🗹 Output		Compliance 🗹
The report was provided in accordance with t	the requirements.	
None Recommendations		
None		
Item 307 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Code of Conduct clause 13.3 The report specified in clause 13.1 must be ERA. In accordance with clause 13.3(2), a re		ecified by the
 copies are available to the public, without distributor transacts business with the public 		retailer or
 a copy is posted on the retailer or distribut Observations 	tor's website.	
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Office Manager. Doc		
Process I Outcome I Output		
The report was published in accordance with on the website by the due date.	the requirements. It is av	allable at the office and
Issues		



None

Recommendations

None

Service standard payments

		-
Item 308	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 14.1(1)		
Subject to clause 14.6, a retailer must pay the	stated compensation to a	customer if the
customer is not reconnected in accordance w		
Observations		
Documents Compliance	0.9	
Evidence: Interviewed Office Manager. Doo	suments: NA	
Process		Compliance 🛛
There have been no reconnections.		
Issues		
None Recommendations		
None		
Item 310	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 14.2(1)		
Subject to clause 14.6, a retailer must pay th	e specified compensation	to a customer if a
retailer fails to comply with any of the proced		
arranging for disconnection or disconnecting		
for disconnection or disconnects the custome		
clauses 7.2, 7.3, 7.6 or 7.7.		
Observations		
Evidence: Interviewed Office Manager. Doo		
Process Outcome Outpu	t 🛛 Reporting 🖾	Compliance
There have been no disconnections.		
Issues		
None		
Recommendations		
Nono		
None		
Item 312	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 14.3(1)		

McGill Engineering Services Pty Ltd



Evidence: In	ntervi	ewed Office M	lanag	ger. Docun	nents	: NA		
Process		Outcome		Output		Reporting	Compliance	
There have b	een i	no complaints						
Issues								
None								
Recommend	atio	าร						
·								
None								

Item 315	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating		
	Not Performed	Not Rated	
Licence: Retail			
Code of Conduct clause 14.7(1)			
A retailer that is required to make a compensation	ation payment for failing to	satisfy a service	
standard under clauses 14.1, 14.2 or 14.3 must do so in the manner specified in subclause			
14.7(1).			
Observations			
Documents Compliance			
Evidence: Interviewed Office Manager. Doc	uments: NA		
Process Outcome Output	□ Reporting □	Compliance 🛛	
There have been no service standard breaches to require payment.			
Issues			
None			
Recommendations			
None			

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

Item 324	Adequacy of controls	Compliance rating
Licence condition 5.1	rating	
	A	1
Licence: Retail		
Electricity Industry Metering Code clause 3.3	B	
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		
circumstances in a metering point which will		
the network operator within 2 business days.		
Observations		
Documents 🛛 Compliance 🖾		
Evidence: Interviewed Office Manager, Doo	cuments: The Licensee r	has no meters. Some
customers have bi directional meters		
Process 🗹 Outcome 🗹 Outpu		🛛 Compliance 🛛 🗹
For all customers installing solar systems Ar		
been bidirectional enabled. The retailers are	notified in the approval t	to connect to the network.
Issues		
None		
Recommendations		
None		



Item 339 Licence condition 5.1	Adequacy of controls rating	Compliance rating
	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 3.1 A Code participant who becomes aware of a must advise the network operator as soon as Observations	n outage or malfunction o	f a metering installation
DocumentsImage: ComplianceImage: ComplianceEvidence:Interviewed Office Manager. Doc	umanta. Tha Liaanaaa ha	no motoro
Process D Outcome Output		
The Licensee is not aware of any outages. T outages.		
Issues		
None	14000	
Recommendations		
None		
Item 364 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail	Not r chonned	Ther Haled
operator or a registered metering installation of work authorised by its registration. Observations Documents Observations Documents Observations Observations Documents Observations Observations Documents Observations Observa	uments: The Licensee hat t	as no meters. Compliance
None		
Item 371 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail		
Electricity Industry Metering Code clause 4.4 If there is a discrepancy between energy dat metering database, the affected Code partici determine the most appropriate way to resolve Observations Documents Compliance Evidence: Interviewed Office Manager 	a held in a metering insta pants and the network op ve the discrepancy.	erator must liaise to
Evidence: Interviewed Office Manager. Doc	suments: The Licensee ha	as no meters.
cGill Engineering Services Pty Ltd		Page 80



