

McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

# AER Retail Pty Ltd

**Electricity Retail Licence ERL 18 Performance Audit** 



# McGill Engineering Services Pty Ltd

Engineering, Adjudication & Arbitration Services ABN 45 106 691 169

Mr Luca Castelli Director AER Retail Pty Ltd

Dear Mr Castelli

## **Performance Audit Electricity Licences**

The fieldwork on the performance audit of Retail Licence ERL 18 for the audit period (1 December 2014 to 30 November 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 three non-compliances.

In my opinion, the Licensee maintained, in all material aspects, effective control procedures in relation to the Retail licence (ERL 18) for the audit period on the relevant clauses referred to within the scope section of this report.

Yours sincerely

Kevan McGill Director

Date 30 March 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.

## 2.1 Overall Conclusion

In my opinion, the Licensee has maintained a high level of compliance with the licence conditions. There were 3 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 18) 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 December 2014 to 30 November 2017.

## 2.3 The Licensee

The licensee AER Retail (AER)-ERL 18, is a small retailer (currently 73 customers -49 large consumers and 24 small). The business is as an electricity retailer.

## 2.4 Previous audit non-compliances and recommendations

There are 2 previous non-compliances or recommendations

(no./year)       Legislative Obligation/       Recommendation       Resolved       (Yes/No/Not Applicable) & Details of further action         details of the issue)       or action taken       Details of further action         required including current recommendation refere if applicable       Details of further action         B.       Resolved during current Audit period       Date         Reference       (Compliance rating/       Auditors'       Date         (no./year)       Legislative Obligation/       Recommendation       Resolved         details of the issue)       Date       Further action required         (no./year)       Legislative Obligation/       Recommendation       Resolved         details of the issue)       Details of further action       required including current recommendation         required including current recommendation       Resolved       (Yes/No/Not Applicable) & Details of further action	(no./year)       Legislative Obligation/       Recommendation       Resolved       (Yes/No/Not Applicable         details of the issue)       or action taken       Details of further act         required including current       required including current         B.       Resolved during current Audit period         Reference       (Compliance rating/       Auditors'       Date         (no./year)       Legislative Obligation/       Recommendation       Resolved         (no./year)       Legislative Obligation/       Recommendation       Resolved         (no./year)       Legislative Obligation/       Recommendation       Resolved         (no./year)       Legislative Obligation/       Recommendation       Resolved       (Yes/No/Not Applicable         Details of the issue)       Date       Further action required         required including current       Details of further action       Details of further action	Reference	(Compliance rating/	Auditors'	Date	Further action required
details of the issue)       or action taken       Details of further action         required including current       required including current         recommendation refere       if applicable         B.       Resolved during current Audit period         Reference       (Compliance rating/       Auditors'         Date       Further action required         (no./year)       Legislative Obligation/       Recommendation         details of the issue)       Details of further action         required including current       required including current	details of the issue)       or action taken       Details of further active         details of the issue)       or action taken       required including current recommendation referring in applicable         B.       Resolved during current Audit period       Image: Compliance rating / Auditors'       Date         Reference       (Compliance rating / Auditors'       Date       Further action required including current active         (no./year)       Legislative Obligation/       Recommendation       Resolved       (Yes/No/Not Applicable including current active         Details of the issue)       Image: Compliance rating / Date       Image: Compliance required including current active       Image: Compliance required including current active         Compliance rating / Compliance required including current active       Image: Compliance required including current active       Image: Compliance required including current active         Compliance required including current active       Image: Compliance required including current active       Image: Compliance required including current active         Compliance required including current active       Image: Compliance required including current active       Image: Compliance required including current active         Compliance required including current active       Image: Compliance required including current active       Image: Compliance requir					
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recommendation refere			details of the issue)			Details of further action
if applicable	if applicable					recommendation reference



1/2015 105	B2 Electricity Industry Act section 17(1)	Monitor time-based compliance controls for efficacy.	2015.	No further action required.
	A Licensee must pay to the Authority the prescribed licence fee within one month after the day of grant or renewal of the licence and within one month after each anniversary of that day during the term of the licence.			
	The Licensee paid the fees and within 30 days of ERA invoices. However, the ERA invoices were not issued in time with the requirement to pay by anniversary date. The control process for accounts payable operated correctly but the compliance control for meeting the anniversary date was defective. Controls are now in place to ensure payments made by anniversary date.			
2/2015 124	B2 Retail Licence condition 16.1 A Licensee must provide the Authority, in the manner prescribed, any information the Authority requires in connection with its functions under the Electricity Industry Act.	Monitor time-based compliance controls for efficacy.	2015.	No further action required.
	The annual reports were completed and on time. However the issue of not paying fees by anniversary date should have been notified. Controls are good for meeting reporting dates but compliance controls failed.			
	C. Unresolved at end of	current Audit period		
Reference	(Compliance rating/	Auditors'	Furth	ner action required
(no./year)	Legislative Obligation/	Recommendation	(Yes/	No/Not Applicable) &
	details of the issue)			ils of further action
			requi	red

## 2.5 Issues from current audit

There are 3 issues from current audit.

#### 2.5.1 Compliance elements requiring corrective measures

There are 3 actions that are non-compliant:

Table of	Current Audit Non-Complia	ances/Recommendations	
A. Re	solved during current Audit p	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)		
	(VAS)	1 up a	
Nil			
	esolved at end of current Aud	-	
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 124	B2 <i>Retail Licence condition 16.1</i> Not all compliance reports on time.	Improve control processes to ensure that reports are submitted on time.	Complete by 30 June 2018
2/2017 292	B2 Code condition 10.10(2) The Code was not on the web site.	The Code was not on the web site but is now.	No further action required.
3/2017 306	B2 Code condition 13.2 Not all compliance reports on time.	Improve control processes to ensure that reports are submitted on time.	Complete by 30 June 2018



## 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")<sup>1</sup> and the Electricity Compliance Reporting Manual (hereinafter "Manual")<sup>2</sup>. 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 18 for the Licensee.

<sup>&</sup>lt;sup>1</sup> Economic Regulation Authority: Audit and Review guidelines: Electricity, and Gas Licences April 2014

<sup>&</sup>lt;sup>2</sup> Economic Regulation Authority: Electricity Compliance Reporting Manual September 2014, July 2016, October 2016, July 2017



## 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 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 customers with life support equipment so Items 235-241 have been deleted. There are no non-contestable customers so items 275-278 have been 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.

## 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.

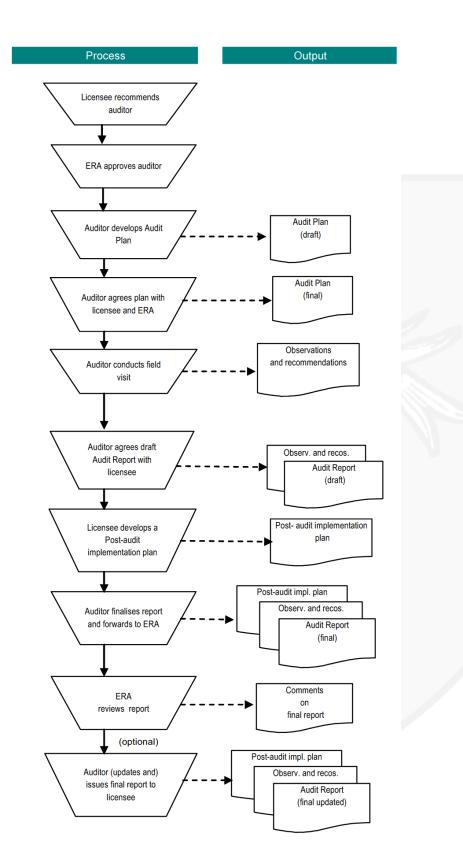
## 3.5 Scope of the Audit

During this audit the Myaree office was visited.

The audit was conducted in accordance with the flow chart below:







## 3.6 Key Contacts Interviewed

The key contacts interviewed were:

• Licensee:



- Luca Castelli, Director AER Retail Pty Ltd
- Nicole Weston, Business Analyst AER Energy Pty Ltd

The audit was conducted during November 2017 to March 2018. Kevan McGill spent about 120 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 18) licence for the audit period based on the relevant clauses referred to within the scope section of this report.

There are three 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 19)

## 3.10 Audit compliance and controls rating scales

Performanc	e audit compliance and contro	ls rating	scales
Adequ	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 Price	prity						Adequacy of Controls		Compliance Rating	(NR = Not Rated)
	ce Conditio			try	Priority			су о			Co	mplia	ance	e Ra	ting
(Licen	ce Conditio	ons) Regula	ation					s rati		1	ļ				1.15
Ubliga	ations - Ele fer Code C	ctricity Indu lause	istry Cust	omer		А	В	С	D	NP	1	2	3	4	NR
6.	r <sup>3</sup> .5(2)	3.2(2)	R	2	4	<b>√</b>					<ul> <li>✓</li> </ul>				
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					✓	1				✓
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					✓	1				✓
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	✓	1			1	✓				
48.	5(2)	5.2	R	2	4	✓					✓				
48A <sup>4</sup> .	5(2)	6.1	R	2	4	✓					✓				
49.	5(2)	6.2	R	2	4	✓					✓				
52.	5(2)	6.4(1)	R	2	4		1			✓	1				✓
53.	5(2)	6.4(2)	R	2	4		1			✓	1				✓
54.	5(2)	6.6	R	2	4	✓					✓				

 $^{3}$  r = Regulation

<sup>4</sup> Inserted October 2016

McGill Engineering Services Pty Ltd



	ce Conditio			у	Priority			icy o s rati			Co	omp	liano	се	Rat	ing
Òblig	ations - Ele	ctricity Indu		mer		A	В	С	Ď	NP	1	2	3		4	NR
	sfer Code C	1	1	-												
55.	5(2)	7.1(1)	R	NR	5					~						✓
56.	5(2)	7.1(2)	R	NR	5					✓						$\checkmark$
57.	5(2)	7.1(3)	R	2	4					<b>√</b>						✓
58.	5(2)	7.2(4)	R	NR	5					✓						$\checkmark$
59.	5(2)	7.3(2)	R	NR	5					~						✓
68 <sup>5</sup> .	5(2)	Annex 6	R	NR	5	~					1	-				
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69 <sup>6</sup> .	5(2)	Annex 6 clause A6.2(b)	R	2	4	~					~					
70 <sup>7</sup> .	5(2)	Annex 6 clause A6.6	R	NR	5	✓					~					
71 <sup>8</sup> .	5(2)	Annex 6 clause	R	NR	5	~					~					
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Obliga regul 78. 79. 80. 81. 82. 83. 83. 84.	ations- (Cust ations 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1	s – Licence ( tomer Contr r5 r6 r7 r8 r9 r10	racts)       R       R       R       R       R       R       R       R       R       R       R       R	2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 4 4 4 4 4 4	cor       A       ✓	ntrol	s rati	ing	NP 1	1 ~ ~ ~ ~ ~	•				NF
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Obliga regul 78. 79. 80. 81. 82. 83. 83. 84. 85. 86. 87.	ations- (Cust ations 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1	s – Licence ( tomer Contr r5 r6 r7 r8 r9 r10 r11 r12 r13	racts) R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 4 4 4 4 4 4 4 4 4 4 4	Cor A ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓	ntrol	s rati	ing	NP :		•				NF
Obliga regul 78. 79. 80. 81. 82. 83. 84. 85. 86. 87. 88.	ations- (Cust ations 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1	s – Licence ( tomer Contr r5 r6 r7 r8 r9 r10 r11 r12 r13 r14	racts)          R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	Cor A V V V V V V V V V V V V V V	ntrol	s rati	ing	NP :		•				NF
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Obliga regul 78. 79. 80. 81. 82. 83. 84. 85. 86. 87. 88. 89. 90.	ations- (Cust ations 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1 5.1	s – Licence ( tomer Contr r5 r6 r7 r8 r9 r10 r11 r12 r13 r14 r15 r16&34	racts)          R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	cor A V V V V V V V V V V V V V V V V V V	ntrol	s rati	ing	NP *		•				NF
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<sup>5</sup> Deleted October 2016 applies up to that date.

- <sup>6</sup> Deleted October 2016 applies up to that date.
- <sup>7</sup> Deleted October 2016 applies up to that date.
- <sup>8</sup> Deleted October 2016 applies up to that date.



		s – Licence C ricity Industry			Priority		equa atrols	acy ( s rat	ina		Cor	nplia	ince	Rati	ng
		,,				A	B	C	D	NP	1	2	3	4	NR
101.	14.1	s <sup>9</sup> 13(1)	R	NR	5	✓					✓				
105.	4.1	s17(1)	R	2	4	✓					✓				
106	5.1	s31(3)	R	NR	5					✓					<b>√</b>
107.	5.1	s41(6)	R	2	4					✓					<b>√</b>
108.	24.1	s54(1)	R	2	4	✓					✓				
109.	25.4	s54(2)	R	2	4	<b>√</b>					✓				
110	27.1	s76	R	2	4					<b>√</b>					<b>√</b>
111	21.1	s101	R	2	4	<ul> <li>Image: A second s</li></ul>					✓				
113	5.1	s115(2)	R	2	4	✓					✓				
Sectio	n	s – Electricity ice Clause –	-	t	Priority	cor	equa	s rat	ing			<u> </u>		Rati	-
-	1					A	В	С	D	NP		2	3	4	NF
114.	s11	23.1	R	2	4	✓			-		✓				
115.	s11	23.2	R	2	4					✓					✓
116.	s11	24.2	R	NR	5	✓ ✓			-		✓ ✓				
117.		24.3	R	NR	5	✓ ✓					✓ ✓		_	_	_
118.	s11	25.1	R	2	4	✓					✓ ✓		_	-	_
	s11	12.1	R	2	4	✓					✓		_	_	_
	s11	13.4	R	2	4					✓			_	_	✓
121.		14.2	R	2	4	✓					✓		_		_
123.	s11	15.1	R	2	4					✓			_		~
	s11	16.1	R	2	4		$\checkmark$					$\checkmark$			
124.		-									-			-	_
125.	s11	17.1&17.2	R	2	4	<b>√</b>					✓				
		-				✓ ✓					✓ ✓				
125. 126.	s11 s11	17.1&17.2	R R	2	4	✓	equa		of		<ul> <li>✓</li> </ul>	nplia	ince	Ratii	ng
125. 126. Licenc Obliga	s11 s11 e Conditions tions- Electr	17.1&17.2 18.1	R R ause	2	4	✓ Ade con	trols	s rat	ing	NP	✓ Cor	-		Ratii	_
125. 126. Licenc Obliga	s11 s11 e Conditions	17.1&17.2 18.1 s – Licence cl	R R ause Code of	2	4 4 Priority	✓ Ade con	trols B	s rat C	ing D	NP	✓ Cor	nplia 2	ince 3	Ratii	
125. 126. Licenc Obliga Condu	s11 s11 e Conditions tions- Electr uct Clause	17.1&17.2 18.1 s – Licence cl icity Industry	R R ause Code of Marketin	2 2 ng Li	4 4 Priority cence co	✓ Ade con	trols B	s rat C	ing D	NP	✓ Cor	-			
125. 126. Licenc Obliga Condu 129.	s11 s11 tions- Electr uct Clause s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1	R R Code of Marketin R	2 2 ng Li 2	4 4 Priority cence co 4	✓ Ade con	trols B	s rat C	ing D		✓ Cor	-			NF
125. 126. Licenc Obliga Condu 129. 130.	s11 s11 e Conditions tions- Electr uct Clause s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1)	R R Code of Marketin R R	2 2 ng Li 2 2	4 4 Priority cence co 4 4	✓ Ade con	trols B	s rat C	ing D	✓	✓ Cor	-			_
125. 126. Licenc Obliga Condu 129. 130. 131.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2)	R R Code of Marketin R R R	2 2 ng Li 2 2 2	4 4 Priority cence co 4 4 4	✓ Ade con	trols B	s rat C	ing D		✓ Cor	-			NF
125. 126. Licenc Obliga Condu 129. 130. 131. 132.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1)	R R Code of Marketin R R R R	2 2 ng Li 2 2 2 2	4 4 Priority cence co 4 4 4 4	✓ Ade con A ndit ✓	trols B	s rat C	ing D	✓	✓ Cor 1 ✓	-			NF
125. 126. Licenc Obliga Condu 129. 130. 131. 132. 133.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2)	R R Code of Marketin R R R R R R	2 2 ng Li 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4	✓ Ade con A ndit ✓	trols B	s rat C	ing D	✓	✓ Cor 1 ✓	-			NF
125. 126. Doliga Condu 129. 130. 131. 132. 133. 135.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	2.1 2.2(1) 2.3(1) 2.3(2) 2.3(5)	R R Code of Marketin R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority Cence cc 4 4 4 4 4 4 4	Ade con A ondit	trols B	s rat C	ing D	✓	✓ Cor 1 ✓ ✓ ✓	-			NF
125. 126. Doliga Condu 129. 130. 131. 132. 133. 135. 137.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2)	R R Code of Marketin R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4 4 4 4	✓ Ade con A ndit ✓	trols B	s rat C	ing D	✓ ✓ ✓	✓ Cor 1 ✓	-			NF
125. 126. Doliga Condu 129. 130. 131. 132. 133. 135. 137. 138.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1)	R R Code of Marketin R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓	trols B	s rat C	ing D	✓	✓ Cor 1 ✓ ✓ ✓ ✓	-			NF
125. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2)	R R Code of Marketin R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A ondit ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF
125. 126. Dobliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6	R R Code of Marketin R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓	-			NF   ✓   ✓   ✓
125. 126. Dobliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141.	s11 s11 se Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9	R ause Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A ondit ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF ✓
125. 126. Dobliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6	R R Code of Marketin R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 Priority Cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF   ✓   ✓   ✓
125. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142.	s11 s11 e Conditions tions- Electr uct Clause s82 s82 s82 s82 s82 s82 s82 s82 s82 s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10	R R Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF V
125. 126. Doliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142. 143.	s11         s11         e Conditions         tions- Electr         uct Clause         s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10 3.1(1)	R ause Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF           ✓
125. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142.	s11         s11         e Conditions         tions- Electr         uct Clause         s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10	R R Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF V
125. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142. 143. 144.	s11         s11         s11         e Conditions         tions- Electr         uct Clause         s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10 3.1(1) 3.1(2)	R R Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 Priority cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	✓ Ade con A mdit ✓ ✓ ✓ ✓ ✓ ✓	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF ✓ ✓ ✓ ✓ ✓ ✓
125. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142. 143. 144. 145.	s11         s11         se Conditions         tions- Electr         uct Clause         s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10 3.1(1) 3.1(2) 4.1	R R Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	44444444444444444444444444	Ade con A ondit V V V V V V N	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF ✓ ✓ ✓ ✓ ✓ ✓
125. 126. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142. 144. 144. 145. 146.	s11         s11         se Conditions         tions- Electr         uct Clause         s82	17.1&17.2 18.1 5 - Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10 3.1(1) 3.1(2) 4.1 4.2(1)	R R Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	4 4 4 4 Cence cc 4 4 4 4 4 4 4 4 4 4 4 4 4	Ade con A ondit V V V V V V N	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF V V V
125. 126. Obliga Condu 129. 130. 131. 132. 133. 135. 137. 138. 139. 140. 141. 142. 143. 144. 145.	s11         s11         s11         e Conditions         tions- Electr         uct Clause         s82         s82	17.1&17.2 18.1 s – Licence cl icity Industry 2.1 2.2(1) 2.2(2) 2.3(1) 2.3(2) 2.3(5) 2.4(2) 2.5(1) 2.5(2) 2.6 2.9 2.10 3.1(1) 3.1(2) 4.1	R R Code of Marketin R R R R R R R R R R R R R R R R R R R	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	44444444444444444444444444	Ade con A ondit V V V V V V N	trols B	s rat C	ing D	✓ ✓ ✓ ✓ ✓ ✓	✓ Cor 1 ✓ ✓ ✓ ✓ ✓	-			NF V V V V V

 $^9$  s = Section of Act

McGill Engineering Services Pty Ltd



Obliga	tions- Elec	ns – Licence cl ctricity Industry			Priority			acy ( s rat			Co	mplia	ance	Rati	ng
Condu	uct Clause	)				A	В	С	D	NP	1	2	3	4	NF
151.	s82	4.2(6)	R	2	4					<b>√</b>					<b>√</b>
152.	s82	4.3(1)	R	2	4					✓					✓
153.	s82	4.3(2)	R	2	4					<b>√</b>					<ul> <li>Image: A start of the start of</li></ul>
154.	s82	4.4	R	2	4	>					<b>~</b>				
155.	s82	4.5(1)	R	2	4	$\checkmark$					✓				
156.	s82	4.5(3)	R	2	4					✓					✓
157.	s82	4.6(1)	R	2	4	$\checkmark$					✓				
158.	s82	4.7	R	NR	4	$\checkmark$					✓				
159.	s82	4.8(1)	R	2	4					✓					✓
160.	s82	4.8(2)	R	2	4					✓					✓
161.	s82	4.8(3)	R	2	4					✓					<b>√</b>
162.	s82	4.9	R	2	4					✓					<ul> <li>Image: A start of the start of</li></ul>
163.	s82	4.10	R	NR	5					<ul> <li>Image: A start of the start of</li></ul>				-	<ul> <li>✓</li> </ul>
164.	s82	4.11(1)	R	2	4					<ul> <li>Image: A start of the start of</li></ul>					Image: A start of the start
165.	s82	4.11(2)	R	2	4					<ul> <li>Image: A start of the start of</li></ul>					<ul> <li>Image: A start of the start of</li></ul>
166.	s82	4.12(1)	R	2	4					·			_	-	
167.	s82	4.13	R	2	4			-		· ✓				-	
168.	s82	4.14(1)	R	NR	5					· ✓				_	-
169.	s82	4.14(1)	R	2	4					·					
170.	s82	4.14(2)	R	2	4			-		·				+	
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171.	s82	4.15				•					•			_	_
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175.	s82	4.16(3)	R	2	4					•				_	×
176.	s82	4.17(2)	R	2	4			_		×				_	×
76A.		4.17(3)	R	NR	5			-		~			_	_	<b>~</b>
177.	s82	4.18(2)	R	NR	5	<b>v</b>					<b>√</b>			_	
178.	s82	4.18(3)	R	2	4	<b>~</b>					✓			_	_
179.	s82	4.18(4)	R	NR	5	✓					✓			_	
180.	s82	4.18(6)	R	NR	5					<ul> <li>✓</li> </ul>				_	<b>V</b>
181.	s82	4.18(7)	R	NR	5					<ul> <li>✓</li> </ul>					✓
182.	s82	4.19(1)	R	2	4					✓					✓
183.	s82	4.19(2)	R	NR						✓					✓
184.	s82	4.19(3)	R	2	4					✓					✓
185.	s82	4.19(4)	R		5					✓					<ul><li>✓</li></ul>
186.	s82	4.19(7)	R	NR	5					✓					<ul><li>✓</li></ul>
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187.	s82	5.1	R	2	4	$\checkmark$					✓				
188.	s82	5.2	R	2	4	✓					✓				
189.	s82	5.3	R	2	4					✓					<ul> <li>Image: A start of the start of</li></ul>
190.	s82	5.4	R	2	4					<b>~</b>					<ul> <li>Image: A start of the start of</li></ul>
197.	s82	5.7(1)	R	2	4	~					✓				
198.	s82	5.7(2)	R	2	4					<b>√</b>					<ul> <li>Image: A start of the start of</li></ul>
199.	s82	5.7(4)	R	2	4	✓					✓				
201.	s82	5.8(2)	R	2	4	✓					✓				
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272.	s82	10.1(1)	R	2	4	✓					✓				
273.	s82	10.1(2)	R	2	4					✓					✓
274.	s82	10.1(3)	R	2	4					✓					✓
280.	s82	10.3A	R	2	4	✓					✓				
281.	s82	10.4	R	2	4					✓					✓
282.	s82	10.5	R	2	4					✓					✓
290.	s82	10.9	R	NR	5	✓					✓				
291.	s82	10.10(1)	R	2	4					✓					✓
292.	s82	10.10(2)	R	2	4		✓					✓			
297	S82	10.12(2)	R	2	4					✓					✓
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298.	s82	12.1(1)	R	2	4	<b>√</b>					<b>√</b>				
299.	s82	12.1(2)	R	2	4	✓					✓				
300.	s82	12.1(3)	R	2	4					✓					<ul> <li>✓</li> </ul>
301.	s82	12.1(4)	R	2	4					✓					✓
302.	s82	12.2	R	2	4	✓					✓				
303.	s82	12.3	R	2	4					✓					<ul> <li>✓</li> </ul>
304.	s82	12.4	R	2	4					✓					<ul><li>✓</li></ul>
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305.	s82	13.1	R	2	4	✓					✓				
306.	s82	13.2	R	2	4		✓					✓			
307.	s82	13.3	R	2	4	✓					✓				
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308.	s82	14.1(1)	R	12	4					$\checkmark$					$\checkmark$
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310.	s82	14.2(1)	R	2	4					✓ ✓					<ul> <li>Image: A start of the start of</li></ul>
312.	s82	14.3(1)	R R	2 2	4 4					<ul> <li>Image: A second s</li></ul>					
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455	5.1	7.5	R	2	4	✓				✓				
456	5.1	7.6(1)	R	2	4				✓					✓
457	5.1	8.1(1)	R	NR	5				✓					✓
458	5.1	8.1(2)	R	NR	5				✓					✓
459	5.1	8.1(3)	R	NR	5				✓					✓
460	5.1	8.1(4)	R	2	4				✓					✓
461	5.1	8.3(2)	R	NR	5				<b>~</b>					✓

## 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 organisation'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 3 non-compliances.

#### 3.11.2 Compliance elements requiring Corrective measures

There are 2 issues requiring further corrective action and 1 issue that is complete:

Table of	Current Audit Non-Complia	inces/Recommendations						
A. Re	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	12 MA							
B Unresolved at end of current Audit period								
Manual	Non-Compliance/Controls	Date Resolved (& managem	ent Auditors					
Ref.	improvement (Rating / Legislative	action taken)	comments					
	Obligation / Details of Non-Compliance or inadequacy of controls)							
1/2017 124	B2 <i>Retail Licence condition 16.1</i> Not all compliance reports on time.	Improve control processes to ensure that reports are submitted on time.	Complete by 30 June 2018					
2/2017 292	B2 Code condition 10.10(2) The Code was not on the web site.	The Code was not on the web site but is now.	No further action required.					
McGill Enginee	ering Services Pty Ltd		Page 18					



3/2017	B2	Improve control processes to ensure	Complete by 30 June 2018
306	Code condition 13.2	that reports are submitted on time.	Complete by 50 Suite 2010
000	Not all compliance reports on time.		

