



FINAL REPORT
2018 Performance Audit
Bluewaters Power 1 Pty Ltd
Retail Licence ERL12

Audit Report	Authorisation	Name	Position	Date
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1. Bluewaters Power 1 Pty Ltd Performance Audit March 2018

Glossary of Terms

BW1 – Bluewaters Power 1 Pty Ltd

Contestable Customer – customer consuming more than 50 megawatt hours of electricity a year

CTR – Customer Transfer Request

ERA – Economic Regulation Authority

ERL12 – Electricity Retail License 12

ETAC – Electricity Transfer Access Contract

GES - Geographe Environmental Services Pty Ltd

AEMO – Australian Energy Market Operator

NMI – National Metering Identifier

PPA – Power Purchase Agreement

RACC – Risk Audit & Compliance Committee

REC – Renewable Energy Certificate

RRN – Retailer Reference Number

RFP – Request for Proposal

Small Use Customer – customers with consumption greater than 50 MWh and less than 160MWh per annum

WEFS – Wholesale Electricity Forecasting System

WEM – Wholesale Electricity Market

WPC – Western Power Corporation WPC and WPN are the same organisation

WPN – Western Power Networks

This report is prepared by representatives of Geographe Environmental Services Pty Ltd in relation to the above named client's conformance to the nominated audit standard(s). Audits are undertaken using a sampling process and the report and its recommendations are reflective only of activities and records sighted during this audit process. Geographe Environmental Services Pty Ltd shall not be liable for loss or damage caused to or actions taken by third parties as a consequence of reliance on the information contained within this report or its accompanying documentation.

1. EXECUTIVE SUMMARY

Bluewaters Power 1 Pty Ltd (BW1) is an electricity retailer and supplies electricity in Western Australia to two customers. It is jointly owned by Sumitomo Corporation and Kansai Electric Power Company.

As the volume of electricity supplied to each customer exceeds 160MWh p.a., the customers are not *Small Use Customers as defined by the Code of Conduct for the Supply of Electricity to Small Use Customers 2016*.

Bluewaters Power 1 has an Electricity Retail Licence (ERL12) issued by the Economic Regulation Authority (ERA) under sections 7 and 15(2) of the *Electricity Industry Act 2004*.

Section 13 of the *Electricity Industry Act 2004* requires as a condition of every licence that the licensee must, not less than once in every period of 24 months (or any longer period that the Authority allows) calculated from the grant of the licence, provide the Authority with a Performance Audit conducted by an independent expert acceptable to the Authority. The Performance Audit has been conducted in order to assess the licensee's level of compliance with the conditions of its licence.

The Authority approved the appointment of Geographe Environmental Services Pty Ltd on the 13th February 2018 (ERA Reference D184408), and subsequently required the development of an audit plan for ERA approval. An audit plan was prepared for the Retail Licence and approval of the audit plan was provided on the 15/03/2018 (ERA Reference D185409).

The Audit has been executed as planned in accordance with the process flowchart for performance/operational audits as detailed in the 2014 Audit Guidelines - Electricity and Gas Licences.

The period for the audit is, 1 January 2014 to 31 December 2017 and the submission of this report as determined with the Authority is evidence of compliance.

AUDIT CONCLUSION

The Performance Audit has been conducted in order to assess the effectiveness of the measures taken by Bluewaters Power 1 Pty Ltd to meet the conditions of its Retail Licence ERL12 and the legislative obligations applicable to its licence. Through the execution of the Audit Plan and assessment and testing of the control environment, the information system, control procedures and compliance attitude, the audit team members have gained reasonable assurance that Bluewaters Power 1 Pty Ltd has complied with its Retail Licence as it applies to its operations and activities during the audit period, with the exception of non-compliances in relation to late submission of compliance reports and risk identification. During the audit period the control environment operated by the licensee was not well