Process Outcome Outpu	It 🛛 Reporting 🗆	Compliance 🛛
There has been no advice of a meter discre	·	
Issues	paricy and no corrected da	
None		
Recommendations		
None		
Item 372	Adequacy of controls	Compliance rating
Licence condition 5.1	rating	
	A	Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 4.	5(1)	
A Code participant must not knowingly perm		ally inaccurate.
Observations	C (9)	
Documents 🗹 Compliance 🛛		
Evidence: Interviewed Office Manager. Do	cuments: The Licensee ha	as no meters.
Process 🗹 Outcome 🗹 Output	It 🗹 Reporting 🗆	Compliance
The Licensee has no knowledge of inaccura		egistry. The Licensee's
details have not changed.		
Issues		
None		
Recommendations		
None		
l(O a malia a cantin a
Item 373	Adequacy of controls rating	Compliance rating
Licence condition 5.1	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 4.	5(2)	
If a Code participant (other than a network of		of a change to or an
inaccuracy in an item of standing data in the		
and provide details of the change or inaccur	acy within the timeframes	prescribed.
Observations		
Documents		
Evidence: Interviewed Office Manager. Do	cuments: The Licensee ha	as no meters.
Process 🛛 Outcome 🖾 Outpu		
The licensee is not aware of any inaccuracie	es in an item of standing d	ata in the registry.
Issues		
None		
Recommendations		
None		
Ham 000		Compliance (
Item 388	Adequacy of controls	Compliance rating
Licence condition 5.1	rating Not Performed	Not Rated
Licence: Retail		Hornalou
	4(2)	
<i>Electricity Industry Metering Code clause 5.</i> A user must, when reasonably requested by		easonable endeavours
to assist the network operator to comply with		
subclause 5.4(1).		J
, , , ,		
Gill Engineering Services Ptv Ltd		Page 81



Documents ☑ Evidence: Interviewed Office Manager. Documents: The Licensee has no meters. Process ☑ Outcome ☑ Output ☑ Reporting ☑ Compliance Issues None Image: State Sta	Observations		
Process □ Outcome □ Utput □ Reporting □ Compliance □ No requests were made of users or the Licensee. Issues	Documents 🗹 Compliance 🗹		
No requests were made of users or the Licensee. Issues None Recommendations None Item 401 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Electricity Industry Metering Code clause 5.16 If a user collects or receives energy data from a metering installation then the user must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed. Observations Documents: The Licensee has no meters. Process Ø Outcome Ø Recommendations None Reporting Ø Compliance None Ø Outcome Ø Compliance Ø Recommendations None Recommendations None Recommendation 5.1 Not Performed Not Rated Licence: Retail Compliance rating nating Not Performed Compliance rating Not Rated Licence: Retail Compliance rating nating Not Rated Compliance rating Not Rated Electricity Industry Metering Code clause 5.17(1) A dequacy of controls rating Not Rated Compliance rating Not Rated Electricity Indust	Evidence: Interviewed Office Manager. Doc	uments: The Licensee ha	as no meters.
Issues None Recommendations None Item 401 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Electricity Industry Metering Code clause 5.16 If a user collects or receives energy data from a metering installation then the user must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed. Observations Documents Compliance Image: Compliance <td></td> <td></td> <td>Compliance</td>			Compliance
None Recommendations None Licence condition 5.1 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Electricity Industry Metering Code clause 5.16 If a user collects or receives energy data from a metering installation then the user must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed. Observations Documents Description Documents Outcome Dutput Reporting Compliance Description Issues Outcome Output Reporting Compliance Description Issues None Recommendations None None Recommendations None Recording metering Code clause 5.17(1) Adequacy of controls rating Not Performed Compliance rating Not Performed Not Rated Licence: Retail Electricity Industry Metering Code clause 5.17(1) A dequacy of controls rating Not Performed Not Rated Licence: Retail Electricity Industry Metering services to the customer. Observations retures, where 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	No requests were made of users or the Licer	isee.	
Recommendations None Licence condition 5.1 Adequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Electricity Industry Metering Code clause 5.16 If a user collects or receives energy data from a metering installation then the user must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed. Observations Documents Description Documents Outcome Description Process Outcome Output Reporting Compliance Issues None Item 402 Compliance Item 402 Issues None Recommendations None Item 402 Adequacy of controls rating Not Performed Compliance rating Not Performed Not Rated Licence: Retail Electricity Industry Metering Code clause 5.17(1) A dequacy of controls rating Not Performed Compliance rating Not Rated Licence: Retail Electricity Industry Metering Code clause 5.17(1) 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 of for the purpose of providing metering ser	Issues		
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Evidence: Interviewed Office Manager. Documents: The Licensee has no meters. Process Image: Outcome Output Image: Reporting Image: Compliance	Observations		
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Documents Compliance Image: Documents: The Licensee has no meters. Process Outcome Output Reporting Compliance Image: Documents: The Licensee has no meters. Process Outcome Output Reporting Compliance Image: Documents: The Licensee has no meters. Process Outcome Output Reporting Compliance Image: Documents: The Licensee has no meters. Process Outcome Output Reporting Compliance Image: Documents: The Licensee has no meters. 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 Feasible		e customer.	
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters. Process Outcome Output Reporting Compliance 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			
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customer on request and at no charge and would do so if there were any requests. Issues None Recommendations			
Issues None Recommendations			
None Recommendations			
Recommendations			
None			
	None		