#### 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 issue requiring action for two items and no actions to be given in a post audit plan where corrections have already been made for 1 item.

## 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.
- Client files
- Financial reports
- ERA fee invoices and receipts
- Access Contract (ETAC)
- ERA Approval of auditor 2017 Audit and Review ERL018 AER Retail Pty Ltd
- Letter from ERA Approving Audit Plan
- ERA approval of standard form contract
- Performance report
- Compliance reports



- Complaints process
- CPI tariff increase notice
- Sample bills
- Bill review request and response
- Standard form contract
- Non-standard contract
- Transfer requests numbers
- Meter data request numbers
- Marketing policy
- ID badge





## 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(2)							
A retailer must submit a separate data request for each exit point unless otherwise agreed.							
Observations							
Documents 🗹 Compliance 🗹							
Evidence: interviewed Director, Business Analy	st. Documents: Sample	transfers on portal,					
Portal screen captures		r					
Process 🗹 Outcome 🗹 Output	☑   Reporting   ☑	Compliance 🗹					
Transfers in the audit period (82) took place usin							
data requests to exit points. The portal does not (exit point) at a time.	allow data requests for	more than one NWI					
Issues							
None	1000						
Recommendations							
None	RAN I						
Item 7	Adequacy of controls	Compliance rating					
Electricity Industry (Licence Conditions)	rating	Compliance rating					
Regulations regulation 5(2)	A	1					
Licence: Retail							
submit more than a prescribed number of standi day. Observations							
Documents 🗹 Compliance 🗹							
Evidence: interviewed Director, Business Analy	st. Documents: Sample	transfers on portal.					
Portal screen captures		O a martí a marca a la 171					
Process☑Outcome☑OutputThere have been 2788 data requests.All transferences	Reporting	Compliance					
portal. The portal does not allow data requests for							
day. However, the Licensee has sought and obta							
to 50 per day.							
Issues							
None							
Recommendations							
None							
None							
		-					
Item 8	Adequacy of controls	Compliance rating					
Electricity Industry (Licence Conditions)	rating Not Porformed	Not Poted					
Regulations regulation 5(2) Licence: Retail	Not Performed	Not Rated					
	(*)						
Electricity Industry Customer Transfer Code 3.5	(3)						
		_					
IcGill Engineering Services Pty Ltd		Page 21					



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 Director, Business Analyst. Documents: verifiable consent forms									
Process		Outcome		Output		Reporting		Compliance	
								torical consumption	
a request bec	ause	of no verifiabl	e con	sent.					
Issues									
None									
Recommend	ation	S							

None

ltem 9				Adequacy of controls	Compliance rating		
Electricity Ind	ustry	(Licence Conditions	rating				
Regulations r	egula	ation 5(2)	Not Performed	Not Rated			
Licence: Retail							
Electricity Ind	ustry	Customer Transfer	Code 3.6	(2)			
A retailer mus	st pay	any reasonable cos	sts incurre	ed by the network operation	tor for work performed		
in relation to a	a req	uest for historical cor	nsumptior	n data that has been sul	osequently withdrawn.		
Observation	S			- HAN			
Documents		Compliance					
Evidence: int	ervie	wed Director, Busine	ess Analy	st. Documents: client fi	le		
Process		Outcome	Output	□ Reporting □	Compliance		
There have b	een r	no withdrawn reques	ts.				
Issues		( P)					
None							
Recommend	atior	IS					
None							

Item 16		Adequacy of controls	Compliance rating			
Electricity Industry (Licence C	Conditions)	rating				
Regulations regulation 5(2)		А	1			
Licence: Retail	- HA					
Electricity Industry Customer	Transfer Code 3.9	(1)				
A retailer may only use data	relating to a contest	table customer to provid	e a contestable			
customer with a quotation for	the supply of elect	ricity by the retailer or to	initiate a transfer of			
that contestable customer.						
Observations						
Documents 🗹 Compliar	ice 🗹					
Evidence: interviewed Direc	or, Business Analy	st. Documents: client fil	e, data base.			
Process 🗹 Outcome	Output	☑ Reporting	Compliance 🛛 🗹			
There have been quotes for s						
contestable customer's histor	•	•				
metering and retail pricing da	ta base does not a	llow for the association o	of meter data from			
another customer.	another customer.					
Issues						
None						
Recommendations						
None						



Item 17	Adequacy of controls	Compliance rating						
Electricity Industry (Licence Conditions)	rating	Not Dotod						
Regulations regulation 5(2) Licence: Retail	Not Performed	Not Rated						
	(-)							
Electricity Industry Customer Transfer Code 3.9								
A retailer must not aggregate a contestable customer's historical consumption data with that of other contestable customers for the purposes of internal business development, if								
requested not to do so by the customer.								
Observations								
Documents I Compliance I								
DocumentsImage: ComplianceImage: ComplianceEvidence:interviewedDirector, BusinessAnaly	et Documente: client fil	۵						
Process 🗹 Outcome 🗹 Output	Image: Strength and the s	Compliance						
There have been no requests not to aggregate of								
Issues	COM 1							
None	The second se							
Recommendations	( and the second s							
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								
A retailer must not disclose a contestable custor								
verifiable consent of the contestable customer, e	except in the circumstant	ces defined.						
670								
Documents 🗹 Compliance 🗹								
Evidence: interviewed Director, Business Analy								
Process         ☑         Outcome         ☑         Output           No data has been disclosed. A written consent is	Reporting	Compliance 🛛						
contestable customer's historical consumption d								
Issues	ata for ito own internal p							
None Recommendations								
None								
Item 19	Adequacy of controls	Compliance rating						
Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance rating						
Electricity Industry (Licence Conditions) Regulations regulation 5(2)		Compliance rating						
Electricity Industry (Licence Conditions)	rating							
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	rating A							
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 3.90 A retailer must keep a copy of the verifiable const	rating A (4)	1						
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 3.90 A retailer must keep a copy of the verifiable const two years.	rating A (4)	1						
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 3.90 A retailer must keep a copy of the verifiable const	rating A (4)	1						
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 3.90 A retailer must keep a copy of the verifiable const two years.	rating A (4)	1						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable constance         two years.         Observations         Documents       Image: Compliance         Evidence:       interviewed Director, Business Analy	(4) sent received from a cor st. Documents: Verifiab	1 Itestable customer for le consent forms.						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable constwo years.         Observations         Documents       Image: Compliance         Evidence:       interviewed Director, Business Analy         Process       Image: Outcome	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         Ø         Reporting         Ø	1 Itestable customer for le consent forms. Compliance						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable constwo years.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analy         Process       Image: Outcome         Verifiable consent forms sighted. All VCFs are more	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         ☑       Reporting         ☑       Reporting         maintained in electronic for	1 Itestable customer for le consent forms. Compliance 🗹 pormat. Internal						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable constwo years.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analy         Process       Image: Outcome         Image: Verifiable consent forms sighted. All VCFs are m procedures require that an electronic copy of all	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         ☑       Reporting         ☑       Reporting         naintained in electronic for         documents be maintained	1 itestable customer for le consent forms. Compliance ormat. Internal ed perpetually. There						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable const         two years.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Analy         Process       Image: Outcome         Verifiable consent forms sighted. All VCFs are m         procedures require that an electronic copy of all are external drives for data security and hard compliance	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         ☑       Reporting         ☑       Reporting         naintained in electronic for         documents be maintained	1 itestable customer for le consent forms. Compliance ormat. Internal ed perpetually. There						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable constwo years.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analy         Process       Image: Outcome         Verifiable consent forms sighted. All VCFs are m procedures require that an electronic copy of all	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         ☑       Reporting         ☑       Reporting         naintained in electronic for         documents be maintained	1 itestable customer for le consent forms. Compliance ormat. Internal ed perpetually. There						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable const         two years.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Analy         Process       Image: Outcome         Verifiable consent forms sighted. All VCFs are m         procedures require that an electronic copy of all are external drives for data security and hard compliance	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         ☑       Reporting         ☑       Reporting         naintained in electronic for         documents be maintained	1 itestable customer for le consent forms. Compliance ormat. Internal ed perpetually. There						
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 3.94         A retailer must keep a copy of the verifiable const         two years.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Analy         Process       Image: Outcome         Verifiable consent forms sighted. All VCFs are m         procedures require that an electronic copy of all are external drives for data security and hard compliance	rating         A         (4)         sent received from a cor         st. Documents: Verifiab         ☑       Reporting         ☑       Reporting         naintained in electronic for         documents be maintained	1 itestable customer for le consent forms. Compliance ormat. Internal ed perpetually. There						



Issues	
None	
Recommendations	
None	

	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 must submit a separate customer tra	nsfer request for each exi	t point unless
otherwise agreed.		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Ana	lyst. Documents: Sample	transfer on portal.
Portal screen captures, client file		
Process 🛛 🖾 Outcome 🖾 Output	☑ Reporting ☑	Compliance
Customer transfers were carried out with West		
transfer requests to single requests for exit poi		
for more than one NMI at a time. Western Pow	er is responsible for allocation	ating NMIs to exit
points.		
Issues		
None		
Recommendations		
None		
Item 24	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	, ,
Electricity Industry (Licence Conditions) Regulations regulation 5(2)		1
Electricity Industry (Licence Conditions)	rating	1
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail	rating A	_1
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4.	rating A 3	
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A retailer's reason for a transfer must be specie	rating A 3 fied in the customer transf	fer request form as
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the	rating A 3 fied in the customer transf	fer request form as
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A retailer's reason for a transfer must be specie	rating A 3 fied in the customer transf	fer request form as
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4. A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer. Observations	rating A 3 fied in the customer transf	fer request form as
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance	rating A 3 fied in the customer transf retailer which submitted	fer request form as the customer transfe
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Ø         Compliance       Ø         Evidence:       interviewed Director, Business Ana	rating A 3 fied in the customer transf retailer which submitted	fer request form as the customer transfe
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Ø         Compliance       Ø         Evidence:       interviewed Director, Business Ana Portal screen captures, client file	rating A 3 fied in the customer transf retailer which submitted lyst. Documents: Sample	fer request form as the customer transfe transfer on portal.
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance         Evidence:       interviewed Director, Business Ana Portal screen captures, client file         Process       Image: Outcome	rating         A         3         fied in the customer transferretailer which submitted         vertailer which submitted         lyst. Documents: Sample         Ivertailer         Ivertailer      <	fer request form as the customer transfe transfer on portal.
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be special         either to transfer a contestable customer to the         request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance         Evidence:       interviewed Director, Business Ana         Portal screen captures, client file         Process       Image: Outcome         All transfers are conducted electronically with t	rating         A         3         fied in the customer transformer transform	fer request form as the customer transfe transfer on portal. Compliance
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance         Evidence:       interviewed Director, Business Ana Portal screen captures, client file         Process       Image: Outcome         All transfers are conducted electronically with t reasons of either "Erroneous Transfer" or "New	rating         A         3         fied in the customer transi- retailer which submitted         lyst. Documents: Sample         Ivertify         Reporting         Image: Prove the portal. The portal prover the po	fer request form as the customer transfe transfer on portal. Compliance
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Ø         Compliance       Ø         Evidence:       interviewed Director, Business Ana         Portal screen captures, client file       Process         Process       Ø       Outcome         All transfers are conducted electronically with t       reasons of either "Erroneous Transfer" or "New them be checked as a condition of acceptance	rating         A         3         fied in the customer transference         retailer which submitted         lyst. Documents: Sample         Instrumentary	fer request form as the customer transfe transfer on portal. Compliance
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance         Portal screen captures, client file         Process       Image: Outcome         It transfers are conducted electronically with treasons of either "Erroneous Transfer" or "New them be checked as a condition of acceptance	rating         A         3         fied in the customer transference         retailer which submitted         lyst. Documents: Sample         Instrumentary	fer request form as the customer transfe transfer on portal. Compliance
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specified either to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Ana Portal screen captures, client file         Process       Image: Outcome       Image: Output         All transfers are conducted electronically with treasons of either "Erroneous Transfer" or "New them be checked as a condition of acceptance         Issues       None	rating         A         3         fied in the customer transference         retailer which submitted         lyst. Documents: Sample         Instrumentary	fer request form as the customer transfe transfer on portal. Compliance
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.         A retailer's reason for a transfer must be specifieither to transfer a contestable customer to the request or to reverse an erroneous transfer.         Observations         Documents       Image: Compliance         Portal screen captures, client file         Process       Image: Outcome         It transfers are conducted electronically with treasons of either "Erroneous Transfer" or "New them be checked as a condition of acceptance	rating         A         3         fied in the customer transference         retailer which submitted         lyst. Documents: Sample         Instrumentary	fer request form as the customer transfe transfer on portal. Compliance



Item 25	Adequacy of controls	Compliance rating						
Electricity Industry (Licence Conditions)	rating	4						
Regulations regulation 5(2) Licence: Retail	A	1						
Electricity Industry Customer Transfer Code 4.4								
A retailer may only submit a customer transfer r		s contract for the						
network, unless it is to reverse an erroneous tra Observations	nsier.							
Documents 🗹 Compliance 🗹								
Evidence: interviewed Director, Business Analy		Compliance						
Process         ☑         Outcome         ☑         Output           AER has an ETAC with a 5-year term and option	Image: Image	Compliance						
Western Power only issues authority to access								
Issues								
None Recommendations								
/////	//upa							
None								
	1 1 1 1 1							
Item 26		Compliance ration						
Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance rating Not Rated						
Regulations regulation 5(2)	Not Performed	Not Natou						
Licence: Retail								
Electricity Industry Customer Transfer Code 4.4	(2)							
Electricity Industry Customer Transfer Code 4.4 A retailer that submits a customer transfer reque		us transfor must						
ensure the transfer was made in error and, if it is								
the previous retailer.	o arr moorning rotanor, oc	initial and lability of						
Observations								
Documents 🗹 Compliance 🗹								
<b>Evidence:</b> interviewed Director, Business Analy	st. Documents: Not and	licable						
Process I Outcome I Output	☑     Reporting     ☑	Compliance 🛛						
A transfer was requested but the customer's site								
transfer did not proceed and there was nothing	to reverse. Retailers hav	e the functionality to						
cause a customer to be transferred to them (nor	rmal) or away from them	after having first						
caused a customer to be erroneously transferre								
to direct Western Power to transfer a customer								
Erroneous Transfer informs Western Power to r	estore the customer to its	s original retailer.						
Issues								
None								
Recommendations								
None								
Item 27	Adequacy of controls	Compliance rating						
Electricity Industry (Licence Conditions)	rating							
Regulations regulation 5(2)	A	1						
Licence: Retail								
Electricity Industry Customer Transfer Code 4.5								
A retailer must submit a customer transfer reque								
than a prescribed number of customer transfer in		ay or with the same						
nominated transfer date, unless otherwise agree	ea.							
Observations								
Documents 🗹 Compliance 🗹								



Evidence: in documents	tervie	wed Director,	Busi	ness Analy	rst. D	Ocuments: Por	rtal s	creen, transfer	
Process	$\mathbf{\Lambda}$	Outcome	$\checkmark$	Output	$\checkmark$	Reporting	$\checkmark$	Compliance	$\checkmark$
internet (TCF transfers to le The portal lin transfers with	P/IP as ess th nits cu n the s	s per definition an the prescril ustomer transfe same nominate	of e bed r ers to ed tra	lectronic) a number and the presc ansfer date	and th d thu ribed . Hov	his Portal const s meets the rec limit of 20, whi	rains quire ich lii	which is on the the number of ment for the retail mit also applies to has sought and	
Issues									_
None									
Recommend	latior	าร							
None									
1.0					1.				
Item 28 Electricity Inc Regulations I Licence:	egula	r (Licence Cond ation 5(2) etail	ditior	IS)	rati	equacy of contr ng : Performed	ols	Compliance ratir Not Rated	וg
A retailer mu	st wit ses to	Customer Tra hdraw a custor apply before t	mer t	ransfer req	uest	if the contestal	ble c	ustomer's verifiab	le
		Ormalianaa					_		
		Compliance ewed Director, ures, client file			rst. D	ocuments: Sar	mple	transfer on portal	
Process		Outcome		Output		Reporting		Compliance	
No Verifiable Consents have ceased. Verifiable Consent to transfer is different from Verifiable Consent to access data. In practice, a customer would only be transferred after contractual terms have been agreed and the consent to transfer would be implicit in those terms in order for the retailer to fulfil its obligations. Equally, withdrawal of consent to transfer would constitute breach of contract. There were no transfers to be withdrawn due to ceasing of Verifiable Consent.									
			-	1.					
None			_		_				
Recommend	ation	15		$\sim 10$					
None									

Item 29			Adequacy of controls	Compliance rating				
Electricity Ind	ustry (Licence Con	ditions)	rating					
Regulations r	egulation 5(2)		A	1				
Licence: Retail								
Electricity Ind	ustry Customer Tra	ansfer Code 4.7						
A retailer mus	st nominate a trans	fer date in a cus	tomer transfer request i	n accordance with				
specified time	eframes, except if th	ne customer tran	nsfer request is to revers	se an erroneous				
transfer.								
Observation	S							
Documents	☑ Compliance	$\square$						
Evidence: int	terviewed Director,	<b>Business Analy</b>	st. Documents: Sampl	e transfer on portal.				
Portal screen	captures, client file	;						
Process	☑ Outcome	☑ Output	☑ Reporting	Compliance 🗹				
Transfer requ	ests nominated a t	ransfer date as	the requests used the V	/estern Power portal				
which requires a transfer date to be nominated. Transfers are entered into the portal shortly								
before they are due to take place, bearing in mind that Western Power requires 3 business								



days in the metro area to transfer customers to country areas. There were no erroneous trans		usiness uavs ior	
	ters to reverse	· · · · · · · · · · · · · · · · · · ·	
Issues			
None			
Recommendations			
None			
Item 30	Adequacy of controls	Compliance rat	ing
Electricity Industry (Licence Conditions)	rating	Net Deted	
Regulations regulation 5(2) Licence: Retail	Not Performed	Not Rated	
	2(2)		_
Electricity Industry Customer Transfer Code 4. A retailer must pay any reasonable costs incur		for providing on	d/or
installing a meter if a customer transfer reques		for providing an	u/01
Observations			
Documents  Compliance	- Configure		
<b>Evidence:</b> interviewed Director, Business Ana	lyst. Documents: Sample	transfer on porta	al.
Portal screen captures, client file			_
Process  Outcome  Output Output	□ Reporting □	Compliance	
A transfer request was withdrawn and a transf reverse. Western Power did not provide and/o			
Power issues a monthly invoice detailing charge		sis to pay. Wes	lem
Issues			
None			
Recommendations			
None			-
			_
Item 34	Adequacy of controls	Compliance rat	ing
Electricity Industry (Licence Conditions)	rating	4	
Regulations regulation 5(2) Licence: Retail,	A	1	
	0(0)		
Electricity Industry Customer Transfer Code 4.		for data in cortai	n
		fer date in certai	n
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to		fer date in certai	n
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. <b>Observations</b>		fer date in certai	n
Electricity Industry Customer Transfer Code 4.         A network operator and retailer must agree to circumstances.         Observations         Documents       Image: Compliance	a revised nominated trans		
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. <b>Observations</b>	a revised nominated trans		
Electricity Industry Customer Transfer Code 4.         A network operator and retailer must agree to circumstances.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Anascreen captures, client file. Email sighted         Process       Image: Outcome         Image: Compliance       Image: Outcome         Outcome       Image: Output	a revised nominated trans		al
Electricity Industry Customer Transfer Code 4.         A network operator and retailer must agree to circumstances.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Ana screen captures, client file. Email sighted         Process       Image: Outcome         Vestern Power requested a later transfer date	a revised nominated trans	transfer on porta	al
Electricity Industry Customer Transfer Code 4.         A network operator and retailer must agree to circumstances.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Ana screen captures, client file. Email sighted         Process       Image: Outcome         Image: Outcome       Image: Output         Western Power requested a later transfer date         Issues	a revised nominated trans	transfer on porta	al
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents	a revised nominated trans	transfer on porta	al
Electricity Industry Customer Transfer Code 4.         A network operator and retailer must agree to circumstances.         Observations         Documents       Image: Compliance         Evidence: interviewed Director, Business Ana screen captures, client file. Email sighted         Process       Image: Outcome         Image: Outcome       Image: Output         Western Power requested a later transfer date         Issues	a revised nominated trans	transfer on porta	al
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents	a revised nominated trans	transfer on porta	al
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents I Compliance I Evidence: interviewed Director, Business Ana screen captures, client file. Email sighted Process I Outcome I Output Western Power requested a later transfer date Issues None Recommendations	a revised nominated trans	transfer on porta	al
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents	a revised nominated trans	transfer on porta	al 🗌
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents	a revised nominated trans	transfer on porta	al 🛛
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents	a revised nominated trans	transfer on porta	al 🛛
Electricity Industry Customer Transfer Code 4. A network operator and retailer must agree to circumstances. Observations Documents	a revised nominated trans	transfer on porta	al 🛛



A network operator and the retailer must take certain action if the contestable customer's meter is not read on the nominated transfer date.

#### Observations

Documents  Compliance		1
Evidence: interviewed Director, Business Analy		
Process	□ Reporting □	Compliance
All meters were read before transfers occurred. retailers. It entails the retailer accepting Western transfer on time. It is not practicable for the met data for 35 days and is usually read remotely.	n Power's reasonable en	deavours to make a
Issues		
None		
Recommendations		
None		
	A CONTRACTOR OF THE OWNER OF THE	
Item 40 Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Electricity Industry Customer Transfer Code 4.1 The parties to an access contract must negotiat the access contract arising from certain circums <b>Observations</b>	e in good faith any neces	ssary amendments to
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st Documents: FTAC	
Process I Outcome I Output	☑   Reporting   ☑	Compliance 🗹
There was a change to AER ETAC which was a		
Issues		
None		
Recommendations		
None	t d	
Item 43	Adequacy of controls	Compliance rating
Item 43 Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance rating
		Compliance rating Not Rated
Electricity Industry (Licence Conditions)	rating	
Electricity Industry (Licence Conditions) Regulations regulation 5(2)	rating Not Performed 5 s transfer, a network ope ood faith to ensure that t	Not Rated erator and all affected he rights and
Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail Electricity Industry Customer Transfer Code 4.1 In the case of a transfer to reverse an erroneour retailers (and if applicable AEMO) must act in g obligations of the affected contestable customer erroneous transfer not occurred. Observations	rating Not Performed 5 s transfer, a network ope ood faith to ensure that t	Not Rated erator and all affected he rights and
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneour         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable customer         erroneous transfer not occurred.         Observations         Documents           Compliance	rating Not Performed 5 s transfer, a network ope ood faith to ensure that t r are as they would have	Not Rated erator and all affected he rights and been had the
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneou         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable custome         erroneous transfer not occurred.         Observations         Documents       Compliance         Evidence: interviewed Director, Business Analy	rating Not Performed 5 s transfer, a network ope ood faith to ensure that t r are as they would have yst. Documents: Sample	Not Rated erator and all affected he rights and been had the transfers
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneou retailers (and if applicable AEMO) must act in g obligations of the affected contestable customer erroneous transfer not occurred.         Observations         Documents       Compliance         Evidence: interviewed Director, Business Analy Process	rating         Not Performed         5         s transfer, a network oper         ood faith to ensure that t         r are as they would have         yst.         Documents:         Sample         Reporting	Not Rated
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneou         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable custome         erroneous transfer not occurred.         Observations         Documents       Compliance         Evidence: interviewed Director, Business Analy	rating         Not Performed         5         s transfer, a network oper         ood faith to ensure that t         r are as they would have         /st. Documents: Sample         Image: Strange strange         Image: Strange strange strange         Image: Strange strange	Not Rated
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneour         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable customer         erroneous transfer not occurred.         Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analy         Process       Outcome       Output         A transfer was requested but the customer's site	rating         Not Performed         5         s transfer, a network oper         ood faith to ensure that t         r are as they would have         /st.         /st.         Documents: Sample         Image: Sample         Image: Sample         state         Image: Sample         Ima	Not Rated
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneour         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable customer         erroneous transfer not occurred.         Observations         Documents       Compliance         Process       Outcome         Output         A transfer was requested but the customer's site proceed and therefore was not reversed. This proceed and therefore was not reversed.	rating         Not Performed         5         s transfer, a network oper         ood faith to ensure that t         r are as they would have         /st.         /st.         Documents: Sample         Image: Sample         Image: Sample         state         Image: Sample         Ima	Not Rated
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneou         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable customer         erroneous transfer not occurred.         Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analy         Process       Outcome       Output         A transfer was requested but the customer's site       proceed and therefore was not reversed. This g         instructs Western Power to allocate to it a new of       Interviewer to allocate to it a new of	rating         Not Performed         5         s transfer, a network oper         ood faith to ensure that t         r are as they would have         /st.         /st.         Documents: Sample         Image: Sample         Image: Sample         state         Image: Sample         Ima	Not Rated
Electricity Industry (Licence Conditions)         Regulations regulation 5(2)         Licence:       Retail         Electricity Industry Customer Transfer Code 4.1         In the case of a transfer to reverse an erroneou         retailers (and if applicable AEMO) must act in g         obligations of the affected contestable customer         erroneous transfer not occurred.         Observations         Documents       Compliance         Process       Outcome         Outcome       Output         A transfer was requested but the customer's site proceed and therefore was not reversed. This p         instructs Western Power to allocate to it a new orights and obligations were affected.	rating         Not Performed         5         s transfer, a network oper         ood faith to ensure that t         r are as they would have         /st.         /st.         Documents: Sample         Image: Sample         Image: Sample         state         Image: Sample         Ima	Not Rated



Recommendations	
None	

Item 44	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2) Licence: Retail	A	1
Electricity Industry Customer Transfer Code 4.1		
A verifiable consent given by a contestable cust		
customer transfer request must be retained by the case of a customer transfer request to reverse		
Observations		
Documents 🗹 Compliance 🗹		ture or a farme
<b>Evidence:</b> interviewed Director, Business Analy Process I Outcome I Output		
Process         ☑         Outcome         ☑         Output           All VCFs are maintained in electronic format. Int		•••••
copy of all documents be maintained perpetually		
was not ready and the transfer did not proceed s		
reversed.		
Issues		
None		
Recommendations		
None		
Item 45	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 4.1		
A previous retailer must not bill a contestable cu		rred after the transfer
time, except in the case of an erroneous transfe Observations	r.	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy		
Process 🗹 Outcome 🗹 Output	☑   Reporting   ☑	Compliance 2
Previous customers have not been billed for cha		
on meter data provided through the "Meter Data pertains only to a bone fide customer (albeit whi		
cancelled). Consequently, the customer is know		
commences or ceases to be provided through the		
Issues		
None		
Recommendations		
None		
Item 48	Adequacy of controls	Compliance rating

Item 48	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 5.2		



A network's communication rules apply in respect of data and information communication between the network operator and a retailer under this Code.

Observations	5								
Documents	$\mathbf{N}$	Compliance		$\mathbf{A}$					
Evidence: int	ervie	wed Director,	Busine	ess Ana	lyst. D	ocuments: Sa	ample	transfers, portal	
screen captur	es								
Process	$\mathbf{\nabla}$	Outcome	$\mathbf{\nabla}$	Output	$\mathbf{\nabla}$	Reporting	$\mathbf{\nabla}$	Compliance	N
All transfers a	nd d	ata transactior	ns are	done el	ectron	cally with the	portal	. Communication	n with
Western Powe	er's a	account manag	ger is v	/ia ema	il and s	standard forma	ats.		
Issues									
None									
Recommend	atior	IS							
None					1.				

Item 48A			Ade	equacy of cont	rols	Compliance ratir	ng
Electricity Industry (Licence	Condition	is)	rati	ng		·	Ū
Regulations regulation 5(2)		,	Α	•		1	
Licence: Retail							
Electricity Industry Custome	er Transfe	r Code 6.1			5		
All notices must be in writin	g and deli	vered as d	escril	ped in subclau	ses 6	5.1(a)-(c).	
Observations				LA			
Documents 🗹 Complia	ance	V					
Evidence: interviewed Dire	ctor, Busi	ness Analy	vst. D	ocuments: Sa	mple	transfers, portal	
screen captures							
Process 🗹 Outcom	ie 🗹	Output	N	Reporting	$\mathbf{\nabla}$	Compliance	A
All notices are done electro	nically wit	h the porta	I. All	methods were	avail	able and comply v	with
6.1(a)-(c).							
Issues	Tun						
None	T						
Recommendations	(z)						
None		1					

Electricity Industry (Licence Conditions) Regulations regulation 5(2)	rating A	1
	A	1
Licence: Retail		
Electricity Industry Customer Transfer Code 6.2		
A licensee's notice in relation to a data request of	or customer transfer requ	uest must identify the
connection point to which it relates.		-
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st. Documents: portal s	creen captures
Process 🗹 Outcome 🗹 Output	☑ Reporting	Compliance Ø
The Licensee's notice in relation to a data reque	est or customer transfer i	request identifies the
connection point. All transfers and data transact	ions are done electronic	ally with the portal.
Western Power uses the NMI as the unique ider	ntifier. Western Power is	responsible for
allocating NMIs to connection (exit) points.		
Issues		
None		
Recommendations		



#### None

Item 52	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 6.4	(1)	
A retailer must notify its contact details to a netw		e business days of a
request.		e buenneee aaye er a
Observations		
Documents   Compliance		
Evidence: interviewed Director, Business Analy	st. Documents: Not app	olicable
Process   Outcome  Output	□ Reporting □	Compliance 🛛 🗆
The network operator has not made a request.	The contact details were	provided with the
initial access contract.		
Issues		
Nono		1
None Recommendations		
Recommendations		
None		
Item 53	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating	Compliance rating
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail	Noti enomica	Hot Rated
Electricity Industry Customer Transfer Code 6.4		
A retailer must notify any change in its contact of	letails to a network opera	ator at least three
business days before the change takes effect.		
Observations		
Documents  Compliance		
<b>Evidence:</b> interviewed Director, Business Analy	st Documents: Not and	licable
Process	□ Reporting □	Compliance
There was no change during the audit period.		
Issues		
135055		
None		
Recommendations		
Nese		
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		
A network operator or a retailer must send requi		rations to the
applicable electronic communication address, in		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st. Documents: Not app	olicable
Process 🗹 Outcome 🗹 Output	☑ Reporting	Compliance 🗹
The use of the Western Power portal satisfies th		
and email are in accordance with the requireme		
cGill Engineering Services Pty Ltd		Page 31



Issues		
None		
Recommendations		
None		
Item 55	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating Not Performed	Not Dotod
Regulations regulation 5(2) Licence: Retail	Not Performed	Not Rated
Electricity Industry Customer Transfer Code	7 1(1)	
For a dispute in respect of a matter under or Customer Transfer Code, any disputing party request from another disputing party and atte good faith.	in connection with the Elect must meet within five bus	iness days of a
Observations		
Documents		
Evidence: interviewed Director, Business Ar		
Process 🛛 Outcome 🗖 Outpu	t 🗆 Reporting 🗆	Compliance
No disputes have occurred. Issues		
issues		
None		
Recommendations		
None		
Item 56 Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance rating
Regulations regulation 5(2)	Not Performed	Not Rated
Licence: Retail		Hornatou
Electricity Industry Customer Transfer Code	7 1(2)	
If the negotiations in 7.1(1) of the Electricity I the dispute within 10 days after the first meet executive officer of each disputing party who negotiations in good faith.	ndustry Customer Transfe ting, the dispute must be re	eferred to the senior
Observations		
Documents  Compliance		
Evidence: interviewed Director, Business Ar	alyst. Documents: Not ap	plicable
Process 🛛 Outcome 🖾 Outpu	t 🛛 Reporting 🗋	Compliance
No disputes have occurred.		
Issues		
None		
Recommendations		
None		
	Adequacy of controls	Compliance rating
Item 57		
	rating	
Item 57 Electricity Industry (Licence Conditions) Regulations regulation 5(2) Licence: Retail	rating Not Performed	Not Rated



If the dispute is resolved, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution. Observations Documents Compliance Evidence: interviewed Director, Business Analyst. Documents: Not applicable □ Outcome Process □ Output □ Reporting □ Compliance No disputes have occurred. Issues None Recommendations None Item 58 Adequacy of controls Compliance rating Electricity Industry (Licence Conditions) rating Not Performed Regulations regulation 5(2) Not Rated Retail Licence: Electricity Industry Customer Transfer Code 7.2(4) A disputing party that refers a dispute to the arbitrator must provide the arbitrator with prescribed details of the nature of the dispute. Observations Documents D Compliance Evidence: interviewed Director, Business Analyst. Documents: Not applicable □ Outcome □ Output □ Reporting □ Compliance Process No disputes have occurred, so no referral. Issues None Recommendations None Item 59 Adequacy of controls Compliance rating Electricity Industry (Licence Conditions) rating Not Performed Regulations regulation 5(2) Not Rated Licence: Retail Electricity Industry Customer Transfer Code 7.3(2) A disputing party must at all times conduct itself in a manner which is directed towards achieving the objectives in clause 7.3(1) of the Electricity Industry Customer Transfer Code. Observations Documents Documents Evidence: interviewed Director, Business Analyst. Documents: Not applicable Output D Reporting □ Outcome Process □ Compliance No disputes have occurred. Issues None Recommendations None



Item 68	Adequacy of controls	Compliance rating
Electricity Industry (Licence Conditions)	rating A	1
Regulations regulation 5(2)           Licence:         Retail		
Electricity Industry Customer Transfer Code Ann	$a \rightarrow b \rightarrow $	
A network operator and a retailer must use reas		nsure that its
information system on which electronic commun		
day and 7 days a week.		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy		
ProcessImage: OutcomeImage: OutputThe communication systems meet this requirem	■ Reporting ■	
supplies. All transfers and data transactions are		
provides the prescribed availability. Other comm		
all times. This requirement ceased in October 20	016.	
Issues	1 upor	
None		
Recommendations		
None		
How CO		O a marking and the m
Item 69 Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance rating
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Annex 6 d	clause A6.2(b)	
A network operator and a retailer must establish		te an automated
response message for each electronic communi		tomated response
message) received at the electronic communica Observations	tion address.	
Documents 🗹 Compliance 🗹	L Deserve to Destate	
Evidence: interviewed Director, Business AnalyProcessImage: OutcomeImage: OutcomeImage: Output		creens Compliance 🛛 🗹
The communication system meets the requirement	l v	
done electronically with the portal which provide		
Procedures in place to send reply to all Western		
October 2016.		
Issues		
None		
Recommendations		
None		
Item 70		Compliance rating
Electricity Industry (Licence Conditions)	Adequacy of controls rating	Compliance rating
Regulations regulation 5(2)	A	1
Licence: Retail		
Electricity Industry Customer Transfer Annex 6	clause A6.6	
The originator of an electronic communication m		communication.
Observations	2	
Documents 🗹 Compliance 🗹		
<b>Evidence:</b> interviewed Director, Business Analy	st. Documents: Portal s	creens
· · · · · ·		



Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance	V
The communication system meets the requirem	ents. All transfers and da	ata transactions ar	re
done electronically with the portal which provide	s the prescribed identific	ation. This	
requirement ceased in October 2016.			
Issues			
None			
Recommendations			
None			
Item 71	Adequacy of controls	Compliance ratir	ng
Electricity Industry (Licence Conditions)	rating		
Regulations regulation 5(2)	A	1	
Licence: Retail			
Electricity Industry Customer Transfer Code An			
The originator of an electronic communication m	nust use reasonable end	eavours to adopt a	а
consistent data format for information over time,	, to facilitate any automa	ted processing of	the
information by the addressee.			
Observations			
Documents 🗹 Compliance 🗹			
Evidence: interviewed Director, Business Analy	st. Documents: Portal s	creens	
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance	V
The communication system meets the requirem			
transfers and data transactions are done electro		nich provides the	
prescribed consistency. This requirement cease	d in October 2016.		
Issues			
None			_
Recommendations			

None



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

Obligatio	115				
Item 78 Electricity Indu	stry Act s.51.		Adequacy of controls rating	Compliance rating	
, i i i i i i i i i i i i i i i i i i i			Not Performed	Not Rated	
Licence:	Retail				
Retail Licence	condition 5.1				
Where the lice	nsee supplies elec	ctricity under a s	standard form contract, t	he standard form	
			d standard form contrac		
website.					
Observations					
Documents	□ Compliance				
Evidence: inte	rviewed Director,	<b>Business Analy</b>	st. Documents: Standar	rd Form Contract,	
Sample contra	cts				
Process	Outcome	Output	□ Reporting □	Compliance [	
All the Custom	ers are on a non-s	standard contra	ct. The Licensee has an	approved Standard	
Form Contract	(SFC). Amendme	ents have been a	approved by ERA.		
Issues					
None					
Recommenda	tions		ZA I		
None	DAN				
Item 79			Adequacy of controls	Compliance rating	
Electricity Industry (Customer Contracts) Regulations 2005 r.5.		ontracts)	rating	1	
Licence:	Retail			•	
	d contract must be	in a format tha	t is easy to read and exp	pressed in clear,	
	ncise language.				
Observations					
Documents	☑ Compliance				
			st. Documents: Non-sta	andard Contract	
Sample contra					
	☑ Outcome	☑ Output	☑ Reporting ☑	Compliance	
			s easy to read and expre		
and concise la		a contract that i			
Issues			- V		
None					
Recommenda	tions				
None					
Item 80			Adequacy of controls	Compliance rating	
Electricity Industry (Customer Contracts)			rating		
Regulations 2005 r.6.			A	1	
Licence:	Retail				
Retail Licence	condition 5 1				
		a aifu uuhaa it aa	mes into effect and the	naviad far which it h	

A non-standard contract must specify when it comes into effect and the period for which it has effect.

#### Observations



Documents 🗹 Compliance 🗹					
Evidence: interviewed Director, Business Analy	vst. Documents: Non-sta	indard Contract,			
Sample contracts					
Process 🗹 Outcome 🗹 Output	☑ Reporting	Compliance 🗹			
The non-standard contract that specifies when it	1 0				
•	i comes into eneci and ti	le period for which it			
has effect (CI 3).					
Issues					
None					
Recommendations					
None					
Item 81	Adequacy of controls	Compliance rating			
Electricity Industry (Customer Contracts)	rating	Compliance rating			
		4			
Regulations 2005 r.7.	A	1			
Licence: Retail					
A non-standard contract must specify certain inf	ormation about the rotail	or			
	onnation about the retail	<b>GI</b> .			
Observations					
Documents 🗹 Compliance 🗹					
		and and October of			
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	indard Contract,			
Sample contracts					
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 🗹			
The Licensee has the prescribed information in	the non-standard contract	ct i.e. company			
name/business name; ABN; registered office; po					
address and Internet web site address. (CI 26.9)		number, emai			
	)				
Issues					
None					
Recommendations					
None					
None					
1 4 4 A 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4					
Item 82	Adequacy of controls	Compliance rating			
Electricity Industry (Customer Contracts)	rating				
Regulations 2005 r.8.	A	1			
Licence: Retail		•			
A non-standard contract must give an exact des	cription of the goods and	services that the			
retailer will provide under the contract.	Suprovi of the geode and				
Observations					
Observations					
Documents 🗹 Compliance 🗹					
	et Documente: Non etc	indard Contract			
Evidence: interviewed Director, Business Analy	st. Documents: Non-Sta	inuaru Contract,			
Sample contracts					
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 🛛 🗹			
The non-standard contract gives the required ex	act description of the ac	ods and services that			
the retailer will provide under the contract. (CI 1)					
Issues	,				
133063					
None					
Recommendations					
NECOIIIIIEIIUAUOIIS					
None		Naza			



Item 83	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	
Regulations 2005 r.9.	A	1
Licence: Retail		
A non-standard contract must require the custor	ner to pay for electricity	supplied under the
contract.		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	andard Contract,
Sample contracts		
Process 🗹 Outcome 🗹 Output	☑   Reporting   ☑	Compliance 🗹
The non-standard contract that gives the require	ed information (CI 4).	
Issues		
None		
Recommendations		
None	TURN	
24.2		
Item 84	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	4
Regulations 2005 r.10. Licence: Retail	A	1
A non-standard contract must prohibit the custor		, or bypassing,
network equipment or allowing any other person	to do so.	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	andard Contract,
Sample contracts		
Process 🗹 Outcome 🗹 Output	☑   Reporting   ☑	Compliance 🗹
The non-standard contract that gives the require	ed information (Cl 15).	
Issues		
None		
Recommendations		
None		
Item 85	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	
Regulations 2005 r.11.	A	1
Licence: Retail		
A non-standard contract must describe the circu		a retailer has the right
to disconnect supply and is required to reconnect	ct supply.	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	andard Contract,
Sample contracts		
Process 🗹 Outcome 🗹 Output	☑   Reporting   ☑	Compliance 🗹
The non-standard contract that gives the require	ed information (Cl 9&10)	•

Issues

None Recommendations



1( and 00				
Item 86	Adequacy of controls	Compliance rating		
Electricity Industry (Customer Contracts)	rating			
Regulations 2005 r.12.	A	1		
Licence: Retail				
A non-standard contract must require the retaile	r to deal with security de	prosits and the		
A non-standard contract must require the retailer to deal with security deposits and the payment of interest in the manner that is specified.				
Observations	ed:			
Observations				
Documents 🗹 Compliance 🗹				
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	andard Contract,		
Sample contracts				
Process 🗹 Outcome 🗹 Output	☑ Reporting	Compliance 🗹		
The non-standard contract that gives the require				
Issues				
	- · O			
None				
Recommendations				
None		1		
None				
		and the second s		
Item 87	Adequacy of controls	Compliance rating		
Electricity Industry (Customer Contracts)	rating			
Regulations 2005 r.13.	A	1		
Licence: Retail				
A non-standard contract must describe the retai	ler's obligations in relation	on to the provision of		
prices and tariff information.				
Observations				
Documents 🗹 Compliance 🗹				
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	andard Contract,		
Sample contracts				
Process 🛛 Outcome 🖾 Output	☑ Reporting ☑	Compliance 🗹		
The non-standard contract that gives the require	ed information (CI 4&6).			
Issues				
None				
Recommendations				
Recommendations				
None				
Item 88	Adequacy of controls	Compliance rating		
Electricity Industry (Customer Contracts)	rating	Complation rating		
Regulations 2005 <b>r.14.</b>	A	1		
Licence: Retail	Α			
A non-standard contract must describe the proc		the retailer in relation		
to the preparation, issue and review of customer bills.				
Observations				
Documents 🛛 Compliance				
	of Dooumante Ner	and Contract		
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	anuaro Contract,		
Sample contracts		O a mar llana a l 🗖		
Process I Outcome I Output	☑     Reporting     ☑	Compliance 🛛 🗹		
The non-standard contract that gives the require	ed information (CI 8).			
Issues				
None				
Recommendations				



	Customer Contracts)		Adequacy of controls rating	Compliance rating
Regulations 2005 r.			A	1
Licence: Ret	ail			
A non-standard con that are specified in		he matte	ers relating to the termin	ation of the contract
Observations				
Documents 🗹	Compliance	$\checkmark$		
Evidence: interview Sample contracts		s Analys	st. Documents: Non-sta	ndard Contract,
Process 🗹		Output	☑ Reporting ☑	Compliance 🗹
The non-standard co	ontract that gives the	require	d information (CI 22).	
Issues				
None			1111	
Recommendations				
None				
None				
Item 90			Adequacy of controls	Compliance rating
Electricity Industry (	Customer Contracts)		rating	1 5
Regulations 2005 r.			A	1
Licence: Ret	ail			
including requireme	nts for approval and	the way	escribe the process for a in which the amendmer ler to notify the custome	nt will be published.
Observations	1144			
Documents 🗹	Compliance	ব		
	compliance		st. Documents: Non-sta	ndard Contract,
	Outcome 🛛 O	utput	☑ Reporting ☑	Compliance 🗹
			d information (Cl 4.3&6)	
Issues	<u></u>			
None				
Recommendations				
None				
Item 91			Adequacy of controls	Compliance rating
Electricity Industry (	Customer Contracts)		rating	1 5
Regulations 2005 r.			A	1
Licence: Ret	ail			
A non-standard con	tract must specify the	e assign	ment of rights and obligation	ations, including
assignment without	the customer's conse		- •	-
Observations		_		
Documents 🗹	Compliance	$\checkmark$		
			st. Documents: Non-sta	ndard Contract,
Sample contracts		,		
Process 🗹	Outcome 🗹 O	utput	☑ Reporting	Compliance 🗹

Recommendations		
None		
Item 92		Compliance rating
Electricity Industry (Customer Contracts) Regulations 2005 <b>r.18.</b>	Adequacy of controls rating A	
Licence: Retail		
A non-standard contract must describe the pr responding to a complaint made by a custom Observations		owed by the retailer
	6.9	
Documents ☑ Compliance ☑ Evidence: interviewed Director, Business An	alvat Degumenta, Non ata	and Contract
Sample contracts	alyst. Documents. Non-sta	indard Contract,
Process 🛛 Outcome 🖾 Output	Reporting	Compliance
The non-standard contract that gives the requ		-all
Issues		
None	741	
Recommendations		
None		
None		
Item 93	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	
Regulations 2005 r.19. Licence: Retail	A	1
A CONTRACT OF		
A non-standard contract must specify the pro		the retailer to ensu
information held by the retailer is treated conf Observations	identially.	
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business An	alyst. Documents: Non-sta	andard Contract,
Evidence: interviewed Director, Business An Sample contracts		
Evidence: interviewed Director, Business An       Sample contracts         Process       Image: Contract State	: ☑ Reporting ☑	andard Contract,
Evidence: interviewed Director, Business An       Sample contracts         Process       Image: Contract Signal Con	: ☑ Reporting ☑	
Evidence: interviewed Director, Business An       Sample contracts         Process       Ø       Outcome       Ø       Output         The non-standard contract that gives the requires         Issues	: ☑ Reporting ☑	
Evidence: interviewed Director, Business An       Sample contracts         Process       Image: Contract service of the con	: ☑ Reporting ☑	
Evidence: interviewed Director, Business An         Sample contracts         Process       Ø         Outcome       Ø         The non-standard contract that gives the requires         Issues         None         Recommendations	: ☑ Reporting ☑	
Evidence: interviewed Director, Business An       Sample contracts         Process       Image: Contract service of the con	: ☑ Reporting ☑	
Evidence: interviewed Director, Business An         Sample contracts         Process       Ø         Outcome       Ø         The non-standard contract that gives the requires         Issues         None         Recommendations	: ☑ Reporting ☑	
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None	In Reporting ☑ uired information (CI 23).	Compliance
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None         Item 94	Image: Control     Image: Control       Image: Control     Image: Control	Compliance
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None	In Reporting ☑ uired information (CI 23).	Compliance
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None         Item 94         Electricity Industry (Customer Contracts)	Image:	Compliance
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None         Item 94         Electricity Industry (Customer Contracts)         Regulations 2005 r.20.         Licence:       Retail         A non-standard contract must specify the gov         unenforceable provision, the way in which no	Image:	Compliance
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None         Item 94         Electricity Industry (Customer Contracts)         Regulations 2005 r.20.         Licence:         Retail         A non-standard contract must specify the gov	Image:	Compliance
Evidence: interviewed Director, Business An         Sample contracts         Process       Image: Outcome         Process       Image: Outcome         The non-standard contract that gives the requires         Issues         None         Recommendations         None         Item 94         Electricity Industry (Customer Contracts)         Regulations 2005 r.20.         Licence:       Retail         A non-standard contract must specify the gov unenforceable provision, the way in which no communication by the retailer.	Image:	Compliance



Evidence: interviewed Director, Business Analy	yst. Documents: Non-sta	andard Contract,
Sample contractsProcessImage: OutcomeImage: Output	☑ Reporting ☑	Compliance
The non-standard contract that gives the require		
Issues		10.0 Q 20.7).
None		
Recommendations		
None		
Item 95	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	
Regulations 2005 r.21.	A	1
Licence: Retail		
A non-standard contract must not include a pro-	vision that excludes, rest	ricts or modifies the
Code of Conduct for the Supply of Electricity to		
by the Code.	( and the second s	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	yst. Documents: Non-sta	andard Contract,
Sample contracts		
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance E
The non-standard contract does not give the re-		
permitted by Code CI 1.10. (as discussed in No	n-standard contract CI 2	(C))
ssues		
None		
Recommendations		
None		
Item 96	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	
Regulations 2005 <b>r.32.</b>	A	1
Licence: Retail		
A non-standard contract must include details at	out the cooling off period	specified in the
regulation.	bout the booking on ponot	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	vst Documents: Non-sta	andard Contract
Sample contracts	yst. Documents. Non ste	indara Contract,
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance E
The non-standard contract that gives the require		
Issues		
None		
Recommendations		
None		
Item 97	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	. 5
Regulations 2005 r.33(2).	Not Performed	Not Rated
Licence: Retail		



A non-standard contract must allow the custome less than 5 days' notice.	er to terminate the contra	act at any time with no
Observations		
Documents   Compliance		
Evidence: interviewed Director, Business Analy Sample contracts	st. Documents: Non-sta	andard Contract,
Process	□ Reporting □	Compliance
The non-standard contract are fixed term contra		
Issues		
None		
Recommendations		
None		
Item 98	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	
Regulations 2005 r.33(3) & (4).	A	1
Licence: Retail	1 2 4 1	
A non-standard contract that is a fixed contract termination of the contract specified in the regul		rs relating to the
Observations		
Documents 🗹 Compliance 🗹		
Evidence: interviewed Director, Business Analy	st. Documents: Non-sta	andard Contract,
Sample contracts		
Process 🗹 Outcome 🗹 Output	☑   Reporting   ☑	Compliance 🗹
The non-standard contract that gives the require	ed information (CI 22).	
Issues		
None		
Recommendations		
None		
	10	
Item 100	Adequacy of controls	Compliance rating
Electricity Industry (Customer Contracts)	rating	<b>J</b>
Regulations r.38	Not Performed	Not Rated
Licence: Retail		
Retail Licence condition 28.1		
If a licensee becomes aware of a customer taking		
supplied under the licensee's standard form cor within 5 days after becoming aware of it and pro		
Observations	vide specified informatio	лт. 
Documents  Compliance		Ctandard Farm
<b>Evidence:</b> interviewed Director, Business Analy Contract, Sample contracts	st Director. Documents	: Standard Form
Process D Outcome Output	□ Reporting □	Compliance
No customers were on a SFC. All customers we		
electricity so deeming conditions do not apply.		
Issues		
None		
Recommendations		
None		



### 3.14.3 Electricity Industry Act – Licence Conditions and Obligations

Retail Licence condition 14.1	Adequacy of controls rating	Compliance rating			
Licence: Retail					
Electricity Industry Act section 13(1) A Licensee must provide the ERA with a per expert acceptable to the ERA, not less than Observations		by an independent			
Documents 🗹 Compliance 🗹					
Evidence:       Interviewed Director, Business A         advised the ERA of the contract arrangemen         Process       Image: Compliance         Process       Image: Compliance         Image: Compliance       Image: Compliance         Image: Complicance       Im	nts with the approval of the t ☑ Reporting ☑ r in accordance with the r	e auditor. Compliance			
Issues	squiremento.				
None					
Recommendations					
None					
1.72					
Item 105 Retail Licence condition 4.1	Adequacy of controls rating A	Compliance rating			
Licence: Retail					
Observations					
Documents         Image: Compliance         Image: Compliance           Evidence:         Interviewed Director, Business A spreadsheet.	I Analyst, Documents: Licen	ce invoices, Compliance			
Process 🗹 Outcome 🗹 Outpu	t 🗹 Reporting 🗹				
The Licensee has paid the annual prescribed operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/qu Issues	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/q Issues	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/qu	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/qu Issues None	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/q Issues None Recommendations None	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua uarter and not invoiced by	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were ERA.			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/q Issues None Recommendations	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua uarter and not invoiced by Adequacy of controls rating	Compliance rating			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/q Issues None Recommendations None Item 106	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua uarter and not invoiced by Adequacy of controls	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were ERA.			
operation. Following the previous Audit, the the ERA to ensure payment is made in acco 5th Nov 2014, 2015 paid on 17th Nov 2015, 2017. Anniversary date 21 November. Licen not due as the amounts were less than \$5/q Issues None Recommendations None Item 106 Retail Licence condition 5.1	Licensee now requests th rdance with the anniversa 2016 paid on 17 Nov 201 ce Standing Charges Qua uarter and not invoiced by Adequacy of controls rating	or every year of e invoices directly from ry date. 2014 paid on 6, 2017 paid on 1st Dec arterly payments were c ERA.			