Item 405 Licence condition 5.1	Adequacy of controls rating	Compliance rating
	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 5.1 If a user collects or receives information rega metering point then the user must provide th information, including the stated attributes, w	arding a change in the ene e network operator with th	ne prescribed
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo Process □ Outcome □ Output There has been no change in energisation s of metering. • • • •	t 🗆 Reporting 🗆	Compliance 🛛
Issues		
None	1 Mars	
Recommendations		
None	1.1.1.1	
Item 406 Licence condition 5.1	Adequacy of controls rating	Compliance rating
	Not Performed	Not Rated
Licence: Retail Electricity Industry Metering Code clause 5.		
if any, that assists the network operator in m elsewhere. Observations Documents Compliance Evidence: Interviewed Office Manager. Doc		
Process 🛛 Outcome 🖾 Outpu		
There have been no requests.		
Issues		
None Recommendations		
None		
· · · ·		
Item 407 Licence condition 5.1	Adequacy of controls rating	Compliance rating
Licence: Retail	Not Performed	Not Rated
Electricity Industry Metering Code clause 5.	19(2)	
A user must, to the extent that it is able, colle customer attributes, prescribed in relation to user is associated.	ect and maintain a record	
Observations		
Documents Compliance		
Evidence: Interviewed Office Manager. Doo		
Process 🛛 🗠 Outcome	t 🛛 Reporting 🗆	Compliance 🛛



The only connection points are with			
maintain a record of the address, sit			
transfer. This information is collected unless there is a manifest error.		estern Power and the ret	aller takes it on trust
lisues			
None			
Recommendations			
None			
Item 408		Adequacy of controls	Compliance rating
Licence condition 5.1		rating Not Performed	Not Rated
Licence: Retail		Not renomed	Not Rated
Electricity Industry Metering Code c	louise E	(10/2)	
Subject to subclauses 5.19(3A) and			husiness day after
becoming aware of any change in a			
network operator of the change.	attrib		20 01 0(2), notify the
notion operator et tile enanger			
Observations	//	1.50	and the second sec
Documents Compliance			
Evidence: Interviewed Office Mana		ocuments: The Licensee	has no meters
Process Outcome	Outp		
The only connection points are with			
changes in attributes.			
Issues			
None			
Recommendations			
None			
Item 410		Adequacy of controls	Compliance rating
Licence condition 5.1		rating	
		A	1
Licence: Retail			
Electricity Industry Metering Code c	lause 5	5.19(6)	
A user must use reasonable endeav			
of a change in an attribute described			ts from the provision of
standing data by the network operat	or to th	e user.	
Observations			
Documents 🗹 Compliance	\checkmark		
Evidence: Interviewed Office Mana	ager. D	ocuments: The Licensee	has no meters. Email
sighted.	-		

 sighted.