A Licensee must take reasonable steps to minimise the extent or duration of any interruption, suspension or restriction of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause.

# Observations Documents Compliance I Evidence: Interviewed Director, Business Analyst, Documents: Not Applicable Process Outcome Output Reporting Compliance I The onus on network availability lies with Western Power, not the electricity retailer. AER has no capacity to minimize the extent or duration of any interruption, suspension or restriction of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause. Issues Recommendations Image Image Image Image

Item 107 Adequacy of controls Compliance rating   Retail Licence condition 5.1 rating Not Performed   Not Performed Not Rated   Electricity Industry Act section 41(6) A Licensee must pay the costs of taking an interest in land or an easement over land.   Observations   Documents Compliance   Documents Compliance   Image: Not Performed Not Performed   Process   Outcome Output   AER has no requirement for an interest in or an easement over land.   Resonmendations   None   None	1 1 1 1	14111			1 °	177 H 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1			
Not Performed       Not Rated         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         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst, Documents: Not Applicable.         Process       Outcome         Outcome       Output         AER has no requirement for an interest in or an easement over land. There has been no land acquired compulsorily.         Issues         None         Recommendations	Item 107				Adeq	uacy of contro	ols	Compliance rating	g
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         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst, Documents: Not Applicable.         Process       Outcome         Output       Reporting         AER has no requirement for an interest in or an easement over land. There has been no land acquired compulsorily.         Issues         None         Recommendations	Retail Licence	e con	ndition 5.1		rating				
Electricity Industry Act section 41(6)   A Licensee must pay the costs of taking an interest in land or an easement over land.   Observations   Documents   Observations					Not P	erformed		Not Rated	
A Licensee must pay the costs of taking an interest in land or an easement over land.   Observations   Documents   Compliance   Evidence:   Interviewed Director, Business Analyst, Documents:   Note     Recommendations	Licence:	Licence: Retail							
Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst, Documents: Not Applicable.         Process       Outcome         Output       Reporting         AER has no requirement for an interest in or an easement over land. There has been no land acquired compulsorily.         Issues         None         Recommendations	Electricity Inc	lustry	Act section 4	1(6)			Z		
Documents       □	A Licensee m	nust p	bay the costs o	of taking a	an interest	in land or an	easer	nent over land.	
Evidence:       Interviewed Director, Business Analyst, Documents: Not Applicable.         Process <ul> <li>Outcome</li> <li>Output</li> <li>Reporting</li> <li>Compliance</li> <li>AER has no requirement for an interest in or an easement over land. There has been no land acquired compulsorily.</li> <li>Issues</li> <li>None</li> <li>Recommendations</li> <li>Recommendations</li> <li>Recommendations</li> <li>Note</li> <li>Note<td colspan="5"></td><td></td></li></ul>									
Process       Outcome       Output       Reporting       Compliance         AER has no requirement for an interest in or an easement over land. There has been no land acquired compulsorily.         Issues         None         Recommendations	Documents		Compliance		]				
AER has no requirement for an interest in or an easement over land. There has been no land acquired compulsorily. Issues None Recommendations	Evidence: Ir	ntervi	ewed Director	, Busines	ss Analyst,	Documents:	Not A	oplicable.	
acquired compulsorily.  Issues None Recommendations	Process		Outcome	🗆 Ou	itput 🛛	Reporting		Compliance	
Issues None Recommendations	AER has no r	equi	rement for an i	interest ir	n or an eas	ement over la	and. T	here has been no	land
None Recommendations	acquired com	pulso	orily.						
Recommendations	Issues								
	None		( '	100					
None	Recommendations								
	None			1.					

Item 108	Adequacy of controls	Compliance rating		
Retail Licence condition 24.1	rating			
	A	1		
Licence: Retail				
Electricity Industry Act section 54(1)				
A retail or integrated regional licensee must r				
otherwise than under a standard form contra	ct or a non-standard form	contract that complie	es	
with the Act.				
Observations				
Documents 🗹 Compliance 🗹				
<b>Evidence:</b> Interviewed Director, Business A	nalyst, Documents: Not A	pplicable.		
Process 🛛 🗹 Outcome 🖾 Output	t 🗹 Reporting 🗹	Compliance	$\checkmark$	
All contracts are non-standard contracts that	comply with the Act. The	SFC has been		
approved by ERA.				
Issues				
None				
Recommendations				
None				



Item 109 Retail Licence condition 25.4	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Electricity Industry Act section 54(2) A licensee must comply with any direction and do so within the period specified. Observations	n by the ERA to amend the s	standard form contract
Documents 🗹 Compliance 🗹	7	
<b>Evidence:</b> Interviewed Director, Busines	-	Applicable.
		1 Compliance
The SFC amendments have been approv		
Issues	1 C C C C C C C C C C C C C C C C C C C	
None	114R	
Recommendations		
None		
Item 110 Retail Licence condition 27.1	Adequacy of controls rating	Compliance rating
	Not Performed	Not Rated
Licence: Retail		
perform the functions of a retailer of last r plan if it comes into operation under section Observations	resort and must carry out the ion 70 of the Electricity Indus	stry Act.
perform the functions of a retailer of last r         plan if it comes into operation under section         Observations         Documents          Compliance          Evidence:       Interviewed Director, Business         Process          Outcome          Outcome	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r         plan if it comes into operation under section         Observations         Documents          Compliance          Evidence:       Interviewed Director, Business         Process          Outcome         There has been no designation.	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r         plan if it comes into operation under section         Observations         Documents <ul> <li>Compliance</li> <li>Evidence: Interviewed Director, Busines</li> <li>Process</li> <li>Outcome</li> <li>Out</li> </ul> There has been no designation.       Issues	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r         plan if it comes into operation under section         Observations         Documents          ☐         Compliance          Evidence:       Interviewed Director, Busines         Process          ☐         Outcome         There has been no designation.         Issues         None	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r         plan if it comes into operation under section         Observations         Documents       Compliance         Evidence:       Interviewed Director, Busines         Process       Outcome       Out         There has been no designation.       Issues         None       Recommendations	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last replan if it comes into operation under section         Observations         Documents          ☐         Compliance          Evidence:       Interviewed Director, Business         Process          ☐         Outcome          ☐         Out         There has been no designation.          Issues           None	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Busines   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Busines   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence condition 21.1	resort and must carry out the ion 70 of the Electricity Indus	Applicable.
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Busines   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence   condition 21.1	Adequacy of controls rating	Applicable.
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Busines   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence condition 21.1	Adequacy of controls rating A	Applicable. Compliance III Compliance III Compliance rating 1 1 compliance rating 1
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Business   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence condition 21.1   Licence: Retail    Electricity Industry Act section 101   A retail, distribution or integrated regional customers unless the licensee is a member compliant, with any decision or direction of the section of the se	Adequacy of controls rating A	Applicable. Compliance III Compliance III Compliance rating 1 1 compliance rating 1
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Business   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence condition 21.1   Licence:   Retail   Electricity Industry Act section 101   A retail, distribution or integrated regional customers unless the licensee is a membra compliant, with any decision or direction or scheme.	resort and must carry out the ion 70 of the Electricity Indust         ion 70 of the Electricity Indust         iss Analyst, Documents: Not Altput         iss Analyst, Documents: Not Altput         itput       Reporting         itput       Reporting         itput       Adequacy of controls rating         A         I licensee must not supply electron of an approved scheme alto of the electricity ombudsman	Applicable. Compliance I
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Compliance   Evidence:   Interviewed Director, Business   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence condition 21.1   Licence:   Retail   Electricity Industry Act section 101   A retail, distribution or integrated regional customers unless the licensee is a membra compliant, with any decision or direction or scheme.   Observations   Documents   Documents   Mone   Evidence:   Interviewed Director, Business	Adequacy of controls rating A	Applicable. Compliance rating 1 Compliance rating 1 compliance rating 1
perform the functions of a retailer of last r   plan if it comes into operation under section   Observations   Documents   Compliance   Evidence:   Interviewed Director, Busines   Process   Outcome   Process   Outcome   Process   Outcome   Issues   None   Recommendations   None   Item 111   Retail Licence condition 21.1   Licence:   Retail   Electricity Industry Act section 101   A retail, distribution or integrated regional customers unless the licensee is a membra compliant, with any decision or direction or scheme.   Observations   Documents   Documents   Mone	Adequacy of controls rating A	Applicable. Compliance rating 1 Compliance rating 1 ectricity to small use and is bound by, and a under the approved budsman



The Licensee is member of an approved scheme and there has been no decisions or directions by the electricity ombudsman to require action.

### Issues

### None Recommendations

Item 113	Adequacy of controls	Compliance rating		
		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 a	services under an		
access agreement must not engage in condu				
access.		g pg		
Observations	1400			
Documents 🗹 Compliance 🗹				
Evidence: Interviewed Director, Business A	nalyst, Documents: NA.			
Process 🗹 Outcome 🗹 Output	☑ Reporting ☑	Compliance 🗹		
There have been no complaints about behav	iour for the purpose of hin	dering or prohibiting		
access.				
Issues				
None				
Recommendations				
None				



### 3.14.1 Electricity Licences – Licence Conditions and Obligations

Item 114 Electricity Industry Act section 11	Adequacy of controls rating	Compliance rating		
Licence: Retail	A	1		
Retail Licence condition 23.1 A licensee must ensure that an electricity ma applicable codes.	arketing agent of the licen	see complies with the		
Observations				
Documents 🗹 Compliance 🗹				
Evidence: Interviewed Director, Business A		oplicable		
Process       Image: Constraint of the const				
None Recommendations				
None				
Item 115 Electricity Industry Act section 11	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
Licence: Retail	non non			
marketing agent to the ERA within the prescupe         Observations         Documents       □         Evidence:       Interviewed Director, Business A         Process       □       Outcome       □         There are no breaches of the Code to report       Issues	 nalyst. Documents not aj t □ Reporting □	pplicable I Compliance D		
None				
Recommendations				
None				
Item 116 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating		
Licence: Retail				
Retail Licence condition 24.2 A licensee must, if directed by the ERA, revie ERA the results of that review within the time <b>Observations</b>		tract and submit to the		
Documents 🗹 Compliance 🗹				
Evidence: Interviewed Director, Business A				
Process 🗹 Outcome 🗹 Output		1 Compliance 🛛 🗹		
The SFC has been amended as required and Issues	a approved by ERA.			
None				
Recommendations				



None		
Item 117 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating
Licence: Retail	, <u>,</u>	
Retail Licence condition 24.3		
A licensee must comply with any direction gi and methodology of the standard form contra		to the scope, process
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business A		
Process 🗹 Outcome 🗹 Outpu		Compliance 2
The SFC has been amended as required and Issues	d approved by ERA.	
None Recommendations		
779Ast	14 Avenue	
None		
Item 118 Electricity Industry Act section 11	Adequacy of controls rating	Compliance rating
Licence: Retail	A	1
Retail Licence condition 25.1		
A licensee can only amend the standard form Observations	n contract with the ERAS	approval.
Documents 🗹 Compliance 🗹		
Evidence:Interviewed Director, Business AProcessImage: OutcomeImage: OutputProcessImage: OutcomeImage: Output		Compliance 🗹
The SFC has been amended as required an		
Issues		
None		
Recommendations		
None		
	100 A	
Item 119 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Retail Licence condition 12.1		
A Licensee and any related body corporate r	must maintain accounting	records that comply
with the Australian Accounting Standards Bo		
Accounting Standards.		
Observations		
Documents 🗹 Compliance 🗹		
<b>Evidence:</b> Interviewed Director, Business A	nalyst. Documents Financ	cial accountants letter
on accounting standards	-	1
Process 🗹 Outcome 🗹 Output		Compliance 🗹
The Licensee complies with Australian accound body to ASIC so do not have to meet listed of		ensee is not a reporting
Issues	ompany stanuarus.	
None.		



Recommendations	
None	

11.000		Compliance rating						
Item 120 Electricity Industry Act section 11	Adequacy of controls rating	Compliance rating						
	Not Performed	Not Rated						
Licence: Retail								
Retail Licence condition 13.4								
A Licensee must comply with any individual	performance standards pr	escribed by the ERA.						
Observations								
Documents  Compliance								
Evidence: Interviewed Director, Business A								
Process There are no individual performance standar		Compliance						
Issues	<u>us.</u>							
None	- Pupe							
Recommendations								
None								
Item 121	Adequacy of controls	Compliance rating						
Electricity Industry Act section 11	rating							
Licence: Retail	A	1						
Retail Licence condition 14.2	itar ta comply with the FF	A's standard sudit						
A Licensee must comply, and require its aud guidelines for the performance audit.	itor to comply, with the Er	KA S Stanuaru auult						
Observations								
Documents 🗹 Compliance 🗹								
Evidence: Interviewed Director, Business A	nalyst, Documents: The L	icensee provided						
contracting arrangements to the ERA with the	e approval of the auditor.	Compliance file						
Process 🗹 Outcome 🗹 Output								
The Licensee has contracted with the auditor	r in accordance with the re	equirements. The last						
audit complied with the requirements.								
None Recommendations								
None								
*								
Item 123	Adequacy of controls	Compliance rating						
Electricity Industry Act section 11	rating Not Performed	Not Rated						
Licence: Retail								
Retail Licence condition 15.1								
A Licensee must report to the ERA, in the ma	anner prescribed, if a Lice	nsee is under external						
administration or there is a significant change								
was granted which may affect a Licensee's a	ibility to meet its obligation	าร.						
Observations								
Documents  Compliance		Decements Data "						
<b>Evidence:</b> Interviewed Director, Business A	nalyst, listed staff on site.	Documents: Retail						

licence.					
Process	Outcome	Output	Reporting	Compliance	



The Licensee is not under external administration		nificant change in the	
circumstances upon which the licence was g			
None			
Recommendations			
None			
INDITE			
Item 124 Electricity Industry Act section 11	Adequacy of controls rating B	Compliance rating	
Licence: Retail		. –	
Retail Licence condition 16.1 A Licensee must provide the ERA, in the ma requires in connection with its functions und			
Observations			
Documents 🗵 Compliance 🗵			
Evidence: Interviewed Director, Business A			
Process I Outcome I Output The annual compliance reports were completed	9		
performance reports were provided to ERA of website by the required date. As Licence Sta they were not reportable as a non-compliand The Licensee was also late (by four days) in	on the due date. They wer anding Charges quarterly ce.	e published on the payments were not due	
Issues			
Late report			
Late report. Recommendations			
Improve control processes to ensure that rep	ports are submitted on tim	е.	
11 marsh			
Item 125 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating	
Licence: Retail			
Retail Licence condition 17.1&17.2 A Licensee must publish any information it is timeframes specified. Observations	s directed by the ERA to p	ublish, within the	
Documents     ☑     Compliance     ☑       Evidence:     Interviewed Director, Business A       Process     ☑     Outcome     ☑     Output       The performance     report was published and a	it 🗹 Reporting 🗹		
Issues			
None Secommondations			
Recommendations			
None			
Item 126 Electricity Industry Act section 11	Adequacy of controls rating A	Compliance rating	
Licence: Retail			
Retail Licence condition 18.1			



All notices must be in writing, unless otherwise specified.										
Observation	Observations									
Documents	V	Compliance		$\checkmark$						
Evidence: Ir	ntervi	ewed Director	, Busi	ness A	nalys	st. C	Documents: S	ampl	e communicatio	n with
ERA. Compliance spreadsheet.										
Process	$\mathbf{\nabla}$	Outcome	V	Output	: <b>•</b>	N	Reporting	V	Compliance	$\mathbf{\nabla}$
The ERA did not require any notices. All material communication with the ERA is in writing.										
Issues										
Nana										
None										
Recommend	atio	ns								
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				
<i>Code of Conduct clause 2.1</i> A retailer must ensure that its electricity mark Conduct.	eting agents comply with	Part 2 of the Code of		
Observations				
DocumentsImage: ComplianceImage: ComplianceEvidence:Interviewed Director, Business AProcessImage: ComplianceImage: ComplianceProcessImage: ComplianceImage: ComplianceThe Licensee has no marketing agents now lightImage: Complianceall marketing activities comply.There have beIssuesImage: ComplianceImage: Compliance	☑     Reporting     ☑       but during audit period ha	Compliance 🗹		
None				
Recommendations				
None	10			
Item 130 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
Licence: Retail				
Code of Conduct clause 2.2(1) A retailer or electricity marketing agent must e unsolicited consumer agreements, are entere contract is provided as specified, in clause 2.3 Observations	ed into according to the ma 2(1).	anner set out, and the		
Evidence:Interviewed Director, Business AProcessDOutcomeDOutput		le contracts		
There are no customers on a SFC. There has				
Issues				
None				
Recommendations				
None				
Item 131 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating Not Rated		
Licence: Retail				
Code of Conduct clause 2.2(2) Subject to subclause 2.2(3), the retailer or elected information in subclause 2.2(2) r Observations				
Documents  Compliance				



Evidence: Intervi	iewed Director, Busin	ess An	alyst. D	ocuments:	NA		
Process 🛛		Output		Reporting		Compliance	) 🗆
There are no cust	omers on a SFC. The	re have	e been	no complaii	nts.		ľ
Issues				•			
Nana							
None <b>Recommendatio</b> i							
Recommendation	15						
None							
Item 132			Adoqua	icy of contro		Compliance ra	tina
	Act Code of Conduc		rating		515	Compliance la	ung
	Act Code of Conduc		A			1	
Licence: R	etail		/ \			I	
							_
Code of Conduct							
	icity marketing agent						
	nsumer agreements, a				to the	e manner set ou	it, and
	vided as specified, in	clause	2.3(1).				-
Observations			1	~			
Documents	Compliance	$\checkmark$		127.12			
Evidence: Intervi	iewed Director, Busin	ess An	alyst. D	ocuments:	Non-s	tandard contrac	t
Process 🗹		Dutput		Reporting	$\checkmark$	Compliance	$\checkmark$
The copy of the sig	gned contract has been	en give			within		
	has been retained.						
Issues				HA			
None							_
Recommendatio	ne						-
Recommendation	15						
None							
Item 133			Adoque	ov of contr		Compliance ra	ting
	Act Code of Conduc		rating	icy of control	JIS	Compliance ra	ung
Electricity industry	Act Code of Conduc		A			1	
Licence: R	etail		/				-
Code of Conduct		-					
	icity marketing agent						
	s provided to the cust		etore e	ntering into	a non	i-standard contr	act.
Documents	Compliance		alust D			andord activ	
	ewed Director, Busin						
Process 🛛 🗹		Dutput		Reporting		Compliance	$\square$
	mation is given to new	N CUSTO	mers b	efore enteri	ng the	e contract.	
Issues							
None							
Recommendation	ns						
N 1							
None		_					
Item 135			Adequa	icy of contro	ols	Compliance ra	tina
	Act Code of Conduc		rating			2 cm phanoo ru	
			A			1	
Licence: R	etail						
Code of Conduct						at abtain th	
	use 2.3(3), a retailer o						
	ble consent that the s	pecified	u intorm	iation in sub	ociaus	e 2.3(2) and 2.3	o(4), as
applicable, has be							
Documents 🛛 🗹	Compliance	$\checkmark$					
Gill Engineering Sei	rvices Ptv I td						Page 54



Evidence: In	ntorvi	awad Diractor	Rusines A	nalvet	Documente: n	on-et	tandard contract.	
Process		Outcome	Ø Output	-	Reporting		Compliance	
		has been reta					1 2 0	
Issues								
None								
Recommend	atio	ns						
None								
Item 137 Electricity Industry Act Code of Conduct				Adequ rating	uacy of control	s	Compliance rating	
				А			1	
Licence:	R	etail						
Code of Cond	duct	clause 2.4(2)						
							luding a telephone	
							the retailer or electr	
	ent d	uring normal b	usiness hour	s for th	e purposes of	enqu	iiries, verifications a	ind
complaints.	6							_
Observation	<b>`</b>				1. 2. 1. 1.	<u></u>		
Documents		Compliance						
Evidence: In business card		ewed Director,	Business A	nalyst.	Documents: m	harke	eting policy, ID card	s,
Process	ls V	Outcome	Ø Output		Reporting		Compliance	
							contract to allow the	
							urposes of enquiries	
verifications a			5					,
Issues		•						
None								-
Recommend	atior	ns						
None								
None		10	10.00					
			-				•	
Item 138				Adequacy of controls rating Not performed			Compliance rating Not Rated	
Electricity Ind	ustry	Act Code of C	Conduct					
Licence:	R	etail		Notp	chonned		Not Rated	
Code of Cond				on roqu	act provide a	ouoto	mor with the	
		city marketing a ed in subclause		Shrequ	est, provide a	cusic		
Observation			5 2.0(1).					
Documents		Compliance ewed Director,		nolvet			manaak	
Process		Outcome	Output		Reporting		Compliance	
There has be					reporting			
Issues	<u></u>							
Nana								
None Recommend	atio	ns						
	anor							
None								
Item 139	uct-	Act Code of C	Conduct	Adequ rating	lacy of control	s	Compliance rating	
Electricity ind	ustry	Act Code of C	onduct	A			1	

Licence: Retail



Code of Conduct clause 2.5(2)

A retailer or electricity marketing agent who meets with a customer face to face must:

- wear a clearly visible and legible identity card showing the information specified in subclause 2.5(2)(a); and
- provide the written information specified in subclause 2.5(2)(b) as soon as practicable following a request by the customer.

following a request by the customer.		
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business A	nalyst. Documents: busir	ness card, ID card,
marketing policy		
Process 🗹 Outcome 🗹 Outpu		
The required information for 2.5(2)(a) is on the giving the business card and those examined		
information in 2.5(2)(b) is Not performed/Not		re was no request so the
Issues	Tatoai	
None	1400	
Recommendations		
None	1 222	1.00
Item 140	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	A	1
Licence: Retail		
Code of Conduct clause 2.6		
A retailer or electricity marketing agent who vi		
marketing must comply with any clearly visible		vassing is not permitted
at the premises, or no advertising is to be left Observations	at the premises.	
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business A	nalyst. Documents: busir	ness card/ID card,
marketing policy	t 🔽 Departing 🔽	
ProcessImage: ControlImage: ControlImage: ControlThe Licensee did not canvass individuals where		
canvassed. Also, marketing materials are no		
materials are accepted. There have been no		ato that no markoting
Issues		
None		
Recommendations		
None		
Item 141	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 2.9		
An electricity marketing agent must keep a re		
who are contacted by, or on behalf of, the ele	ectricity marketing agent for	or the purposes of

marketing; and provide the electricity ombudsman with all of the information that it has relating to a complaint, within 28 days of receiving a request for that information.

### Observations

Documents		Com	pliance		
Evidence: In	ntervi	ewed l	Director, Busi	ness A	nalyst. Documents: NA



Process  Outcome  Output		Compliance
There have been no complaints to record and	d no request for information	on from the
Ombudsman.		
Issues		
None		
Recommendations		
None		
11		O and line as notice a
Item 142	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct	Not Performed	Not Rated
Licence: Retail		Not Halou
Code of Conduct clause 2.10		
An electricity marketing agent must keep a re	cord, or other information	n. required under the
Code for at least 2 years after the last time th		
behalf of, the electricity marketing agent, or a	fter receipt of the last cor	
of, the electricity marketing agent, whichever	is later.	
Observations		
Documents  Compliance		
Evidence: Interviewed Director, Business A	nalyst. Documents: NA	
Process   Outcome  Output		
There have been no records or other informa	tion to be recorded and re	etained. There is a
retention policy to retain all record and inform	nation perpetually. There	have been no marketing
agents in the last 2 years.		
Issues		
None		
Recommendations		
None		
TIONE		
onnection		
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 custo	mer or arrange for the cor	nnection of the
customer's supply address, the retailer must f	orward the customer's red	quest for the connection
to the relevant distributor.		
Observations		
Documents  Compliance		
<b>Evidence:</b> Interviewed Director, Business A	nalyst. Documents: NA	
Process   Outcome  Output		Compliance 🛛
There have been no connections with all cus		· · · ·
Issues		
None		
Recommendations		
None		



Item 144	Adequacy of controls	Compliance rating			
Electricity Industry Act Code of Conduct	rating				
	Not performed	Not Rated			
Licence: Retail					
Code of Conduct clause 3.1(2)					
Unless the customer agrees otherwise, a ret	ailer must forward the cus	tomer's request for the			
•		•			
connection to the relevant distributor that sar					
business day; or the next business day if the	request is received after 3	3pm or on a weekend or			
public holiday.	-				
1					
Observations					
Observations					
Documents   I   Compliance					
	nalyst. Documents: NA				
Documents  Compliance		Compliance			

### Issues

None

Recommendations

None

### Billing

Itom 44E				Adaau	ions of contro		Compliance rating	
Item 145					lacy of contro	is	Compliance rating	
Electricity Ind	ustry Act Code	of Conduc	t	rating				
-				A			1	
Licence:	Retail							
Code of Cond	luct clause 4.1							
A retailer mus	t issue a bill no	more than	once	a mon	th and at leas	t once	e every 3 months,	
	circumstances						<i>c c c c c c c c c c</i>	
Observation		o opeomed i	11 5050	lause	7.1.			
Observation	5	Tunne						
Documents	☑ Complia	nce	$\checkmark$		1			
Evidence: In	terviewed Dire	ctor, Busine	ess An	alyst.	Documents: I	dentit	y card	
Process	Ø Outcome	e ⊠ C	Dutput	V	Reporting	V	Compliance 🛛	1
Bills are issue	ed monthly and	no more fr	equent	tly.				
Issues								
None								
Recommendations								
None								

Item 146					Adequ	acy of control	s	Compliance ratin	g
Electricity Ind	ustry	Act Code of C	Conduc	t	rating				
-					Not pe	erformed		Not Rated	
Licence:	R	etail							
Code of Cond	duct d	clause 4.2(1)							
For the purpo	ses o	of subclause 4	.1(a)(ii)	, a ret	ailer ha	s given a cust	tome	er notice if, prior to	
placing a cust	ome	r on a shorten	ed billin	ig cyc	le, the	etailer advise	s the	customer of the	
information sp	becifi	ed in subclaus	e 4.2(1	).					
Observations									
Documents		Compliance							
Evidence: Interviewed Director, Business Analyst. Documents: NA									
Process		Outcome		)utput		Reporting		Compliance	
There have been no customers on a shortened billing cycle. There are no residential									
customers.									



### **Issues** None

### Recommendations

	•	
Item 148	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not performed	Not Rated
Licence: Retail	Not performed	NUL RALEU
Code of Conduct clause 4.2(3)	of a decision to abortant	the quetomor's hilling
A retailer must give a customer written notice cycle within 10 business days of making the		the customer's billing
Observations		
Documents Compliance	nalvat Degumenta NA	
Evidence:         Interviewed Director, Business A           Process         □         Outcome         □         Output		Compliance 🛛
There have been no customers on a shorten		
Issues	ed billing byole.	
None		
Recommendations		
None		
Item 149	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Not Date 1
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.2(4)		
A retailer must ensure that a shortened billing	g cycle is for a period of a	t least 10 business
days. Observations		
Documents Compliance	nahat Daarmanta NA	
Evidence:Interviewed Director, Business AProcessIOutcomeIOutput		Compliance
There have been no customers on a shorten		
Issues		
None		
None Recommendations		
None		
Item 150	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Lieenee, Deteil	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.2(5)		
On request, a retailer must return a customer		
billing cycle that previously applied if the cust date.	tomer has paid 3 consecu	tive bills by the due
Observations		
Documents         Image: Compliance         Image: Compliance           Evidence:         Interviewed Director, Business A	nalvet Documente: NA	
Process Dutcome Output		Compliance



Issues		
None		
Recommendations		
None		
Item 151 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail	_ · · · · F · · · · · · · · · ·	
Code of Conduct clause 4.2(6) A retailer must inform a customer, who is su months about the conditions upon which the cycle. Observations		
	1400	
Documents         Image: Compliance         Image: Compliance           Evidence:         Interviewed Director, Business A	nalvst Documents: NA	
Process		Compliance
There have been no customers on a shorter		
Issues		
None		
Recommendations		111111
None		
Item 152 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail		
Code of Conduct clause 4.3(1)		
customer with a bill that reflects a bill-smooth period.	equest by a customer, a re ning arrangement with resp	
customer with a bill that reflects a bill-smooth		
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance	ning arrangement with resp	
customer with a bill that reflects a bill-smooth period. Observations Documents Documents Compliance Compliance Evidence: Interviewed Director, Business A	ning arrangement with resp	bect to any 12-month
customer with a bill that reflects a bill-smooth period.         Observations         Documents          Compliance          Evidence:       Interviewed Director, Business A         Process          Outcome	ning arrangement with response	bect to any 12-month
customer with a bill that reflects a bill-smooth period. Observations Documents Documents Compliance Compliance Evidence: Interviewed Director, Business A	ning arrangement with response	bect to any 12-month
customer with a bill that reflects a bill-smooth period.         Observations         Documents          Compliance          Evidence:       Interviewed Director, Business A         Process          Outcome          There have been no customers on bill smooth	ning arrangement with response	bect to any 12-month
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Evidence: Interviewed Director, Business A Process Outcome Output There have been no customers on bill smooth Issues None	ning arrangement with response	bect to any 12-month
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Compl	ning arrangement with response	bect to any 12-month
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Evidence: Interviewed Director, Business A Process Outcome Output There have been no customers on bill smooth Issues None	ning arrangement with response	bect to any 12-month
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Evidence: Interviewed Director, Business A Process Outcome Output There have been no customers on bill smooth Issues None Recommendations None	Analyst. Documents: NA t	Compliance
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Compl	Adequacy of controls rating	bect to any 12-month
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Compl	Adequacy of controls	Compliance rating
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Compl	Adequacy of controls rating	Compliance rating
customer with a bill that reflects a bill-smooth period.   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Business A   Process   Outcome   Process   Outcome   Output   There have been no customers on bill smooth   Issues   None   Recommendations   None   Item 153   Electricity Industry Act Code of Conduct   Licence:   Retail   Code of Conduct clause 4.3(2)   If a retailer provides a customer with a bill under	Adequacy of controls rating Not performed	Compliance rating Not Rated
customer with a bill that reflects a bill-smooth period. Observations Documents  Compliance Evidence: Interviewed Director, Business A Process Outcome Output There have been no customers on bill smooth Issues None Recommendations None Item 153 Electricity Industry Act Code of Conduct Licence: Retail Code of Conduct clause 4.3(2)	Adequacy of controls rating Not performed	Compliance rating Not Rated
customer with a bill that reflects a bill-smooth period.   Observations   Documents   Documents   Compliance   Evidence:   Interviewed Director, Business A   Process   Outcome   Process   Outcome   Output   There have been no customers on bill smooth   Issues   None   Recommendations   None   Item 153   Electricity Industry Act Code of Conduct   Licence:   Retail   Code of Conduct clause 4.3(2)   If a retailer provides a customer with a bill undersure that the conditions specified in subclau	Adequacy of controls rating Not performed	Compliance rating Not Rated



	Analyst. Documents: NA		
Process   Outcome  Outp	ut 🔲 Reporting 🛛	Compliance	
There have been no customers on a bill sm	noothing arrangement.		
ssues			
None			
Recommendations			
None			
None			
Item 154	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating		
_icence: Retail	A	1	
Code of Conduct clause 4.4			
A retailer must issue a bill to a customer at		dress, unless the	
customer has nominated another address o Observations	or an electronic address.		-
	and the second sec		
Documents 🗹 Compliance 🗹			
Evidence: Interviewed Director, Business			
Process 🛛 Outcome 🖾 Outp		Z Compliance	
Bills are sent to the supply address or the r	iominated other address of	or electronic address.	-
issues			
None			
Recommendations			
None			
		O and lie a section	
Item 155	Adequacy of controls rating	Compliance rating	
Electricity Industry Act Code of Conduct	A	1	
Licence: Retail			
Code of Conduct clause 4.5(1)		use 4 5(1) on a	
Code of Conduct clause 4.5(1) A retailer must include the minimum prescr	ibed information in subcla	use 4.5(1) on a	ł
Code of Conduct clause 4.5(1) A retailer must include the minimum prescr	ibed information in subcla	use 4.5(1) on a	
Code of Conduct clause 4.5(1) A retailer must include the minimum prescr customer's bill, unless the customer agrees	ibed information in subcla	use 4.5(1) on a	
Code of Conduct clause 4.5(1) A retailer must include the minimum prescr customer's bill, unless the customer agrees Observations	ibed information in subcla	use 4.5(1) on a	
Code of Conduct clause 4.5(1)A retailer must include the minimum prescr customer's bill, unless the customer agreesObservationsDocumentsImage: ComplianceImage: ComplianceImage: Compliance	ibed information in subcla s otherwise.		
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business	ibed information in subcla s otherwise. Analyst. Documents: sam	ple bills	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome       Image: Outcome	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents <ul> <li>Compliance</li> <li>Evidence: Interviewed Director, Business</li> <li>Process</li> <li>Outcome</li> <li>Outp</li> <li>Bills meet the requirements. Note items (b)</li> </ul>	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome       Image: Outperformed Director, Business         Bills meet the requirements. Note items (b)       Issues	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements.       Note items (b)         Issues       None	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations	ibed information in subcla s otherwise. Analyst. Documents: sam ut I I Reporting I	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica	ple bills 2 Compliance able.	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica	ple bills 2 Compliance	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescrutions         Cobservations         Documents       Image: Compliance         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Compliance         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica Adequacy of controls rating	ple bills 2 Compliance able.	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156         Electricity Industry Act Code of Conduct	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica	ple bills Compliance able. Compliance rating	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescricustomer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156         Electricity Industry Act Code of Conduct         Licence:       Retail	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica Adequacy of controls rating	ple bills Compliance able. Compliance rating	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156         Electricity Industry Act Code of Conduct         Licence:       Retail         Code of Conduct clause 4.5(3)	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica Adequacy of controls rating Not performed	ple bills Compliance able. Compliance rating Not Rated	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156         Electricity Industry Act Code of Conduct         Licence:       Retail         Code of Conduct clause 4.5(3)         f a retailer identifies and wishes to bill a cu	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica Adequacy of controls rating Not performed stomer for a historical deb	ple bills Compliance able. Compliance rating Not Rated t, the retailer must ad	
Code of Conduct clause 4.5(1)         A retailer must include the minimum prescr         customer's bill, unless the customer agrees         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business         Process       Image: Outcome         Bills meet the requirements. Note items (b)         Issues         None         Recommendations         None         Item 156         Electricity Industry Act Code of Conduct	ibed information in subcla s otherwise. Analyst. Documents: sam ut ☑ Reporting , (c), (j), (k) are not applica Adequacy of controls rating Not performed stomer for a historical deb	ple bills Compliance able. Compliance rating Not Rated t, the retailer must ad	



Observation	5									
Documents		Compliance								
Evidence: In	tervi	ewed Director	, Busir	ness Ai	nalyst. I	Docum	ents: N	١A		
Process		Outcome		Output		Repo	rting		Compliance	
There no histe	orical	debts.								
Issues										
None										
Recommend	atior	IS								
None										
Item 157					Adequ	acy of	contro	ls	Compliance ratin	g
Electricity Ind	ustry	Act Code of C	Conduc	ct	rating					
					А				1	
Licence:	R	etail			- C:	9				
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 reading of the meter at the customer's supply • address;
- the customer's reading of the meter in the circumstances specified in subclause 4.6(1)(b); or
- if the connection point is a Type 7 connection point, the procedure is set out in the metrology procedure or Metering Code, or as set out in any applicable law

Observation	s	5				Kan	0		
Documents	N	Compliance		$\square$					
Evidence: Interviewed Director, Business Analyst. Documents: sample bills									
Process	N	Outcome		Output	$\mathbf{\nabla}$	Reporting	$\mathbf{N}$	Compliance	N
							ern F	Power) reading. The	ere
are no customers reading meters or Type 7 connection points.									
Issues									
None									
Recommendations									

Item 158	Adequacy of controls	Compliance rating			
Electricity Industry Act Code of Conduct	rating				
, ,	A	1			
Licence: Retail					
Code of Conduct clause 4.7					
Other than in respect of a Type 7 connection	on, a retailer must use its b	est endeavours to			
ensure that the meter reading data is obtain	ned as frequently as requir	ed to prepare its bills.			
Observations					
Documents 🗹 Compliance 🗹					
Evidence: Interviewed Director, Business	Analyst. Documents: samp	le bills			
Process 🗹 Outcome 🗹 Outp	ut 🗹 Reporting 🗹	Compliance 🗹			
The meters are read daily and supplied mo	nthly by Western Power wh	nich is adequate for			
monthly bills.					
Issues					
None					
Recommendations					
None					



Item 159 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating
Licence: Retail	Not performed	Not Nated
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 Director, Business A		Compliance
Process  Outcome  Output There no estimated bills. If there were no me	· · · · ·	••••••
Issues		50110.
None	C 29 1	
Recommendations	1100	
None		
5	24.4	1-0
Item 160	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating 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
Documents  Compliance		
Evidence: Interviewed Director, Business A		
Process  Outcome  Output There no estimated bills.	t 🛛 Reporting 🖾	Compliance
Intere no estimated bills.		
None		
Recommendations		
None		
Item 161 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating
Licence: Retail	The period	Hornatou
<i>Code of Conduct clause 4.8(3)</i> On request, a retailer must inform a custome	or of the basic and the road	con for the actimation
Observations		
Documents   Compliance		
Evidence: Interviewed Director, Business A		
Process  Outcome  Output There no estimated bills.	t 🛛 Reporting 🗖	Compliance 🛛
I nere no estimated bills. Issues		
None		
Recommendations		
None		



Item 162	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.9 In accordance with clause 4.19, if a retailer subsequently read, the retailer must include the actual meter reading. Observations		
Documents     Image: Compliance     Image: Compliance       Evidence:     Interviewed Director, Business /       Process     Image: Compliance     Image: Compliance       Process     Image: Compliance     Image: Compliance       There no estimated bills.		I Compliance 🛛 🗆
Issues		
None Recommendations	2 Maria	
None		
		1.0
Item 163 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail		
best endeavours to replace an estimated bil         Observations         Documents       □         Compliance       □         Evidence:       Interviewed Director, Business /         Process       □       Outcome       □       Output         There no estimated bills.       Issues       Issues       Issues	Analyst. Documents: NA	
None		
Recommendations		
None		
Item 164 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating Not Rated
Licence: Retail	•	
Code of Conduct clause 4.11(1) If a customer requests the meter to be teste for doing so, a retailer must request the dist Observations		
Documents   Compliance		
Evidence: Interviewed Director, Business /		
Process Dutcome Dutcome Output There have been no requests for meter test		Compliance
Issues		
N 1		
None		
None Recommendations		



	· · · · · · · · · · · · · · · · · · ·	
Item 165	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
Licence: Retail	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.11(2)		
If the meter is tested and found to be defective		le charge for testing the
meter (if any) is to be refunded to the custom	er.	
Observations		
Documents   Compliance		
Evidence: Interviewed Director, Business A		
Process   Outcome  Output  Output	·	Compliance 🛛
There have been no requests for meter tests		
Issues		
None		
Recommendations		
None		
Item 166	Adaguagy of controls	Compliance rating
	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct	Not performed	Not Rated
Licence: Retail	Recipentinieu	Hornatou
Or dr. of Ormelius ( players (1.40(4))		
Code of Conduct clause 4.12(1)	tomor opplies to reasive a	a alternate tariff and
If a retailer offers alternative tariffs and a cus demonstrates to the retailer that they satisfy		
the customer to an alternate tariff within 10 b		
conditions.		inci satisiying tioso
Observations		
DocumentsImage: ComplianceImage: ComplianceEvidence:Interviewed Director, Business A	nalvat Dogumanta: NA	
Process Diector, Busiless A		Compliance
Alternative tariffs have not been offered.		
Issues		
None		
Recommendations		
None		
Item 167	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 4.13		
If a customer's electricity use changes, and the	he customer is no longer	eligible to continue to
receive an existing more beneficial tariff, a re		
to changing the customer to an alternative ta		
Observations		
Documents		
	1	

Documents		Compliance							
Evidence: In	itervi	ewed Director	, Busi	iness An	nalyst. I	Documents: N	IA		
Process		Outcome		Output		Reporting		Compliance	ב
Alternative ta	riffs h	nave not been	offere	ed.					
Issues									



### None Recommendations

None
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Item 168 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail	Notrenomed	Not Nated
Code of Conduct clause 4.14(1) If a customer requests a retailer to issue a fi must use reasonable endeavours to arrange customer's request.		
Observations		
Documents  Compliance	6.0	
Evidence: Interviewed Director, Business A		
Process  Outcome  Output No final bills have been requested. Final bills out.		Compliance
Issues		
None		
Recommendations		
None		
Item 169 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not performed	Compliance rating
Licence: Retail		
closure, a retailer must, in accordance with the credit to another account that the customer h by the customer, within 12 business days or <b>Observations</b>	as with the retailer or a ba	
Documents  Compliance		
Evidence:       Interviewed Director, Business A         Process       Image: Outcome       Image: Output         No accounts were in credit at time of account	: 🗆 Reporting 🗆	Compliance
Issues		
None		
Recommendations		
None		
Item 170 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Licence: Retail	Not performed	Not Rated
Code of Conduct clause 4.14(3) If a customer's account is in credit at the time to a retailer, the retailer may use that credit to customer written notice. If any amount remain customer for instructions to transfer the remain 4.14(2).	offset the debt owed to the set off, the retains	ne retailer by giving the ailer must ask the



## Observations

Documents		Compliance						
Evidence: Inte	ervie	wed Director, Bu	usiness A	nalyst. Doc	uments: N	A		
Process		Outcome	Output	t 🗆 Re	eporting		Compliance	
No accounts w	ere iı	n credit at time c	of accoun	t closure.				
Issues								
None								
Recommenda	tions	6						
None								
Item 171				Adequacy	of controls	S	Compliance rating	
<b>Electricity Indus</b>	stry A	Act Code of Con	duct	rating				
-				А			1	
Licence:	Rei	tail		6.9				
Code of Condu	ict cl	ause 4.15						
A retailer must	revie	w a customer's	bill on red	quest by the	e customer	, sub	ject to the custome	ər
paying that port	tion o	of the bill under	review that	at the custo	mer and a	retail	er agree is not in	
dianuta ar an a	mou	int oqual to the	worogo o	mount of th	o oustama	r'o bi	I over the provieur	12

dispute, or an amount equal to the average amount of the customer's bill over the previous 12 months (excluding the bill in dispute, whichever is less), and paying any future bills that are properly due.

### Observations

Documents 🗹 Compliance  $\mathbf{\nabla}$ 

Evidence:Interviewed Director, Business Analyst. Documents: NAProcessØOutcomeØOutputØReportingØCompliance  $\checkmark$ There was a request to review a bill and an error was found with Western Power providing incorrect data resulting in an overcharge.

Issues

None

Recommendations

Item 172					Adeq	uacy of contro	ols	Compliance rating	J
Electricity Ind	ustry	Act Code of C	Conduct		rating				
· · · · ·	,				A			1	
Licence:	R	etail							
Code of Cond	duct o	clause 4.16(1)	(a)	~					
				l and	is sat	isfied that the	bill is	correct, the retaile	r
								advise the custome	
								applicable law; and	
								indling processes a	
		icable external						inding processes t	
Observation			compia	into n	anum	g processes.	-		
Observation	5								
Documents	V	Compliance	V	1					
Evidence: In	tervi	ewed Director,	Busines	ss An	alyst.	Documents: I	Reque	est to review bill	
Process	$\checkmark$	Outcome	⊠ Ou	Itput		Reporting	V	Compliance	$\checkmark$
There was a	eque	est to review a	bill and a	an er	or wa	s found with	Neste	rn Power providing	1
								Int. The customer v	
		it to complain t							
Issues				-	-				
None									
Recommend	atio	าร							
None									

Item 173	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating A	1
Licence: Retail	Π	I
Code of Conduct clause 4.16(1)(b)		
If a retailer has reviewed a customer's bill and	d is satisfied that the bill is	s incorrect, the retailer
must adjust the bill in accordance with clause	es 4.17 and 4.18.	
Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business A		
Process 🛛 Outcome 🖾 Output		Compliance 🗹
There was a request to review a bill and an e incorrect data resulting in an overcharge. The		
bill as requested by the customer. Code 4.18		is credited to the next
Issues	(Z)(U).	
None	(Aupus	
Recommendations		
None		
None		
Item 174	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating A	1
Licence: Retail	Λ	1
Code of Conduct clause 4.16(2) A retailer must inform a customer of the outc	ome of the review of a hill	an anon an practicable
A retailer must inform a customer of the outc		as soon as practicable.
Observations		
Documents		
Evidence: Interviewed Director, Business A	nalvst Documents: NA	
Process I Outcome I Output		Compliance 🗹
There was a request to review a bill and an e		
incorrect data resulting in an overcharge of w		
Issues		
None		
Recommendations		
None		
Item 175	A deguady of controls	Compliance rating
	Adequacy of controls rating	Compliance rating
Electricity Industry Act Code of Conduct	Not performed	Not Rated
Licence: Retail		
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 bill within 20
business days from the date of receipt of the		
customer with notification of the status of the		
Observations		

Documents		Compliance							
Evidence: In	tervi	ewed Director	, Bus	iness Ana	alyst. I	Documents: A	dvice	of overcharge	
Process		Outcome		Output		Reporting		Compliance	



There was a request to review a bill and an error was found with Western Power providing incorrect data resulting in an overcharge. The customer was informed in less than 3 business days of the outcome, so notification of status was not required.. **Issues** 

None

Decem		1-1
кесот	menc	dations

None

Item 176	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.17(2)		
If a retailer proposes to recover an amount up	ndercharged as a result o	f an error, defect, or
default for which the retailer or distributor is r		re a meter has been
found to be defective), a retailer must do so i Observations	n the manner specified.	
Documents  Compliance		
Evidence: Interviewed Director, Business A		
Process   Outcome  Output		Compliance
There have been no amounts undercharged.		
Issues		
None	m m	
Recommendations		
None		
Item 176A	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.17(3)		
A retailer may charge a customer interest on	the undercharged amoun	t or require the
customer to pay a late fee, if the conditions ir	clause 4.17(3) are met.	
Observations		
Documents  Compliance		
Evidence: Interviewed Director, Business A	nalvst. Documents: NA	
Process   Outcome  Output		Compliance
There have been no amounts undercharged.		
Issues		
None		
Recommendations		
None		
None		
Item 177	Adequacy of controls	Compliance rating
	rating	Compliance rating
Electricity Industry Act Code of Conduct	A	1
Licence: Retail		

Code of Conduct clause 4.18(2)

If a customer (including a customer who has vacated the supply address) has been overcharged as a result of an error, defect, or default for which a retailer or distributor is responsible (including where a meter has been found to be defective), the retailer must use its



best endeavours to inform the customer within 10 business days of the retailer becoming aware of the error, defect, or default. Subject to sub-clauses 4.18(6) and 4.18(7), the retailer must ask the customer for instructions if the amount should be credited to the customer's account or repaid to the customer directly.

Observations		
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business	Analyst. Documents: Revie	ew advice
Process 🛛 Outcome 🖾 Outpu	ut 🔲 Reporting 🗆	Compliance
The amounts overcharged was credit to new	xt bill as requested by cust	omer. The customer
was informed within 10 days.		
Issues		
None		
Recommendations		
None		
Item 178	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	1
Licence: Retail		
Code of Conduct clause 4.18(3)		
A retailer must pay the amount overcharged	in accordance with the cu	istomer's instructions
within 12 business days of receiving the inst		
Observations		
Documents I Compliance I		
Documents         ☑         Compliance         ☑           Evidence:         Interviewed Director, Business /		
	Analyst Documents revie	w advice
Process 🗹 Outcome 🗹 Outpu	ut 🗹 Reporting 🗹	Compliance
Process I I Outcome I Output The Licensee credited the overcharge to the	ut ☑ Reporting ☑ e next bill as requested by	Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req	ut ☑ Reporting ☑ e next bill as requested by	1 Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req Issues	ut ☑ Reporting ☑ e next bill as requested by	1 Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req Issues	ut ☑ Reporting ☑ e next bill as requested by	1 Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req Issues	ut ☑ Reporting ☑ e next bill as requested by	1 Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req Issues	ut ☑ Reporting ☑ e next bill as requested by	1 Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req Issues None Recommendations	ut ☑ Reporting ☑ e next bill as requested by	1 Compliance
Process I Outcome I Output The Licensee credited the overcharge to the days. Credit rather than a payment was req Issues None Recommendations	ut 🗹 Reporting 🗹 e next bill as requested by uested.	I Compliance I the customer within 3
Process       Image: Control of the contr	ut ☑ Reporting ☑ e next bill as requested by	Compliance
Process       Image: Control of the contr	ut 2 Reporting 2 e next bill as requested by uested. Adequacy of controls	I Compliance I the customer within 3
Process       Image: Contract of the c	ut     Image: Constraint of the second	I       Compliance       I         the customer within 3       I         Compliance rating       I
Process       Image: Contract of the c	ut     Image: Constraint of the second	I       Compliance       I         the customer within 3       I         I       Compliance rating
Process       Image: Contract of the c	ut     Image: Reporting     Image: Reporting       e next bill as requested by uested.       uested.         Adequacy of controls rating       A	Compliance      Compliance      Compliance      Compliance rating
Process       Image: Constraint of an over the second	ut       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Report reported by uested         Image: Report reported bill       Adequacy of controls       Image: Report reported bill       Image: Reported bill	Compliance I Compliance within 3 Compliance rating 1 ved within 20 business
Process       Image: Constraint of an over days         The Licensee credited the overcharge to the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days of a retailer making the request, a retail amount overcharged to a customer's account in the days of a customer's account in the days of a customer's account is account in the days of a customeret is account in the days of a customer is account is account in t	ut       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Report reported by uested         Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report repo	Compliance I Compliance within 3 Compliance rating 1 ved within 20 business
Process       Image: Constraint of an over days         The Licensee credited the overcharge to the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days. Credit rather than a payment was required in the days of a retailer making the request, a retail amount overcharged to a customer's account in the days of a customer's account in the days of a customer's account is account in the days of a customeret is account in the days of a customer is account is account in t	ut       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Report reported by uested         Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report repo	Compliance I Compliance within 3 Compliance rating 1 ved within 20 business
Process       Image: Constraint of an over charge         The Licensee credited the overcharge to the days. Credit rather than a payment was request. Credit rather than a payment of an over charged to a customer's accourt Observations	ut       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Reporting       Image: Report reported by uested         Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report report reported by uested.       Image: Report reported by uested.       Image: Report reported by uested.         Image: Report repo	<ol> <li>Compliance</li> <li>the customer within 3</li> <li>Compliance rating</li> <li>1</li> <li>ved within 20 business</li> </ol>
Process       Image: Constraint of an over charge to the overcharge to the odays. Credit rather than a payment was required as a payment of a payment of an over the payment of an over the payment of a payment of payment of a payment of a payment of payment of a payment of payment of payment of a payment of payment payment payment payment payment payment payment payment payment	ut       Image: Reporting       Image: Report Reporting       Image: Report Repor	Compliance The customer within 3 Compliance rating 1 ved within 20 business ndeavours to credit the
Process       Image: Construction of the const	ut       Image: Reporting       Image: Reporting         e next bill as requested by uested.         uested.         Adequacy of controls rating         A         ercharged bill are not received bill are not received.         ercharged bill are not received bill are not received.         Analyst. Documents: Reviewed	Compliance The customer within 3 The customer within 3 Compliance rating 1 Ved within 20 business Indeavours to credit the Every advice
Process       Image: Construction of the const	ut       Image: Reporting       Image: Reporting         e next bill as requested by uested.         uested.         Adequacy of controls rating         A         ercharged bill are not received bill are not received.         ercharged bill are not received bill are not received.         Analyst. Documents: Reviewed bill         Mailyst. Documents: Reviewed bill	Compliance The customer within 3 The customer within 3 Compliance rating 1 Ved within 20 business Indeavours to credit the Even advice
Process       ☑       Outcome       ☑       Output         The Licensee credited the overcharge to the days. Credit rather than a payment was req         Issues       None         Recommendations       Image: Second	ut       Image: Reporting       Image: Reporting         e next bill as requested by uested.         uested.         Adequacy of controls rating         A         ercharged bill are not received bill are not received.         ercharged bill are not received bill are not received.         Analyst. Documents: Reviewed bill         Mailyst. Documents: Reviewed bill	Compliance The customer within 3 The customer within 3 Compliance rating 1 Ved within 20 business Indeavours to credit the Every advice
Process       Image: Construction of the const	ut       Image: Reporting       Image: Reporting         e next bill as requested by uested.         uested.         Adequacy of controls rating         A         ercharged bill are not received bill are not received.         ercharged bill are not received bill are not received.         Analyst. Documents: Reviewed bill         Mailyst. Documents: Reviewed bill	Compliance The customer within 3 The customer within 3 Compliance rating 1 Ved within 20 business Indeavours to credit the Every advice
Process       Image: Outcome       Image: Output The Licensee credited the overcharge to the days. Credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment of an overcomplexity of a retailer making the request, a retail amount overcharged to a customer's accour Observations         Documents       Image: Output Compliance         Documents       Image: Output Compliance         Process       Image: Outcome         Process       Image: Outcome         None       Image: Outcome         None       Image: Outcome         None       Image: Outcome         None       Image: Outcome         Image: Outcome	ut       Image: Reporting       Image: Reporting         e next bill as requested by uested.         uested.         Adequacy of controls rating         A         ercharged bill are not received bill are not received.         ercharged bill are not received bill are not received.         Analyst. Documents: Reviewed bill         Mailyst. Documents: Reviewed bill	Compliance The customer within 3 The customer within 3 Compliance rating 1 Ved within 20 business Indeavours to credit the Every advice
Process       Image: Outcome       Image: Output The Licensee credited the overcharge to the days. Credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment was requered as a credit rather than a payment of an overced as a credit rather than a payment of an overced as of a retailer making the request, a retail amount overcharged to a customer's accourt output overcharged to a customer's accourt of the compliance         Documents       Image: Outcome         Image: Outcome       Image: Outcom	ut       Image: Reporting       Image: Reporting         e next bill as requested by uested.         uested.         Adequacy of controls rating         A         ercharged bill are not received bill are not received.         ercharged bill are not received bill are not received.         Analyst. Documents: Reviewed bill         Mailyst. Documents: Reviewed bill	Compliance The customer within 3 The customer within 3 Compliance rating 1 ved within 20 business ndeavours to credit the ew advice