 Process
 ☑
 Outcome
 ☑
 Output
 ☑
 Reporting
 ☑
 Compliance
 ☑

 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		
Electricity Industry Metering Code clause 5 A Code participant must not request a test participant is a user and the test or audit re current user or the Code participant is the I Observations	or audit under subclause tates to a time or times at	
Documents Compliance		
Evidence: Interviewed Office Manager. Do		
ProcessImage: OutcomeImage: OutpA retailer may request a test only if at the tiAmanda has made no such requests.		Compliance □ incumbent retailer.
Issues		
None		
Recommendations	1 april 1	
None		11 1
Item 417 Licence condition 5.1	Adequacy of controls rating	Compliance rating
Licence: Retail	Not Performed	Not Rated
A Code participant must not make a request any access arrangement or agreement. Observations Documents Compliance Compliance Documents Do		
Evidence: Interviewed Office Manager. Do Process		as no meters.
A retailer may request a test only if at the ti Amanda has made no such requests.		
None		
Recommendations		
None		
Item 435 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 5 Upon request, a current user must provide information that it reasonably believes are n prescribed. Observations	the network operator with	
Documents Image: Compliance Image: Compliance Evidence: Interviewed Office Manager. December Compliance	ocuments: Not Applicable	
Process D Outcome Outp There have been no requests. This informative takes it on trust unless there is a manifest e	ut Reporting ation is collected by Weste	Compliance



Issues	
None	
None Recommendations	
None	

Licence condition 5.1 rating 1 Licence: Retail 1 Electricity Industry Metering Code clause 6.1(2) A user must, in relation to a network on which it has an access contract, comply with the procedures, agreements and criteria prescribed. Observations Documents Compliance	D priteria					
Licence: Retail Electricity Industry Metering Code clause 6.1(2) A user must, in relation to a network on which it has an access contract, comply with the procedures, agreements and criteria prescribed. Observations Documents Compliance Evidence: Interviewed Office Manager. Documents: The Licensee has no meters. Process Outcome Output Reporting Compliance The Licensee has an ETAC and has compiled with rules, procedures, agreements and criteria and further there have been no complaints. Compliance Issues None None Adequacy of controls rating A Compliance rating 1	D priteria					
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Evidence: Interviewed Office Manager. Documents: The Licensee has no meters. Process	criteria					
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Issues None Recommendations None Item 451 Licence condition 5.1 Adequacy of controls rating A 1						
None Recommendations None Item 451 Licence condition 5.1 Adequacy of controls rating A 1						
Recommendations None Item 451 Adequacy of controls rating A Compliance rating 1						
Item 451 Adequacy of controls rating Compliance rating Licence condition 5.1 A 1						
Item 451 Adequacy of controls Compliance rating Licence condition 5.1 A 1	Recommendations					
Licence condition 5.1 rating A 1	None					
Licence condition 5.1 rating A 1						
Licence condition 5.1 rating A 1	1					
A 1						
Licence: Retail						
Liochoc. Retain						
Electricity Industry Metering Code clause 7.2(1)						
Code participants must use reasonable endeavours to ensure that they can send and re	ceive					
a notice by post, facsimile and electronic communication and must notify the network op	erator					
of a telephone number for voice communication in connection with the Code.						
Observations						
Documents 🗹 Compliance 🗹						
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters.						
Process 🛛 Outcome 🖾 Output 🖾 Reporting 🖾 Compliance						
Western Power has the Licensee's relevant addresses and telephone number.	$\mathbf{\nabla}$					
Issues	M					
None						
Recommendations						
None						

Item 453	Adequacy of controls	Compliance rating		
Licence condition 5.1	rating			
	Not Performed	Not Rated		
Licence: Retail				
<i>Electricity Industry Metering Code clause 7.2(4)</i> If requested by a network operator with whom it has entered into an access contract, the Code participant must notify its contact details to a network operator within 3 business days after the request.				