Item 180	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating Not Performed	Not Rated	
Licence: Retail			
Code of Conduct clause 4.18(6) Where the amount overcharged is less than a matter as outlined in subclause 4.18(6).	\$100, a retailer may proce	eed to deal with the	
Observations			
Documents  Compliance			
Evidence: Interviewed Director, Business A			
Process The amount was greater than \$100.	t 🗆 Reporting 🗆	Compliance	
Issues			
None			
Recommendations			
None	THAN		
Item 181	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating		
License: Dete:	Not performed	Not Rated	
Licence: Retail Code of Conduct clause 4.18(7)			
A retailer may, by giving the customer writter debt owed to the retailer, provided that the cu experiencing payment difficulties or financial amount of credit, the retailer must deal with t clauses 4.18(2) or 4.18(6), as applicable.	ustomer is not a residentian hardship. If, after the set	al customer off, there remains an	
Observations			
Documents  Compliance			
Evidence: Interviewed Director, Business A			
Process  Outcome  Output There have been no act offe	t 🗆 Reporting 🗆	Compliance	
There have been no set offs.			
None Recommendations			
None			
None			
Item 182	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating		
Licence: Retail	Not performed	Not Rated	
Code of Conduct clause 4.19(1)			
If a retailer proposes to recover an amount o			
act or omission of a customer, the retailer mu Observations	ust comply with subclause	9 4.19(1).	
Documents  Compliance			
Evidence: Interviewed Director, Business A	nalyst. Documents: NA		
Process 🛛 Outcome 🖾 Output		Compliance 🛛	
There have been no adjustments.			
Issues			
None			



### Recommendations

None	

Item 183	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 4.19(2)	r aloues $4.2(2)(d)$ and the	amount of the
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		
Observations	( )	
Documents		
Evidence: Interviewed Director, Business A	nalyst Documents: NA	
Process		Compliance 🛛
There have been no adjustments.		
Issues	1 24 .	
None		
Recommendations		
None		
Item 184	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
<b></b>	Not performed	Not Rated
Licence: Retail		
Code of Conduct clause 4.19(3)		
If a retailer receives instructions under subcla		
accordance with the customer's instructions v	vithin 12 business days of	receiving the
instructions. Observations		
Documents   Compliance		
Evidence: Interviewed Director, Business A		
Process  Outcome  Output These have have a climate and the set of	t 🗆 Reporting 🗆	Compliance
There have been no adjustments.		
Issues		
None		
Recommendations		
None		
Item 185	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Compliance rating
	Not performed	Not Rated
Licence: Retail		·
Code of Conduct clause 4.19(4)		
If a retailer does not receive instructions und	er subclause 4.19(2), with	in 5 business days of
making the request, the retailer must use rea		
adjustment to the customer's account.		
Observations		
Documents		
Documents         Image: Compliance         Image: Compliance           Evidence:         Interviewed Director, Business A	nalyst. Documents: NA	
	nalyst. Documents: NA	
	nalyst. Documents: NA	



Process 🛛 Outcome 🖾 Output	Reporting	Compliance 🛛					
There have been no adjustments.							
Issues							
None							
Recommendations							
None							
None							
Item 186	Adequacy of controls	Compliance rating					
Electricity Industry Act Code of Conduct	rating						
<b></b>	Not performed	Not Rated					
Licence: Retail							
Code of Conduct clause 4.19(7)							
A retailer may, after notifying the customer in	writing, use an amount o	f an adjustment to set					
off that customer's debt owed to the retailer,							
customer in payment difficulties or financial h							
amount of credit, the retailer must deal with th							
or, if the amount is less than \$100, subclause							
Observations	- (-)						
DocumentsImage: ComplianceImage: ComplianceEvidence:Interviewed Director, Business A	polyet Decuments: NA						
	Reporting	Compliance					
There have been no adjustments.							
Issues							
None							
Recommendations							
None							
Payment							
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 unless otherwise agreed with a customer.	usiness days from the disp	patch date of that bill				
Observations						
Documents 🗹 Compliance 🗹						
Evidence: Interviewed Director, Business	Analyst. Documents: Sam	ple Bills				
Process 🗹 Outcome 🗹 Output	ut 🗹 Reporting 🗹	Compliance				
Bills show due date of 14 days from the dis	Bills show due date of 14 days from the dispatch date as agreed by the customer.					
Issues						
None						
Recommendations						
None						
Item 188	Adequacy of controls	Compliance rating				
Electricity Industry Act Code of Conduct	rating					

Electricity Industry Act Code of Conduct	rating 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** 

e beer rallen									
Documents	$\mathbf{\nabla}$	Compliance		$\square$					
Evidence: In	itervie	ewed Director	, Busi	ness Ar	nalyst.	Documents: Sa	ampl	e Bills	
Process	$\mathbf{\nabla}$	Outcome	N	Output	V	Reporting	Ø	Compliance	A
								here are no reside	ential
customers. Payment by BPay is not offered in accordance with 1.10 of the Code.									
Issues									
None									
Recommendations									

Item 189	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating			
, ,	Not Performed	Not Rated		
Licence: Retail				
Code of Conduct clause 5.3				
Prior to commencing a direct debit facility, a r	etailer must obtain a cust	omer's verifiable		
consent and agree with the customer the date	e of commencement of th	e facility and the		
frequency of the direct debits.				
Observations				
Documents   Compliance				
Evidence: Interviewed Director, Business Analyst. Documents: sample verifiable consent				
and agreement to conditions.				
Process   Outcome  Output	: 🛛 Reporting 🛛	Compliance		
The sample procedures showed compliance	with the requirements. Th	ere are no customers		
with direct debit.	·			
Issues				
None				
Recommendations				
None				

Item 190	Adequacy of controls	Compliance rating		
Electricity Industry Act Code of Conduct	rating			
	Not Performed	Not Rated		
Licence: Retail				
Code of Conduct clause 5.4				
Upon request, a retailer must accept payment	in advance from a custom	ner. This will not require		
a retailer to credit any interest to the amounts	paid in advance. Subject t	o clause 6.9, and unless		
otherwise agreed with a customer, the minimu	im amount for an advance	payment that a retailer		
will accept is \$20.				
Observations				
Documents				
Evidence: Interviewed Director, Business A	nalyst. Documents: Proce	edures Sample accounts		
Process   Outcome  Output	t 🗆 Reporting 🗆	Compliance		
Payment in advance is permitted but no customers pay in advance.				
Issues				
None				
Recommendations				
None				



Item 197 Electricity Industry Act Code of	Adequacy of controls rating		Compliance rating
Conduct			1
Licence: Retail			
Code of Conduct clause 5.7(1) A retailer must not require a customer, where electricity consumed at the customer's subclause 5.7(1).			
Observations			
Documents 🗹 Compliance 🕅	_		
Evidence:         Interviewed Director, Busines           Process         Image: Outcome         Image: Outcome	ss Analyst. Documents: samp tput 🛛 Reporting 🗹		nce 🕅
Customers do not pay for electricity cons			
of vacating.		<b>,</b>	
Issues			
None			
Recommendations			
None	1 24.		
Item 198 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Complian Not Rate	-
Licence: Retail	Not Performed		1
Code of Conduct clause 5.7(2)			
If a customer reasonably demonstrates to otherwise required to vacate a supply add for electricity consumed at that supply ad the retailer.	dress, a retailer must not requ	uire the cus	tomer to pay
Observations			
Documents  Compliance	_		
Evidence:         Interviewed Director, Busines           Process         Image: Outcome         Image: Outcome			nce
Process  Outcome  Out			
Issues	quirea le vacale à cappij ad		
None			
Recommendations			
None			
Item 199	Adequacy of controls	Compliand	ce rating
Electricity Industry Act Code of	rating	•••••	Jo i stillig
Conduct	A	1	
Licence: Retail			
Code of Conduct clause 5.7(4) Notwithstanding sub-clauses 5.7(1) and ( pay for electricity consumed at the supply 5.7(4).			
Observations			
Documents 🗹 Compliance 🗹	1		
Evidence: Interviewed Director, Busines			
	tput 🛛 Reporting 🖾	0.011	
Previous customers did not pay for electr circumstances specified.	icity consumed at the supply	address in	the
· ···· ··· ···			



## **Issues** None

#### Recommendations

None

Item 201	Adequacy of controls	Compliance rating				
Electricity Industry Act Code of	rating					
Conduct	A	1				
Licence: Retail						
Code of Conduct clause 5.8(2)						
A retailer must not recover, or attempt to						
address other than the customer who the		into a contract for the				
supply of electricity to that supply address	6.					
Observations	C 9 1					
Documents 🗹 Compliance 🗹						
Evidence: Interviewed Director, Busines	s Analyst. Documents: samp	ble accounts				
Process 🛛 Outcome 🖾 Output 🖾 Reporting 🖾 Compliance 🖾						
Only the customer as the contract holder of the supply address has paid for debts. Debt						
collectors have not been used.						
Issues						
None	10					
Recommendations						
None						
Item 201A	Adequacy of controls	Compliance rating				
Electricity Industry Act Code of Conduct	rating Not Performed	Not Rated				
Licence: Retail						
Oada af Oandust slaves 5.0						
Code of Conduct clause 5.9	ht to an ath an anatom of it as					
A retailer may transfer one customer's debt to another customer if requested by the customer						
owing the debt and provided that the retailer obtains the other customer's verifiable consent to the transfer.						
Observations						
Observations						
Documents   Compliance						
Evidence: Interviewed Director, Business Analyst. Documents: sample accounts						
	tput 🛛 Reporting 🗆	Compliance				
There has been no request.						
Issues						
None						
Recommendations						

## None

# **Payment Difficulties and Financial Hardship**

Item 228 Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating				
Electricity mutatify Act Code of Conduct	Not Performed	Not Rated				
Licence: Retail						
Code of Conduct clause 6.11						
A retailer must consider any reasonable request for alternative payment arrangements from a						
business customer who is experiencing payment difficulties.						



### Observations

Observations	5								
Documents		Compliance							
Evidence: In	tervi	ewed Director,	, Bus	iness Ar	nalyst. I	Documents: N	A		
Process		Outcome		Output		Reporting		Compliance	
There has be	en no	o request.							
Issues									
None									 
Recommend	atior	าร							
None									

#### Disconnection

Item 229	Adequacy of controls	Compliance rating					
Electricity Industry Act Code of Conduct	rating	Compliance rating					
Electricity industry Act Code of Conduct	Not Performed	Not Rated					
Licence: Retail							
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 bill,					
a retailer must give the customer a reminder							
in subclause 7.1(1)(a), not less than 15 business days from the dispatch date of the bill. The							
retailer must use its best endeavours to cont							
disconnection and give the customer a disco	nnection warning, in the	manner and timeframes					
specified in subclause 7.1(1)(c).							
Observations							
Documents   Compliance							
Evidence: Interviewed Director, Business A	nalyst. Documents: NA						
Process 🛛 Outcome 🖾 Output	t 🗆 Reporting 🗆	Compliance 🛛					
There have been no disconnections.							
Issues							
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 of a customer's supply address for failure to pay							
a bill in the circumstances specified in subclause 7.2(1).							
Observations							
Documents   Compliance							
Evidence: Interviewed Director, Business A	nalyst. Documents: NA						
Process 🛛 Outcome 🖾 Output	t 🛛 Reporting 🗆	Compliance 🛛					
There have been no disconnections.							

Issues

None

### Recommendations

Item 232	Adequacy of controls	Compliance rating				
Electricity Industry Act Code of Conduct	rating	Compliance rating				
	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.				
Observations						
Documents  Compliance						
Evidence: Interviewed Director, Business A	nalyst. Documents: NA					
Process   Outcome  Output	t 🔲 Reporting 🛛	Compliance				
There have been no disconnections.						
Issues						
None						
Recommendations	19 Mar 1					
None	140.00					
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		11992				
Subject to subclause 7.6(3), a retailer or distr						
in sub-clauses 7.6(1) - (2) when arranging for	r disconnection or disconr	ecting a customer's				
supply address.						
Observations						
Documents						
Evidence: Interviewed Director, Business A	nalyst. Documents: NA					
Process  Outcome  Output  Reporting  Compliance						
There have been no disconnections.						
Issues						
	10					
Issues						
Issues None						

#### **Reconnection**

Item 242		Adequacy of controls	Compliance rating
Electricity Industry	Act Code of Conduct	rating	
		Not Performed	Not Rated
Licence: Re	etail		
Code of Conduct c	lause 8.1(1)		
A retailer must arrai	nge to reconnect a custon	ner's supply address if the	customer remedies their
		d pays the retailer's reason	
		nent plan for the retailer's r	
Observations	·	·	-
Documents 🛛	Compliance		
Evidence: Intervie	ewed Director, Business A	Analyst. Documents: NA	
Process 🛛	Outcome 🛛 Outpu	t 🗆 Reporting 🗆	Compliance
There were no disc	connections to require re-	connection.	
Issues			
None			



#### Recommendations

None	

Item 243	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	, ,
Electricity industry Act Code of Conduct	Not Performed	Not Rated
	Not Fellollileu	NUL RALEU
Licence: Retail		
Code of Conduct clause 8.1(2)		
A retailer must forward the request for reconn	ection to the relevant dist	ributor within the
timeframes specified in subclause 8.1(2).		
Observations		
Documents   Compliance		
Evidence: Interviewed Director, Business A	nalyst. Documents: NA	
Process 🛛 Outcome 🖾 Output	□ Reporting □	Compliance 🛛
There were no disconnections to require re-c	onnection.	
Issues	1 up a	
None		
Recommendations		
None		

## **Information & Communication**

Item 272				Adequ	acy of controls	S	Compliance rat	ing
Electricity Ind	ustry	Act Code of Co	onduct	rating				
,				А			1	
Licence:	R	etail						
Code of Conc	luct c	ause 10.1(1)						
A retailer mus	t give	e notice of any v	variations in	its tari	ffs to each of it	ts cu	stomers affected	d by
the variation r	io lat	er than the next	t bill in the c	ustome	er's billing cycle	ə.		
Observations	5							
Documents	$\checkmark$	Compliance	$\square$					
Evidence: In	tervi	ewed Director, I	Business Ar	nalyst.	Documents: Sa	amp	le bills	
Process	$\checkmark$	Outcome	Output	V	Reporting	Ŋ	Compliance	V
The bills show	v futu	re CPI tariff inc	reases.	5				
Issues								
None			HAN					
Recommend	atior	IS						
None,								

Item 273	Adequacy of controls Compliance rating
Electricity Industry Act Code of Conduct	rating
	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	
Documents  Compliance	
Evidence: Interviewed Director, Business A	Analyst. Documents: NA
Process 🛛 Outcome 🖾 Output	t 🗆 Reporting 🗖 Compliance 🗆
There have been no requests.	



## **Issues** None

#### Recommendations

Electricity Industry Act Code of Conduct	Adequacy of controls	Compliance rating
	rating Not Performed	Not Rated
Licence: Retail	Not Performed	NOL RAIEU
Code of Conduct clause 10.1(3) A retailer must give a customer the informat	ion requested on tariffs wi	thin 8 husiness days of
the date of receipt and, if requested, provide		
Observations		
7		
Documents  Compliance		
Evidence:         Interviewed Director, Business /           Process         □         Outcome         □         Output		Compliance
There have been no requests.		
Issues	1.	
None Recommendations		
Recommendations		
None		
Item 280	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
, ,	A	1
Licence: Retail		
under any other legislation in Western Austr eligibility criteria for the payment. Observations	alia, including the amount	of the payment and the
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business /	Analyst. Documents: notic	e of service standard
<b>Evidence:</b> Interviewed Director, Business / payments	Analyst. Documents: notic	e of service standard
payments Process ☑ Outcome ☑ Outpu There have been no disconnections nor rec	ut II Reporting II	Compliance
payments Process I I Outcome I Outpu There have been no disconnections nor rec given customers about service standard pay	ut II Reporting II	Compliance
payments Process ☑ Outcome ☑ Outpu There have been no disconnections nor rec	ut II Reporting II	Compliance
payments         Process       Image: Control of the second se	ut II Reporting II	Compliance
payments Process ☑ Outcome ☑ Outpu There have been no disconnections nor rec given customers about service standard pay Issues	ut II Reporting II	Compliance
payments         Process       Image: Control of the second se	ut II Reporting II	Compliance
payments         Process       Image: Control of Contro	ut II Reporting II	Compliance
payments         Process       Image: Control of the second se	ut 🛛 Reporting 🖾 onnections nor complaints yments annually.	Compliance and there is a notice
payments         Process       Image: Outcome       Image: Output         There have been no disconnections nor recigiven customers about service standard pay         Issues         None.         Recommendations         None.         Item 281	ut 2 Reporting 2 onnections nor complaints yments annually.	Compliance
payments         Process       Image: Outcome       Image: Output         There have been no disconnections nor recigiven customers about service standard pay         Issues         None.         Recommendations         None.         Item 281	ut 🛛 Reporting 🖾 onnections nor complaints yments annually.	Compliance 2
payments         Process       Image: Control of the second se	ut 2 Reporting 2 onnections nor complaints yments annually.	Compliance
payments         Process       Image: Outcome       Image: Output         There have been no disconnections nor recigiven customers about service standard pay         Issues         None.         Recommendations         None.         Item 281         Electricity Industry Act Code of Conduct         Licence:       Retail	ut 2 Reporting 2 onnections nor complaints yments annually.	Compliance
payments         Process       Image: Outcome       Image: Output         There have been no disconnections nor recigiven customers about service standard pay         Issues         None.         Recommendations         None.         Item 281         Electricity Industry Act Code of Conduct         Licence:       Retail         Code of Conduct clause 10.4	ut       Image: Constraint of the second straints o	Compliance and there is a notice
payments         Process       Image: Outcome       Image: Output         There have been no disconnections nor recigiven customers about service standard pay         Issues         None.         Recommendations         None.         Item 281         Electricity Industry Act Code of Conduct         Licence:       Retail	ut       Ø       Reporting       Ø         onnections nor complaints vments annually.         Adequacy of controls rating         Not Performed	<ul> <li>Compliance</li> <li>and there is a notice</li> <li>and there is a notice</li> <li>Compliance rating</li> <li>Not Rated</li> </ul>



# Obse

Observation	S								
Documents		Compliance							
Evidence: In	ntervie	ewed Director,	Busi	ness An	alyst. I	Documents: N	IA		
Process		Outcome		Output		Reporting		Compliance	
There have b	een r	no requests.							
Issues									
None									
Recommend	ation	IS							
None									

Item 282	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	
, ,	Not Performed	Not Rated
Licence: Retail		
Code of Conduct clause 10.5	tun.	
If asked by a customer for information relating	g to the distribution of elec	ctricity, a retailer must
give the information to the customer or refer	the customer to the releva	ant distributor for a
response.		
Observations		
Documents  Compliance		
Evidence: Interviewed Director, Business A	nalyst. Documents: NA	
Process   Outcome  Output	t 🛛 Reporting 🛛	Compliance
There have been no requests.		
Issues		
None		
Recommendations		
None		

Item 290	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating	Compliance rating
Electricity industry Act Code of Conduct	A	1
Licence: Retail		
Code of Conduct clause 10.9		
To the extent practicable, a retailer and di	stributor must ensure that an	v written information that
must be given to a customer by the retaile		
the Code of Conduct is expressed in clear		
easy to understand.	, entiple, concise tanguage a	
Observations		
Observations		
Documents 🗹 Compliance 🗜	2	
Evidence: Interviewed Director, Busines	ss Analyst. Documents: Stand	dard form contract,
non-standard contract		
Process 🗹 Outcome 🗹 Ou	Itput 🗹 Reporting 🗹	Compliance
The sample contract documents comply.		
Issues		
None		
Recommendations		
None		



Item 291	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not Performed	Not Rated
Licence: Retail	Not r choimea	Normalou
Code of Conduct clause 10.10(1)		
On request, a retailer and a distributor must	inform a customer how to	obtain a copy of the
Code of Conduct.		
Observations		
Documents  Compliance		
<b>Evidence:</b> Interviewed Director, Business A	nalyst. Documents: NA	
Process   Outcome  Output  Output		Compliance
There have been no requests. The Code is a	at the office.	
Issues		
None	C 22 1	
Recommendations	Contraction of the second s	
None	- Contraction	
Item 292	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating B	2
Licence: Retail		2
Code of Conduct clause 10.10(2)	is capies of the Cade of C	anduat available on
A retailer and distributor must make electron their websites, at no charge.	ic copies of the Code of C	onduct available on
Observations		
Documents 🗵 Compliance 🗵		
Evidence:Interviewed Director, Business AProcessImage: Control of the second	· · · · · · · · · · · · · · · · · · ·	Compliance 🗵
The Code was not on the web site but is now		
Issues		
Codo pot op woh oito		
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		
Code of Conduct clause 10.12(2)		
On request, a retailer must advise a custome		erent types of meters or
refer the customer to the relevant distributor	for a response.	
Observations		
Documents   Compliance		
Evidence: Interviewed Director, Business A	nalyst. Documents: NA	
Process 🛛 Outcome 🖾 Output	t 🛛 Reporting 🗆	Compliance
There have been no requests.		
Issues		
None		
Recommendations		
None		



# **Complaints and Dispute Resolution**

Electricity Industry Act Code of Conduct	Adequacy of controls rating	Compliance rating
Licence: Retail	A	1
Code of Conduct clause 12.1(1) A retailer and distributor must develop, main handling complaints and resolving disputes. Observations	tain and implement an inte	ernal process for
	1	
Documents         Image: Compliance         Image: Compliance           Evidence:         Interviewed Director, Business Amanual	Analyst. Documents: Comp	plaints process and
Process         Image: Constraint of the sector of the		Compliance ☑ proved the process.
None Recommendations	1 2 2 2 2	200
None		
Item 299 Electricity Industry Act Code of Conduct	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business A manual         Process       Image: Compliance       Image: Compliance         Process       Image: Compliance       Image: Compliance         The complaints process complies and is avait         Issues	t 🗹 Reporting 🗹	Daints process and Compliance ☑
Evidence:       Interviewed Director, Business A         manual       Process       Image: Complex	t 🗹 Reporting 🗹	
Evidence:       Interviewed Director, Business A         manual       Process       Image: Complex	t 🗹 Reporting 🗹	
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Output         The complaints process complies and is available       Isaues       None         Recommendations       Image: Output       Image: Output	t 🗹 Reporting 🗹	
Evidence:       Interviewed Director, Business A         manual       Process       Image: Comparison of the complaints process complies and is available         The complaints process complies and is available       Isaues         None       Image: Comparison of the complaints process complies and is available	t 🗹 Reporting 🗹	
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Output         The complaints process complies and is available       Isaues       None         Recommendations       Image: Output       Image: Output	t ☑ Reporting ☑ ilable at no cost.	Compliance
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Output         The complaints process complies and is available       Isaues       Image: Output         None       Image: Output       Image: Output       Image: Output         None       Image: Output       Image: Output       Image: Output         Item 300       Image: Output       Image: Output       Image: Output	t ☑ Reporting ☑ ilable at no cost.	Compliance 🗹
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Output         The complaints process complies and is available       Isaues       Image: Output         None       Image: Output       Image: Output       Image: Output         None       Image: Output       Image: Output       Image: Output         Item 300       Electricity Industry Act Code of Conduct       Image: Output	Image: Not Performed	Compliance I
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Output         The complaints process complies and is available       Isaves       Isaves         None       Image: Process output       Image: Process output       Image: Process output         Recommendations       None       Image: Process output       Image: Process output       Image: Process output         Item 300       Electricity Industry Act Code of Conduct       Image: Process output       Image: Procese output       Image: Procese output	Image: Market with and the second	Compliance I
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         The complaints process complies and is available       Isaves       Isaves         None       Image: Recommendations       Image: Recommendations         None       Item 300       Image: Retail         Code of Conduct clause 12.1(3)       A retailer or a distributor must advise the cus         Observations       Image: Occuments       Image: Occuments         Documents       Image: Compliance       Image: Occuments         Evidence:       Interviewed Director, Business A	Image: Market with and the second	Compliance I
Evidence:       Interviewed Director, Business A         manual       Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Output         The complaints process complies and is available       Isave       Isave         Issues       Image: None       Image: Output       Image: Output         Recommendations       Image: Output       Image: Output       Image: Output         Item 300       Electricity Industry Act Code of Conduct       Image: Output       Image: Output         Licence:       Retail       Code of Conduct clause 12.1(3)       A retailer or a distributor must advise the cus         Observations       Image: Output       Image: Output       Image: Output         Documents       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output         There have been no complaints.       Image: Output       Image: Output	Image: Market with and the second	Compliance I



Item 301 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating Not Rated				
Licence: Retail						
Code of Conduct clause 12.1(4) On receipt of a written complaint by a custom complaint within 10 business days and respon Observations						
Documents       □       Compliance       □         Evidence:       Interviewed Director, Business A         Process       □       Outcome       □       Output         There have been no complaints.         Issues		Compliance				
None						
Recommendations						
None						
Item 302       Adequacy of controls       Compliance rati         Electricity Industry Act Code of Conduct       rating       1						
Licence: Retail						
Code of Conduct clause 12.2         A retailer must comply with any guideline dev         queries from complaints.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business A						
manual Process 🛛 Outcome 🗹 Output	t ☑ Reporting ☑	Compliance 🗹				
The complaints process complies with ERA guidelines.						
Issues						
None						
Recommendations						
None						
Item 303 Electricity Industry Act Code of Conduct	Adequacy of controls rating Not Performed	Compliance rating				
Licence: Retail						
Code of Conduct clause 12.3 On request and at no charge, a retailer, district customer information that will assist the custoprocesses. Observations						
Documents						
<b>Evidence:</b> Interviewed: Director, Business	Analyst. Documents: NA					
Process  ☐ Outcome  ☐ Output There have been no requests nor complaints	t 🛛 Reporting 🗆	Compliance 🛛				



## Issues None

#### Recommendations

1		O and lieu a a nation	
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 man	rketing agent receives a co	mplaint that does not	
relate to its functions, it must advise the cus			
be appropriate to deal with the complaint (if			
Observations			
Observations			
Documents   Compliance			
Evidence: Interviewed Director, Business	Analyst. Documents: NA		
Process   Outcome  Output  Output  D  Output  D  Output  D  Output  D  Output  D  Output  D  D  D  D  D  D  D  D  D  D  D  D  D		Compliance	
There have been no complaints.			
Issues			
None			
Recommendations			
None	> KA		
exection			
eporting			
Item 305	Adequacy of controls	Compliance rating	
Electricity Industry Act Code of Conduct	rating		

Electricity industry Act Code of Conduct	A 1
Licence: Retail	
Code of Conduct clause 13.1	
A retailer and a distributor must prepare a re	port in respect of each reporting year setting out
the information specified by the ERA.	
Observations	
Documents 🗹 Compliance 🗹	
Evidence: Interviewed Director, Business A	nalyst. Documents: compliance reports,
performance report	
Process 🗹 Outcome 🗹 Outpu	t 🗹 Reporting 🗹 Compliance 🗹
The reports were prepared in accordance wi	th the requirements.
Issues	
None	
Recommendations	
None.	

Item 306 Electricity Industry Act Code of Conduct	Adequacy of controls rating B	Compliance rating			
Licence: Retail					
Code of Conduct clause 13.2 The report specified in clause 13.1 must be provided to the ERA by the date, and in the manner and form, specified by the ERA.					
Observations					



Documents	×	Compliance	×		
Evidence: In	tervi	ewed Director	, Business A	nalyst. Documents: perf	ormance report
Process	×	Outcome	🗵 Outpu	t 🗵 Reporting 🛙	🗷 Compliance 🗵
The reports w	ere p	prepared in ac	cordance wi	th the requirements. The	e compliance reports for
2014/15, 201	5/16	and the perfor	mance repo	rt were on time. The 201	6/17 compliance report
was late.					
Issues					
Report on tim	е				
Recommend	atior	าร			
Improve contr	ols t	o ensure repo	ting on time		
Item 307				Adequacy of controls	Compliance rating
Electricity Ind	ustry	Act Code of C	Conduct	rating	
				A	1
Licence:	R	etail			
Code of Cond					
				published by the date sp	pecified by the
ERA. In acco	ordan	ice with clause	e 13.3(2), a r	eport is published if:	
<ul> <li>copies are</li> </ul>	avai	ilable to the pr	blic without	cost, in places where th	e retailer or
		sacts business			
		d on the retaile	er or distribu	tor's website.	
Observations					
Documents	$\checkmark$	Compliance	$\square$		
Evidence: Interviewed Director, Business Analyst. Documents: performance report					
Process	$\checkmark$	Outcome	☑ Output		🗹 Compliance 🛛 🗹
			ordance with	the requirements. It is a	available at the office and
on the website by the due date.					

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 wi	th the timeframes specifie	d in Part 8.	
Observations			
Documents   Compliance			
Evidence: Interviewed Director, Business A	nalyst. Documents: NA		
Process   Outcome  Output	E 🗆 Reporting 🗆	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		Horridou
Code of Conduct clause 14.2(1)		
Subject to clause 14.6, a retailer must pay th		
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.	er for failure to pay a bill ir	n contravention of
Observations		
Documents		
Evidence: Interviewed Director, Business A	nalyst. Documents: NA	
Process 🛛 Outcome 🖾 Output	t 🛛 Reporting 🗆	Compliance
There have been no disconnections.		
Issues		
None	A MARKE	
Recommendations		
None	1.1.1	
Item 312	Adequacy of controls	Compliance rating
Electricity Industry Act Code of Conduct	rating Not Performed	Not Rated
Licence: Retail	Not Penoimed	
Code of Conduct clause 14.3(1)		
Subject to clause 14.6, a retailer must pay the	customer \$20 if the retail	er has failed to
acknowledge or respond to a complaint within		
Observations		
Documents  Compliance		
Evidence: Interviewed Director, Business A	nalyst. Documents: NA	
Process 🛛 Outcome 🖾 Output	t 🗆 Reporting 🗆	Compliance
There have been no complaints		
Issues		
None		
Recommendations		
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 compens		
standard under clauses 14.1, 14.2 or 14.3 mu 14.7(1).	ist do so in the manner sp	becified in subclause
Observations		
Documents         Image: Compliance         Image: Compliance           Evidence:         Interviewed Director, Business A	nalvst Documents: NA	
Process		Compliance
There have been no service standard breach	· · · · ·	
Issues	·····	
None		



## Recommendations





# 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 A user who is aware of bi-directional flows at subject to a bi-directional electricity flows or a circumstances in a metering point which will the network operator within 2 business days. Observations	a metering point which w any changes in a custome result in bi-directional elec	er's or user's	
Documents 🗹 Compliance 🗹			
<b>Evidence:</b> Interviewed Director, Business A Some customers have bi directional meters	nalyst, Documents: The L	icensee has no meters.	
Process 🗹 Outcome 🗹 Output			
For all customers installing solar systems AE bidirectional enabled. The retailers are notified Issues			
None			
Recommendations			
None			
Item 339 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating	
Licence: Retail			
Observations       Compliance       Image: Compliance         Documents       Image: Compliance       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business A         Process       Image: Compliance       Image: Compliance         Process       Image: Compliance       Image: Compliance       Image: Compliance         The Licensee is not aware of any outages.       Image: Compliance       Image: Compliance       Image: Compliance         Outages.       Image: Compliance       Image: Compliance       Image: Compliance       Image: Compliance	Reporting	Compliance 🛛	
Issues			
None			
Recommendations			
None			
Item 364 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating	
Licence: Retail		Hornatou	
Electricity Industry Metering Code clause 3.2         A person must not install a metering installation of work authorised by its registration.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business A	ion on a network unless th provider for the network o	operator doing the type	
IcGill Engineering Services Pty Ltd		Page 89	



The retailer has not installation are request         The retailer has not installation are request         through Western Power who then engages its staff to conduct any necessary works. The retailer's metering agent is Western Power's ot its unnecessary for the retailer to conduct an physical metering agent is Western Power's ot its unnecessary for the retailer to conduct an physical metering agent is Western Power's ot its unnecessary for the retailer to conduct an physical metering agent is Western Power's ot its unnecessary for the retailer to conduct an physical metering works (installations are request)         None       Recommendations         None       Not Performed         Item 371       Adequacy of controls rating Not Performed         Licence:       Retail         Electricity. Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Outcome       Compliance         Process       Outcome       Compliance         None       Recommendations       None         None       Recommendations       Not Rated         Iterners:       Retail       Compliance rating rating A         None       Recommendations       None         N	Process D Outcome D Output	Reporting	Compliance 🛛
through Western Power who then engages its staff to conduct any necessary works. The retailer's metering agent is Western Power so it is unnecessary for the retailer to conduct any physical metering works (installation, upgrades, etc).         Issues       None         Recommendations       Compliance rating installation.         None       Recommendations         Item 371       Adequacy of controls rating Not Performed         Licence:       Retail         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Compliance       Determine         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process       Output         None       Recommendations       None         Item 372       Adequacy of controls rating A       Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A dequacy of controls rating A       Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A dequacy of controls rating A       Not Rated         Licence:       Retail       Elec			•
retailer's metering agent is Westem Power so it is unnecessary for the retailer to conduct at physical metering works (installation, upgrades, etc).         Issues         None         Recommendations         None         Item 371       Adequacy of controls rating Not Reformed         Licence:       Retail         Electricity Industry Metering Code clause 4.4(1)       Compliance rating installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         Doutcome       Output       Reporting       Compliance         Issues       Outcome       Output       Compliance       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         None       None       Compliance       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         None       Compliance       Compliance       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         None       Compliance       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         Documents       Compliance       <			
physical metering works (installation, upgrades, etc).         Issues         None         Recommendations         None         Item 371       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Compliance       Compliance         Process       Outpout       Reporting       Compliance         Inter has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations       None         Recommendations       None       Compliance rating rating A       Not Rated         Licence:       Retail       Compliance rating rating A       Not Rated         Documents       Compliance       Compliance rating rating A       Not Rated         Licence:       Retail       Compliance rating rating Not Retail performed       Not Rated         Documents       Compliance       Compliance rating rating Not Retoricipant must not knowingly perm			
Issues       None         Recommendations       None         None       Adequacy of controls rating rating Not Performed       Compliance rating Not Reterions         Licence:       Retail       Not Reteriormed       Not Rated         Licence:       Retail       Not Performed       Not Rated         Licence:       Retail       Not Performed       Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance       Evidence:         Process       Outcome       Output       Reporting       Compliance         Item 4ns been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations       Not Rated         None       Recommendations       Not Rated         None       Compliance faiting A       Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       Adequacy of controls faiting Not Rated         Licence:       Retail       Output       Reporting Documents       Compliance rating			retailer to conduct any
None         Recommendations         None         Item 371       Adequacy of controls rating Not Performed         Licence condition 5.1       rating Not Performed         Licence:       Retail         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Compliance       Compliance         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations       None         Recommendations       None       Not Rated         Licence:       Retail       Compliance rating Not Rated         Licence:       Retail       Compliance rating Not Rated         Licence:       Retail       Compliance         Documents       Compliance       Compliance         Licence:       Retail       Compliance         Documents       Compliance       Compliance         Documents       Compliance		es, etc).	
Recommendations         None         Item 371       Adequacy of controls rating Not Performed       Compliance rating Not Performed         Licence:       Retail       Not Performed       Not Rated         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations	Issues		
None         Item 371       Adequacy of controls rating not Performed       Compliance rating Not Rated         Licence:       Retail       Not Rated         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance       Image: Compliance         Process       Outcome       Output       Reporting       Compliance         Fracess       Outcome       Output       Reporting       Compliance         Issues       None       Adequacy of controls       Compliance         None       Recommendations       Compliance       Compliance         None       Recommendations       Compliance rating A       Not Rated         Icence:       Retail       Compliance rating A       Not Rated         Icence:       Retail       Compliance rating A       Not Rated         Icence:       Interviewed Director, Business Analyst. Documents:       Compliance rating Not Rated         Icence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meteres and the registry to be materially inaccurate.       Observations         Documents <td>None</td> <td></td> <td></td>	None		
Item 371       Adequacy of controls rating Not Performed       Compliance rating Not Performed         Licence:       Retail       Not Rated         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Process       Outcome       Output       Reporting         Process       Outcome       Output       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations       Not Rated         None       Recommendations       Compliance rating A         None       Adequacy of controls       Compliance rating Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A dequacy of controls A a A         None       Compliance       Documents:       Compliance rating Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A dequacy of controls Compliance rating Not Rated         Licences:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Proceses       Outcome       Output	Recommendations		
Item 371       Adequacy of controls rating Not Performed       Compliance rating Not Performed         Licence:       Retail       Not Rated         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Process       Outcome       Output       Reporting         Process       Outcome       Output       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations       Not Rated         None       Recommendations       Compliance rating A         None       Adequacy of controls       Compliance rating Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A dequacy of controls A a A         None       Compliance       Documents:       Compliance rating Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A dequacy of controls Compliance rating Not Rated         Licences:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Proceses       Outcome       Output	None		
Licence condition 5.1       rating Not Performed       Not Rated         Licence:       Retail       Retail         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Compliance       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         Process       Outcome       Output       Reporting       Compliance         Issues       None       Recommendations       Not Rated         None       Recommendations       Not Rated       Icence: Retail         Licence:       Retail       Compliance rating nating       Not Rated         Licence:       Retail       Compliance       Documents: The Licensee has no meter         Observations       Documents       Compliance       Compliance rating nating         Documents       Compliance       Documents: The Licensee has no meter         Documents       Compliance       Compliance       Documents: The Licensee has no meter         Process       Outcome       Output       Repo	None		
Licence condition 5.1       rating Not Performed       Not Rated         Licence:       Retail       Retail         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Compliance       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process       Compliance         Issues       Outcome       Output       Reporting       Compliance         None       Recommendations       Not Rated         None       Recommendations       Not Rated         Licence:       Retail       Compliance rating rating A       Compliance rating Not Rated         Licence:       Retail       Compliance       Compliance         Documents       Compliance       Compliance       Documents:         Documents       Compliance       Compliance       Compliance         Documents       Compliance       Compliance       Documents:       Compliance         Process       Outcome       Output       Reporting       Compliance			
Licence condition 5.1       rating Not Performed       Not Rated         Licence:       Retail       Retail         Electricity Industry Metering Code clause 4.4(1)       If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations       Documents       Compliance         Documents       Compliance       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process       Compliance         Issues       Outcome       Output       Reporting       Compliance         None       Recommendations       Not Rated         None       Recommendations       Not Rated         Licence:       Retail       Compliance rating rating A       Compliance rating Not Rated         Licence:       Retail       Compliance       Compliance         Documents       Compliance       Compliance       Documents:         Documents       Compliance       Compliance       Compliance         Documents       Compliance       Compliance       Documents:       Compliance         Process       Outcome       Output       Reporting       Compliance	Item 371	Adequacy of controls	Compliance rating
Not Performed         Not Rated           Licence:         Retail           Electricity Industry Metering Code clause 4.4(1)         If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.           Observations			
Licence:       Retail         Electricity Industry Metering Code clause 4.4(1)         If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output         Recommendations       None         Recommendations       None         Recommendations       Not Rated         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       Adequacy of controls rating A         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Compliance       Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Compliance       Evidence: Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         Documents       Compliance       Output       Reporting       Com			Not Rated
If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations	Licence: Retail		
If there is a discrepancy between energy data held in a metering installation and in the metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations			
metering database, the affected Code participants and the network operator must liaise to determine the most appropriate way to resolve the discrepancy.         Observations         Documents       Compliance         Process       Outcome         Dottore:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome         Process       Outcome         None       Recommendations         None       None         Item 372       Adequacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Output         Documents       Output         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Output         Documents       Output         Process       Output         Documents       Output         None       Recommendations         None       None         Recommendations       None         None			
determine the most appropriate way to resolve the discrepancy.         Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meteller process         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations       None         Recommendations       None       Compliance rating rating A         None       Adequacy of controls rating A       Compliance rating Not Rated         Licence:       Retail       Electricity Industry Metering Code clause 4.5(1)       A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations       Documents       Compliance       Evidence:       The Licensee has no meteller process         Process       Outcome       Output       Reporting       Compliance         Process       Outcome       Output       Compliance       The Licensee has no meteller process         Documents       Compliance       Output       Reporting       Compliance         Process       Outcome       Output       Reporting       Compliance         Itemse a no knowledge of inaccuracies in Western Power's regi			
Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.         Issues       None         Recommendations       None         Item 372       Adequacy of controls rating A         Licence condition 5.1       rating A         Not Rated       Compliance rating Voltable         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       A code participant must not knowingly permit the registry to be materially inaccurate.         Observations       Outcome       Output       Reporting       Compliance         Documents       Output       Reporting       Compliance       The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee data have not changed.       Issues         None       Recommendations       None         None       Adequacy of controls rating Not Performed       Compliance rating Not Rated			erator must liaise to
Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations         None       Recommendations         None       Adequacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations       Documents       Note         Documents       Outcome       Output       Reporting       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter       Process       Output       Compliance         Documents       Outcome       Output       Reporting       Compliance       Interviewed         Interviewed Director, Business Analyst. Documents: The Licensee has no meter       Process       Output       Compliance         Issues       None       Output       Reporting       Compliance       Interviewed         None       Recommendations       None       Recommendations       Kone	determine the most appropriate way to resolv	ve the discrepancy.	
Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.       Issues         None       Recommendations         None       Recommendations         None       Adequacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations       Documents       Note         Documents       Outcome       Output       Reporting       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter       Process       Output       Compliance         Documents       Outcome       Output       Reporting       Compliance       Interviewed         Interviewed Director, Business Analyst. Documents: The Licensee has no meter       Process       Output       Compliance         Issues       None       Output       Reporting       Compliance       Interviewed         None       Recommendations       None       Recommendations       Kone			- and -
Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.         Issues       None         Recommendations       None         None       Adequacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       A compliance rating Not Rated         Documents       Compliance         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Observations         Documents       Compliance         Process       Outcome       Output         Process       Outcome       Output         Process       Outcome       Output       Reporting         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         None       Recommendations       None         Recommendations       None       Compliance rating Not Performed         None       Recommendations       Not Rated	Observations		
Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.         Issues       None         Recommendations       None         None       Adequacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       A compliance rating Not Rated         Documents       Compliance         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Observations         Documents       Compliance         Process       Outcome       Output         Process       Outcome       Output         Process       Outcome       Output       Reporting         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         None       Recommendations       None         Recommendations       None       Compliance rating Not Performed         None       Recommendations       Not Rated			
Process       Outcome       Output       Reporting       Compliance         There has been no advice of a meter discrepancy and no corrected data provided.         Issues       None         Recommendations       None         Item 372       Adequacy of controls rating A         Licence condition 5.1       Adequacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Outcome         Ø       Output         Process       Output         Output       Reporting         Compliance       Compliance         Item soft contextors       Output         Documents       Compliance         Issues       Output         None       Recommendations         None       Recommendations         None       Recommendations         None       Adequacy of controls rating Not Performed         Compliance condition 5.1       Adequacy of controls rating Not Rated		nalvet Documents: The L	icensee has no meters
There has been no advice of a meter discrepancy and no corrected data provided.         Issues         None         Recommendations         None         Item 372       Adequacy of controls rating A         Licence condition 5.1       A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output         Process       Image: Output       Image: Reporting       Image: Compliance         Issues       None       Recommendations       None         None       Recommendations       Image: Compliance rating Not Performed       Compliance rating Not Retaing Not Re			
Issues         None         Recommendations         None         Item 372         Licence condition 5.1         Licence:         Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       ☑         Compliance       □         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       ☑       Outcome         Item 373       Output       ☑         None       Issues       None         Item 373       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail       Adequacy of controls rating Not Performed       Compliance rating Not Rated			
None         Recommendations         None         Item 372       Adequacy of controls rating A       Compliance rating Not Rated         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1) A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Compliance       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee       Compliance         Item 373       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail		ancy and no corrected da	ita provided.
Recommendations         None         Item 372       Adequacy of controls rating A         Licence condition 5.1       And equacy of controls rating A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter Process         Process       Outcome       Output         Process       Outcome       Output         Issues       None         Recommendations       None         None       Adequacy of controls rating Not Performed         Item 373       Adequacy of controls rating Not Performed         Licence:       Retail	Issues		
None         Item 372       Adequacy of controls rating A         Licence condition 5.1       A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       Not Rated         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance Image: Complimater Image: Co	None		
None         Item 372       Adequacy of controls rating A         Licence condition 5.1       A         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)       Not Rated         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance Image: Complimater Image: Co	Recommendations		
Item 372       Adequacy of controls rating A       Compliance rating Not Rated         Licence:       Retail       Not Rated         Electricity Industry Metering Code clause 4.5(1)       A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance       Image: Compliance       Image: Compliance         Process       Image: Compliance       Image: Compliance       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         None       Recommendations       Compliance         None       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail       Adequacy of controls rating Not Performed       Compliance rating Not Rated			
Licence condition 5.1       rating       Not Rated         Licence:       Retail       Retail         Electricity Industry Metering Code clause 4.5(1)       A         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output       Image: Compliance         Process       Image: Outcome       Image: Output       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         Issues       None       Recommendations         None       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail       Adequacy of controls Not Rated       Compliance rating Not Rated	None		
Licence condition 5.1       rating       Not Rated         Licence:       Retail       Retail         Electricity Industry Metering Code clause 4.5(1)       A         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output       Image: Compliance         Process       Image: Outcome       Image: Output       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         Issues       None       Recommendations         None       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail       Adequacy of controls Not Rated       Compliance rating Not Rated			
Licence condition 5.1       rating       Not Rated         Licence:       Retail       Retail         Electricity Industry Metering Code clause 4.5(1)       A         A Code participant must not knowingly permit the registry to be materially inaccurate.       Observations         Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output       Image: Compliance         Process       Image: Outcome       Image: Output       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         Issues       None       Recommendations         None       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail       Adequacy of controls Not Rated       Compliance rating Not Rated	Item 372	Adequacy of controls	Compliance rating
A       Not Rated         Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome         Image: Outcome       Image: Output         Image: Output       Image: O			g compliance raining
Licence:       Retail         Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         None       Recommendations       Image: Output Image: O			Not Rated
Electricity Industry Metering Code clause 4.5(1)         A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee         details have not changed.         Issues         None         Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail	Licence: Retail		1
A Code participant must not knowingly permit the registry to be materially inaccurate.         Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output         Process       Image: Outcome       Image: Output       Image: Output         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues         None       Issues       Image: Output I			
Observations         Documents       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output       Image: Compliance         Process       Image: Outcome       Image: Output       Image: Compliance       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Image: Compliance       Image: Compliance         Issues       Image: Compliance       Image: Compliance       Image: Compliance       Image: Compliance         None       Image: Compliance       Image: Compliance       Image: Compliance       Image: Compliance         Item 373       Adequacy of controls       Compliance rating       Image: Compliance rating         Licence:       Retail       Not Performed       Not Rated			
Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Compliance       Image: Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee       Compliance         Issues       Image: Compliance       Image: Compliance         None       Image: Compliance       Image: Compliance         Recommendations       Image: Compliance       Image: Compliance         None       Image: Compliance       Image: Compliance         Item 373       Image: Compliance       Compliance         Licence condition 5.1       Image: Compliance       Image: Compliance         Licence:       Retail       Retail       Image: Compliance		t the registry to be materia	ally inaccurate.
Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output       Image: Output <td< td=""><td>Observations</td><td></td><td></td></td<>	Observations		
Evidence:       Interviewed Director, Business Analyst. Documents: The Licensee has no meter         Process       Image: Outcome       Image: Output       Image: Output <td< td=""><td></td><td></td><td></td></td<>			
Process       ☑       Outcome       ☑       Output       ☑       Reporting       □       Compliance         The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.       Issues       Issues       Issues         None       Recommendations       Issues       Issues       Issues       Issues       Issues         None       Issues       Issues </td <td></td> <td>nalvet Documents: The L</td> <td>iconsoo has no motors</td>		nalvet Documents: The L	iconsoo has no motors
The Licensee has no knowledge of inaccuracies in Western Power's registry. The Licensee details have not changed.         Issues         None         Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail			
details have not changed.         Issues         None         Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail			
Issues         None         Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail             Item 373		cies in western Power's re	egistry. The Licensee's
None         Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail			
Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail	issues		
Recommendations         None         Item 373         Licence condition 5.1         Licence:       Retail	None		
None         Item 373       Adequacy of controls rating Not Performed       Compliance rating Not Rated         Licence:       Retail			
Item 373       Adequacy of controls rating       Compliance rating         Licence condition 5.1       Not Performed       Not Rated         Licence:       Retail			
Licence condition 5.1     rating Not Performed     Not Rated       Licence:     Retail	None		
Licence condition 5.1     rating Not Performed     Not Rated       Licence:     Retail			
Licence condition 5.1     rating Not Performed     Not Rated       Licence:     Retail	Item 373	Adequacy of controls	Compliance rating
Not Performed         Not Rated           Licence:         Retail			Compliance rating
Licence: Retail			Not Rated
	Licence: Retail	Hot I Chomicu	Hot Rated
Electricity Industry Metering Code clause 4.5(2)			
	Electricity Industry Metering Code clause 4.5	i(2)	