Г

Observations			
Documents Documents Compliance		has no motoro	
	Dutput Reporting	□ Compliance □	
Western Power has the Licensee's rele			
period.	vant addresses. There was i	no request in the addit	
Issues			
None			
Recommendations			
None			
Item 454	Adequacy of controls	Compliance rating	
Licence condition 5.1	rating	Compliance failing	
	Not Performed	Not Rated	
Licence: Retail			
	20.72(5)		
Electricity Industry Metering Code claus A Code participant must notify any affect		change to the contact	
details it notified to the network operato			
effect.		siere the change takee	
Observations			
Documents Compliance			
Documents □ Compliance Evidence: Interviewed Office Manager		has no motors	
	Dutput Reporting	□ Compliance □	
There have been no address changes.			
Issues			
None Recommendations			
Recommendations			
None			
Item 455	Adequacy of controls	Compliance rating	
Licence condition 5.1	rating		
	A	1	
Licence: Retail			
Electricity Industry Metering Code claus	se 7.5		
A Code participant must subject to subc		sclose, 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	e Code.		
Observations			
Documents Compliance			
Evidence: Interviewed Office Manager	. 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	Adequacy of controls	Compliance rating		
Licence condition 5.1	rating	Net Deteil		
Licence: Retail	Not Performed	Not Rated		
Electricity Industry Metering Code cla		antial information that is		
A Code participant must disclose or p	ermit the disclosure of confid	ential information that is		
required to be disclosed by the Code. Observations				
Documents Compliance Evidence: Interviewed Office Manag		bas no motors		
	Output Declinents. The Licensee	Compliance		
There has been no confidential inform				
Issues				
None				
Recommendations				
None	1110			
Item 457	Adequacy of controls	Compliance rating		
Licence condition 5.1	rating	Compliance failing		
Licence condition 5.1	Not Performed	Not Rated		
Licence: Retail				
Electricity, he doe to Materia a October				
Electricity Industry Metering Code cla				
If any dispute arises between any Coo				
representatives of disputing parties m				
disputing party to the other disputing p	parties and attempt to resolve	e the dispute by		
negotiations in good faith.				
Observations				
Observations				
Documents Compliance				
Evidence: Interviewed Office Manag				
	Output Reporting			
There have been no disputes (the Lice	ensee has no disputes with V	Vestern Power).		
Issues				
None				
Recommendations				
None				
Item 458	Adequacy of controls	Compliance rating		
Licence condition 5.1	rating Not Derformed	Not Dotod		
Licence: Retail	Not Performed	Not Rated		
Electricity Industry Metering Code cla				
If a dispute is not resolved within 10 b				
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				
	<u> </u>			
Documents D Compliance				
Evidence: Interviewed Office Manag				
Process Outcome	Output Reporting			
There have been no disputes (the Lice	ensee has no disputes with V	vestern Power).		



Issues				
None				
Recommendations				
None				
Item 459 Licence condition 5.1	Adequacy of controls rating	Compliance rating		
	Not Performed	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	S. 19			
Documents Compliance				
Evidence: Interviewed Office Manager. Documents: The Licensee has no meters.				
Process Outcome	Output Reporting	□ Compliance □		

 Process
 Image: Outcome
 Image: Output
 Image: Output

None

Recommendations

None

Item 460	Adequacy of controls	Compliance rating				
Licence condition 5.1	rating					
	Not Performed	Not Rated				
Licence: Retail						
	Electricity Industry Metering Code clause 8.1(4) 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 Compliance						
Evidence: Interviewed Office Manag	ger. Documents: The License	e 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 461 Licence condition 5.1	Adequacy of controls rating	Compliance rating		
	Not Performed	Not Rated		
Licence: Retail				
<i>Electricity Industry Metering Code clause 8.3(2)</i> The disputing parties must at all times conduct themselves in a manner which is directed towards achieving the objective in subclause 8.3(1).				



Observations

	-						
Documents		Compliance					
The Licensee	has	no meters.					
Process		Outcome 🛛	Output		Reporting	Compliance	
	Evidence: Interviewed Office Manager. Documents: There have been no disputes (the						
Licensee has	no d	isputes with West	tern Powe	er).			
Issues							
None							
Recommendations							
None							