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

Documents		Compliance						
Evidence: In	itervi	ewed Director,	, Busir	ness A	nalyst.	Documents: T	The Licensee has no m	eters.
Process		Outcome		Output		Reporting	□ Compliance	
The licensee	is no	t aware of any	inacc	uracie	s in an	item of standi	ng data in the registry.	
Issues								
None								
Recommend	atior	າຣ						
None								

Item 388	Adequacy of controls	Compliance rating
Licence condition 5.1	rating	
	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 5.4	4(2)	
A user must, when reasonably requested by	a network operator, use r	easonable endeavours
to assist the network operator to comply with	the network operator's of	bligation under
subclause 5.4(1).		-
Observations	. DA	
Documents 🗹 Compliance 🗹		
Evidence: Interviewed Director, Business A	nalyst. Documents: The L	icensee has no meters.
Process   Outcome  Output	t □ Reporting □	Compliance
No requests were made of users or the Licer	isee.	
Issues		
None		
Recommendations		
None		

Itama 404					Adam	in all of a antrals	_	Compliance ratio	_
Item 401					Adequacy of controls Compliance rating			3	
Licence condition 5.1				rating					
					Not P	erformed		Not Rated	
Licence:	F	Retail		$\mathcal{D}_{\mathcal{N}}$					
Electricity Inc	lustry	Metering Cod	le clau	ise 5.1	6				
If a user colle	cts o	r receives ene	rav da	ata fron	n a met	ering installatio	on th	en the user must	
								the communication	
		meframes pres			aata (i				
Tues) within t	ne u	nenames pres	SCHDEC	<i>.</i>					
Observation							-		
Observation	S								
Documents	$\checkmark$	Compliance		$\mathbf{\Lambda}$					
Evidence: In	ntervi	ewed Director	, Busii	ness Ai	nalyst.	Documents: Th	ne Li	censee has no me	ters.
Process	$\mathbf{A}$	Outcome	$\mathbf{N}$	Output	$\mathbf{\nabla}$	Reporting	N	Compliance	$\mathbf{N}$
The retailer h	as no	o physical role	in res	pect of	meteri	ng.			
Issues									
None									
Recommend	latio	ns							
None									
							-		



Item 402 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 5.1 A user must provide standing data and valida estimated energy data to the user's custome user is required by an enactment or an agree purpose of providing metering services to the Observations	ated and where necessary r, to which that informatio ement to do so for billing p	n relates, where the
Documents       Image: Compliance       Image: Compliance         Evidence:       Interviewed Director, Business A         Process       Image: Compliance       Image: Compliance         Process       Image: Compliance       Image: Compliance       Image: Compliance         There are no meters to collect information or Operators under the Meter Code). The retailed customer on request and at no charge and were compliance.       Image: Compliance       Image: Compliance	t □ Reporting □ data from for billing. (Met er is obligated to supply m	Compliance ers are the Network eter data to the
Issues	14 Ave	
None		
Recommendations		
None		
Item 405 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail		Normalou
information, including the stated attributes, w Observations		cilibed.
Documents  Compliance		
Evidence:       Interviewed Director, Business A         Process       □       Outcome       □       Output         There has been no change in energisation s of metering.         Issues	t 🛛 Reporting 🗆	Compliance 🛛
None Recommendations		
None		
None		
Item 406 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating Not Rated
Licence: Retail		
Electricity Industry Metering Code clause 5.1 A user must, when requested by the network electricity industry practice, use reasonable e if any, that assists the network operator in m elsewhere, and provide that information to the <b>Observations</b>	operator acting in accord endeavours to collect infor eeting its obligations desc	mation from customers,
Documents		



			ιυι, D	นอแม	533 AN	αιγδι.	DOGUMENIS.	THE L	licensee has no i	neters.
Process		Outcome			Dutput		Reporting		Compliance	
There have b	een r			-   0	Juipui		rtoporting		Compliance	
Issues			<u> </u>							
None										
Recommend	lation	S								
None										
Item 407					A	dequa	acy of contro	s	Compliance rati	ng
Licence cond	lition &	5.1			ra	ating	rformed		Not Rated	0
Licence:	R	etail								
	to the	e extent that s, prescribed	t it is	able	, collec	t and			of the address, s on point, with whi	
Observation	S									
Documents		Complianc					1.2212	~~~		
-	ntervie		tor, B			alyst.		The L	icensee has no r	neters.
Process		Outcome			Dutput		Reporting		Compliance	
									no request to coll an that provided	
		Ji the addre	3SS, S	пеа		omer				
	infor	mation is co	loct				wor and the	rotail	or takes it on trus	<b>`</b> †
							ower and the	retaile	er takes it on trus	st
unless there							ower and the	retaile	er takes it on trus	st
unless there Issues							ower and the	retaile	er takes it on trus	st
unless there Issues None	is a m	anifest erro					ower and the	retaile	er takes it on trus	st
unless there Issues None Recommenc	is a m	anifest erro					ower and the	retaile	er takes it on trus	st
unless there Issues None Recommenc	is a m	anifest erro					ower and the	retaile	er takes it on trus	st
unless there Issues None Recommenc None	is a m	anifest erro			y West	ern Pc				
unless there Issues None Recommenc None Item 408	is a m lation	nanifest erro			y West	ern Po	ower and the		er takes it on trus	
unless there Issues None Recommenc None Item 408	is a m lation	nanifest erro			y West	dequa	acy of control		Compliance rati	
unless there Issues None Recommenc None Item 408 Licence cond	is a m lation	5.1			y West	dequa				
unless there Issues None Recommenc None Item 408 Licence cond Licence:	is a m lation	5.1 banifest erro	or.	ed by	y West	dequa dequa ting ot Per	acy of control		Compliance rati	
unless there Issues None Recommence None Item 408 Licence cond Licence: Electricity Inc Subject to su	lition {	5.1 <i>Metering C</i> ses 5.19(3A f any chang	Code of A) and ge in a	claus	y West A ra se 5. 19 9(6), th	dequa ting ot Per (3) ne use	cy of control formed	s n 1 bu	Compliance rati	ng
unless there Issues None Recommence None Item 408 Licence cond Licence cond Licence cond Subject to su becoming aw network oper	lition { lition { lition { dustry bclau; vare o ator o	5.1 <i>Metering C</i> ses 5.19(3A f any chang	Code of A) and ge in a	claus	y West A ra se 5. 19 9(6), th	dequa ting ot Per (3) ne use	cy of control formed	s n 1 bu	Compliance rati Not Rated	ng
unless there Issues None Recommend None Item 408 Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation	lition { lition { lition { dustry bclau; vare o ator o	5.1 <i>Metering C</i> ses 5.19(3A f any chang	Code of A) and ge in a ge.	claus	y West A ra se 5. 19 9(6), th	dequa ting ot Per (3) ne use	cy of control formed	s n 1 bu	Compliance rati Not Rated	ng
unless there Issues None Recommend None Item 408 Licence cond Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents	lition { lition { lition { dustry bclau vare o ator o	5.1 <i>Metering C</i> ses 5.19(3A f any chang of the chang Compliance	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa tting ot Per (3) ne use descr	rformed er must, withi	s n 1 bu ause	Compliance rati Not Rated	ng
unless there Issues None Recommend None Item 408 Licence cond Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents	lition { lition { lition { dustry bclau vare o ator o	5.1 <i>Metering C</i> ses 5.19(3A f any chang of the chang Compliance	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa tting ot Per (3) ne use descr	rformed er must, withi	s n 1 bu ause	Compliance rati Not Rated usiness day after 5.19(2), notify the	ng
unless there Issues None Recommend None Item 408 Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents Evidence: In Process The only con	lition { lition {lition {li	5.1 <i>Metering C</i> ses 5.19(3A f any chang f the chang Compliance wed Direct Outcome on points are	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa ting ot Per (3) ne use descr	er must, withi ibed in subcl	s   n 1 bu ause The L	Compliance rati Not Rated usiness day after 5.19(2), notify the	e meters.
unless there Issues None Recommend None Item 408 Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents Evidence: In Process The only con changes in a	lition { lition {lition {lit	5.1 <i>Metering C</i> ses 5.19(3A f any chang f the chang Compliance wed Direct Outcome on points are	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa ting ot Per (3) ne use descr	er must, withi ibed in subcl	s   n 1 bu ause The L	Compliance rati Not Rated usiness day after 5.19(2), notify the icensee has no r	e meters.
unless there Issues None Recommend None Item 408 Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents Evidence: In Process The only con changes in a	lition { lition {lition {lit	5.1 <i>Metering C</i> ses 5.19(3A f any chang f the chang Compliance wed Direct Outcome on points are	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa ting ot Per (3) ne use descr	er must, withi ibed in subcl	s   n 1 bu ause The L	Compliance rati Not Rated usiness day after 5.19(2), notify the icensee has no r	e meters.
unless there Issues None Recommend None Item 408 Licence cond Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents Evidence: In Process The only con changes in a Issues	lition { lition {lition {lit	5.1 <i>Metering C</i> ses 5.19(3A f any chang f the chang Compliance wed Direct Outcome on points are	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa ting ot Per (3) ne use descr	er must, withi ibed in subcl	s   n 1 bu ause The L	Compliance rati Not Rated usiness day after 5.19(2), notify the icensee has no r	e meters.
unless there Issues None Recommend None Item 408 Licence cond Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents Evidence: In Process The only con changes in at Issues None	lition { lition {lition {li	5.1 <i>Metering C</i> ses 5.19(3A f any chang f the chang <u>Compliance</u> wed Direct <u>Outcome</u> on points are es.	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa ting ot Per (3) ne use descr	er must, withi ibed in subcl	s   n 1 bu ause The L	Compliance rati Not Rated usiness day after 5.19(2), notify the icensee has no r	e meters.
unless there Issues None Recommence None Item 408 Licence cond Licence: Electricity Ind Subject to su becoming aw network oper Observation Documents Evidence: In Process	lition { lition {lition {li	5.1 <i>Metering C</i> ses 5.19(3A f any chang f the chang <u>Compliance</u> wed Direct <u>Outcome</u> on points are es.	Code of A) and ge in a ge.	claus d 5.1 an at	y West	dequa ting ot Per (3) ne use descr	er must, withi ibed in subcl	s   n 1 bu ause The L	Compliance rati Not Rated usiness day after 5.19(2), notify the icensee has no r	e meters.



Item 410 Licence condition 5.1	Adequacy of controls rating A	Compliance rating
Licence: Retail		
Electricity Industry Metering Code clause 5 A user must use reasonable endeavours to of a change in an attribute described in sub standing data by the network operator to the	ensure that it does not no oclause 5.19(2) that results	
Observations		
Documents 🗹 Compliance 🗹		
<b>Evidence:</b> Interviewed Director, Business Email sighted.		
ProcessImage: Content of the sector of the sect	changed Standing Data a	ttributes, which the
Issues		
None	1799	
Recommendations	G.	
None		
Item 416 Licence condition 5.1	Adequacy of controls rating	Compliance rating
Licence: Retail	Not Performed	Not Rated
participant is a user and the test or audit recurrent user or the Code participant is the I         Observations         Documents       □         Compliance       □         Evidence:       Interviewed Director, Business         Process       □       Outcome       □         A retailer may request a test only if at the time as made no such requests.       Issues	MO. Analyst. Documents: The but  Reporting [	Licensee has no meters.
None		
Recommendations	2110	
None		
Item 417 Licence condition 5.1	Adequacy of controls rating	Compliance rating
Licence: Retail	Not Performed	Not Rated
Electricity Industry Metering Code clause 5 A Code participant must not make a request any access arrangement or agreement.		) that is inconsistent with
Observations		
Documents Compliance		
Evidence:Interviewed Director, BusinessProcessImage: OutcomeImage: OutcomeOutcomeImage: OutcomeImage: Outcome		Licensee has no meters. □ Compliance □



Issues			
None			
Recommendat	tions		
None			
Item 435		Adequacy of controls	Compliance rating
Licence condition	on 5 1	rating	Compliance rating
LICENCE CONUM	011 0.1	Not Performed	Not Rated
Licence:	Retail		
Electricity Indu	stry Metering Code clau	189 5 27	
		vide the network operator with	o customer attribute
		are missing or incorrect within	
prescribed.	I IL TEASONADIY DEILEVES	are missing of incorrect within	i the timenames
Observations		Turn I	
Observations		a subsection of the section of the s	
	☐ Compliance		
Evidence: Inte	erviewed Director, Busir	ness Analyst. Documents: Not	
Process [			Compliance
		ormation is collected by West	ern Power and the retaile
takes it on trust	unless there is a manif	fest error.	
Issues			
None			
Recommendat			
Recommenda	tions		
None			
1			
Item 448		Adequacy of controls	Compliance rating
Item 448 Licence condition	on 5.1	rating	
Licence conditi			Compliance rating
	on 5.1 Retail	rating	
Licence condition	Retail stry Metering Code clau	rating A use 6.1(2)	1
Licence condition Licence: Electricity Indus A user must, in	Retail stry Metering Code clau relation to a network of	rating A use 6.1(2) n which it has an access contr	1
Licence condition Licence: Electricity Indus A user must, in procedures, ag	Retail stry Metering Code clau	rating A use 6.1(2) n which it has an access contr	1
Licence condition Licence: Electricity Indus A user must, in	Retail stry Metering Code clau relation to a network of	rating A use 6.1(2) n which it has an access contr	1
Licence condition Licence: Electricity Indus A user must, in procedures, ag Observations	Retail stry Metering Code clau relation to a network or reements and criteria p	rating A <i>Ise 6.1(2)</i> n which it has an access contr rescribed.	1
Licence condition Licence: Electricity Indus A user must, in procedures, ag Observations Documents	Retail stry Metering Code clau relation to a network of reements and criteria p	rating A <i>Ise 6.1(2)</i> n which it has an access contr rescribed.	1 ract, comply with the rule
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents Evidence: Inter-	Retail stry Metering Code clau relation to a network or reements and criteria p Compliance erviewed Director, Busir	rating A <i>ise 6.1(2)</i> n which it has an access contr rescribed. Ø ness Analyst. Documents: The	1 ract, comply with the rule
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents I Evidence: Inter Process I	Retail         stry Metering Code clause         relation to a network or         reements and criteria p         ☑       Compliance         crviewed Director, Busin         ☑       Outcome	rating         A         use 6.1(2)         n which it has an access contrest is contrest.         rescribed.         Image: Analyst. Documents: The Output         Image: Analyst. Documents: The Output	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance
Licence condition Licence: Electricity Indus A user must, in procedures, ag Observations Documents Evidence: Inter Process I The Licensee h	Retail         stry Metering Code clause         relation to a network of         reements and criteria p         Image: Compliance         erviewed Director, Busin         Image: Outcome	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: State of the state	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ compliance         s, agreements and criter
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents I Evidence: Inter Process I The Licensee h prescribed. The	Retail         stry Metering Code clau         relation to a network of         reements and criteria p         ☑       Compliance         ☑       Compliance         ☑       Outcome       ☑         ☑       Outcome       ☑         ☑       Outcome       ☑         ☑       Licensee uses only the	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: State of the stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence condition Licence: Electricity Indus A user must, in procedures, ag Observations Documents I Evidence: Inter- Process I The Licensee h prescribed. The transactions an	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         I Compliance         erviewed Director, Busin         I Outcome         I Outcome         I Sa an ETAC and has criteria p         Licensee uses only the         d thus meet compliance	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents Documents Evidence: Inter- Process The Licensee h prescribed. The transactions an and criteria and	Retail         stry Metering Code clau         relation to a network of         reements and criteria p         ☑       Compliance         ☑       Compliance         ☑       Outcome       ☑         ☑       Outcome       ☑         ☑       Outcome       ☑         ☑       Licensee uses only the	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence condition Licence: Electricity Indus A user must, in procedures, ag Observations Documents I Evidence: Inter- Process I The Licensee h prescribed. The transactions an	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         I Compliance         erviewed Director, Busin         I Outcome         I Outcome         I Sa an ETAC and has criteria p         Licensee uses only the         d thus meet compliance	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents Documents Evidence: Inter- Process The Licensee h prescribed. The transactions an and criteria and	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         I Compliance         erviewed Director, Busin         I Outcome         I Outcome         I Sa an ETAC and has criteria p         Licensee uses only the         d thus meet compliance	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence conditional conditiona	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         Image: Compliance         Image: Compliance <td>rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat</td> <td>1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering</td>	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents I Evidence: Inter- Process I The Licensee hore prescribed. The transactions and and criteria and Issues None Recommendat	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         Image: Compliance         Image: Compliance <td>rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat</td> <td>1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering</td>	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence condition Licence: Electricity Indust A user must, in procedures, ag Observations Documents I Evidence: Inter- Process I The Licensee h prescribed. The transactions and and criteria and Issues None	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         Image: Compliance         Image: Compliance <td>rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat</td> <td>1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering</td>	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence conditional conditiona	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         Image: Compliance         Image: Compliance <td>rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat</td> <td>1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering</td>	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ s, agreements and critering
Licence conditional conditiona	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         Image: Compliance         Image: Compliance <td>rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat</td> <td>1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance       ☑         s, agreements and critering</td>	rating         A         use 6.1(2)         n which it has an access contrescribed.         Image: Second state of the second stat	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance       ☑         s, agreements and critering
Licence conditional conditiona	Retail         stry Metering Code clau         relation to a network or         reements and criteria p         Image: Compliance         Image: Compliance <td>rating         A         use 6.1(2)         n which it has an access contrest rescribed.         Image: Strain access contrest rescontrest rescontrest rescribed.</td> <td>1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ Compliance         Image: s, agreements and critering         procedures, agreements</td>	rating         A         use 6.1(2)         n which it has an access contrest rescribed.         Image: Strain access contrest rescontrest rescontrest rescribed.	1         ract, comply with the rule         e Licensee has no meters         ☑ Compliance         ☑ Compliance         Image: s, agreements and critering         procedures, agreements

Electricity Industry Metering Code clause 7.2(1)



Code participants must use reasonable endeavours to ensure that they can send and receive a notice by post, facsimile and electronic communication and must notify the network operator of a telephone number for voice communication in connection with the Code. Observations

	<u> </u>									
Documents	$\mathbf{N}$	Compliance		V						
Evidence: Ir	ntervie	ewed Director	, Busir	ness Ana	alyst.	Documents:	: Th	e Lio	censee has no	meters
Process	$\checkmark$	Outcome	$\mathbf{\nabla}$	Output	$\checkmark$	Reporting		$\checkmark$	Compliance	Ø
Western Pow	er ha	s the License	e's rele	evant ac	dress	ses and telep	phoi	ne n	umber.	
Issues										
None										
Recommend	lation	IS								
None										
Item 453						of controls		C	ompliance ratin	g
Licence cond	lition &	5.1		ratin	0					
				Not	Perfor	rmed		N	ot Rated	
	_									
	lustry	etail Metering Coo etwork opera				entered into	o an	acc	cess contract, th	ne Cod
Electricity Inc	dustry by a n ust no	Metering Coo etwork opera	tor with	n whom	it has				cess contract, th business days a	
Electricity Inc If requested to participant more request.	dustry by a n ust no	Metering Coo etwork opera otify its contac	tor with	n whom Is to a n	it has					
Electricity Inc If requested to participant more request. Observation Documents	lustry by a n ust no s	Metering Coo etwork opera otify its contac Compliance	tor with t detai	n whom Is to a n	it has etwor	k operator w	vithi	n 3 I	business days a	after th
Electricity Inc If requested b participant m request. Observation Documents Evidence: Ir	lustry by a n ust no s	Metering Coo etwork opera otify its contac Compliance ewed Director	tor with t detai	h whom Is to a n	it has etwor alyst.	k operator w	vithin	n 3 l	business days a	after th
Electricity Inc If requested b participant morequest. Observation Documents Evidence: In Process	dustry by a n ust no s ntervie	Metering Coo etwork opera otify its contac <u>Compliance</u> ewed Director Outcome	tor with t detai	h whom Is to a n Dess Ana Output	it has etwor alyst.	k operator w Documents:	vithin	e Lic	business days a censee has no Compliance	meters
Electricity Inc If requested b participant morequest. Observation Documents Evidence: In Process	dustry by a n ust no s ntervie	Metering Coo etwork opera otify its contac <u>Compliance</u> ewed Director Outcome	tor with t detai	h whom Is to a n Dess Ana Output	it has etwor alyst.	k operator w Documents:	vithin	e Lic	business days a	meters
Electricity Inc If requested b participant m request. Observation Documents Evidence: In Process Western Pow	dustry by a n ust no s ntervie	Metering Coo etwork opera otify its contac <u>Compliance</u> ewed Director Outcome	tor with t detai	h whom Is to a n Dess Ana Output	it has etwor alyst.	k operator w Documents:	vithin	e Lic	business days a censee has no Compliance	meters
Electricity Inc If requested b participant m request. Observation Documents Evidence: In Process Western Pow period.	dustry by a n ust no s ntervie	Metering Coo etwork opera otify its contac <u>Compliance</u> ewed Director Outcome	tor with t detai	h whom Is to a n Dess Ana Output	it has etwor alyst.	k operator w Documents:	vithin	e Lic	business days a censee has no Compliance	meters
Electricity Inc If requested b participant mirequest. Observation Documents Evidence: In Process Western Pow period. Issues	dustry by a n ust no s ntervie ver ha	Metering Coo etwork opera otify its contac <u>Compliance</u> ewed Director <u>Outcome</u> s the License	tor with t detai	h whom Is to a n Dess Ana Output	it has etwor alyst.	k operator w Documents:	vithin	e Lic	business days a censee has no Compliance	meters
Electricity Inc If requested b participant mirequest. Observation Documents Evidence: In Process Western Pow period. Issues None	dustry by a n ust no s ntervie ver ha	Metering Coo etwork opera otify its contac <u>Compliance</u> ewed Director <u>Outcome</u> s the License	tor with t detai	h whom Is to a n Dess Ana Output	it has etwor alyst.	k operator w Documents:	vithin	e Lic	business days a censee has no Compliance	meters

Item 454	Adequacy of controls	Compliance rating
Licence condition 5.1	rating	
	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Metering Code claus	e 7.2(5)	
A Code participant must notify any affect		
details it notified to the network operator	at least 3 business days be	fore the change takes
effect.		
Observations		
Documents   Compliance		
Evidence: Interviewed Director, Busine	ess Analyst. Documents: The	e Licensee has no meters.
Process 🛛 Outcome 🖾 O	utput   Reporting	□ Compliance □
There have been no address changes.		
Issues		
None		
Recommendations		
None		



Item 455 Licence condition 5.1	Adequacy of controls rating	Compliance rating
Licence: Retail	A	1
Electricity Industry Metering Code clau A Code participant must subject to sub disclosure of, confidential information p may only use or reproduce confidential or another purpose contemplated by th Observations	clauses 5.17A and 7.6 not d provided to it under or in con information for the purpose	nection with the Code and
Documents       ☑       Compliance         Evidence:       Interviewed Director, Busin         Process       ☑       Outcome       ☑       O         There has been no disclosure of confic       Issues       Issues       Issues	Dutput 🗹 Reporting	ne Licensee has no meters. ☑ Compliance   ☑
None Recommendations	1100 COLORING	
None	1.1.1	al and
Item 456 Licence condition 5.1	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail	Not Fellollilea	NOL RAIEU
There has been no confidential informa Issues None	Dutput 🛛 Reporting	ne Licensee has no meters.
Recommendations		
None		
	Adequacy of controls rating Not Performed	Compliance rating
Licence: Retail		
Electricity Industry Metering Code clau If any dispute arises between any Code representatives of disputing parties mu disputing party to the other disputing party negotiations in good faith.	e participants then (subject t st meet within 5 business da	ays after a notice given by a
Observations		
DocumentsImage: ComplianceEvidence:Interviewed Director, BusinProcessImage: OutcomeProcessImage: OutcomeThere have been no disputes (the Lice	Dutput 🛛 Reporting	□ Compliance □



Issues	
None	
Recommendations	
None	

Ham 450	Adaguacy of controls	Compliance rating
Item 458 Licence condition 5.1	Adequacy of controls rating	Compliance rating
Licence condition 5.1	Not Performed	Not Rated
Licence: Retail		HotHatoa
Electricity Industry Metering Code cla	ause 8.1(2)	
If a dispute is not resolved within 10		te is referred to
representative negotiations, the dispu		
management officer of each disputing		
by negotiations in good faith.		
Observations		
Documents  Compliance		
Evidence: Interviewed Director, Bus	siness Analyst. Documents: T	he Licensee has no meters.
Process   Outcome	Output  Reporting	□ Compliance □
There have been no disputes (the Lid		
Issues		
None		
Recommendations		
None		
Item 459	Adequacy of controls	Compliance rating
Licence condition 5.1	rating	Compliance rating
	Not Performed	Not Rated
Licence: Retail		
Electricity Industry Metering Code cla	ause 8.1(3)	
If the dispute is not resolved within 1		oute is referred to senior
management negotiations, the disput		
officer of each disputing party who m	ust meet and attempt to resol	ve the dispute by
negotiations in good faith.		
Observations		
Documents  Compliance		
Evidence: Interviewed Director, Bus	siness Analyst. Documents: T	he Licensee has no meters.
Process	Output  Reporting	□ Compliance □
There have been no disputes (the Lic		
Issues		
None		
Recommendations		
None		
None		
Item 460	Adequacy of controls	Compliance rating
Licence condition 5.1	rating	Compliance rating
LICENCE CONDITION 5.1	Not Performed	Not Rated
Licence: Retail	Horr choimed	Hornatou
Electricity Industry Metering Code cla	auso 8 1/4)	

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 Compliance
<b>Evidence:</b> Interviewed Director, Business Analyst. Documents: The Licensee has no meters.
Process 🛛 Outcome 🖾 Output 🖾 Reporting 🖾 Compliance 🗆
There have been no disputes (the Licensee has no disputes with Western Power).
Issues
None
Recommendations
None
None
Item 461         Adequacy of controls         Compliance rating
Licence condition 5.1 rating
Not Performed Not Rated
Licence: Retail
Electricity Industry Metering Code clause 8.3(2)
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 Compliance
The Licensee has no meters.
Process   Outcome  Output  Reporting  Compliance
Evidence: Interviewed Director, Business Analyst. Documents: There have been no disputes
(the Licensee has no disputes with Western Power).
Issues
None
Recommendations