established and impacted due to changeover in staff roles, operators, unplanned operational events and other corporate changes. Deficiencies in general document control, records management, compliance and risk were noted and this has also been identified by the CEO and a project is currently being implemented to rectify these issues under the General Manager of Human Resources. The identified areas of concern have been responded to with additional resources, a new document control and records management system, the establishment of a Risk Audit and Compliance Committee and the AMS procedures and documentation being reviewed and revised with the assistance of outside consultants. This project commenced at the end of 2017 and internal corporate requirements are being implemented which should effectively filter through to the organisations operations to address these inefficiencies. Additionally, areas of improvement that have been raised within the report relate to the increased control surrounding verbal contact from customers and the network operator. These issues are further highlighted in table 5 and section 2.4 of the report. This audit report is an accurate representation of the audit teams findings and opinions.

2. PERFORMANCE AUDIT

2.1 Performance Audit Scope

This is the third audit of BW1 compliance with obligations relating to Retail Licence ERL12. As such, the scope of the audit for the period 1 January 2014 to 31 December 2017 is to:

- **process compliance** - the effectiveness of systems and procedures in place throughout the audit period, including the adequacy of internal controls
- **outcome compliance** – the actual performance against standards prescribed in the licence throughout the audit period
- **output compliance** – the existence of the output from systems and procedures throughout the audit period (that is, proper records exist to provide assurance that procedures are being consistently followed and controls are being maintained);
- **integrity of reporting** – the completeness and accuracy of the compliance and performance reports provided to the Authority; and
- **compliance with any individual licence conditions** – the requirements imposed on the specific licensee by the Authority or specific issues that are advised by the Authority.

There were no performance standards defined within the Retail Licence the Authority's Electricity Compliance Reporting Manual (July 2017).

The following people were interviewed during the Performance Audit;

- CEO
- General Manager Finance & Accounting
- General Manager Human Resources
- Station Manager
- Financial Analyst

2.2 Performance Audit Objective

The objective of the performance audit was detailed within the Audit Plan, as required by the Audit Guidelines (refer section 9.2.1). As this is the third audit for the licensee, a review of the actions taken to address the issues and recommendations identified during the audit period was undertaken (i.e. Compliance Reports submitted during the audit period).

The Audit was conducted in three phases as defined by the Audit Guidelines. The phases and the appropriate audit guide/tool are detailed in Table 1 below;

Table 1: Performance Audit Methodology and Allocated Hours

Phase	Auditor	Hours	Relevant Auditing Standard
1. Risk & Materiality Assessment Outcome - Operational/ Performance Audit Plan	Nicole Davies	10	ASAE 3000*: Assurance Engagements Other than Audits or Reviews of Historical Financial Information ASAE 3100*: Compliance Engagements ASA 315*: Identifying and Assessing the Risks of Material Misstatement through Understanding the Entity and Its Environment AS/NZS ISO 31000:2009 Risk Management Principles & Guidelines
2. System Analysis	Nicole Davies	10	AS 3806-2006: Compliance Programs & AS ISO 19600 – 2014 Compliance management systems - Guidelines
3. Fieldwork & Report Preparation Assessment and testing of; <ul style="list-style-type: none"> ▪ The control environment ▪ Information system ▪ Compliance procedures ▪ Compliance attitude 	Nicole Davies	40	ASA 500*: Audit Evidence ASA 530*: Audit Sampling

* Note all Auditing & Assurance Standards sourced from <http://www.auasb.gov.au/>

2.3 Performance Audit Methodology

A risk assessment, assessment of control environment and allocation of audit priority was undertaken in accordance with the 2014 Audit Guidelines - Electricity and Gas Licences on each element relating to Retail licensee's of the Electricity Compliance Reporting Manual (July 2017) issued by the Authority. This approach mandated by the Economic Regulation Authority provides an effective assessment of compliance due to each licence condition being incorporated into document.

The Electricity Compliance Reporting Manual (July 2017) as published on the ERA website specifically classifies each licence condition according to the consequences of non-compliance. The Type 1 obligations are not applicable to Bluewaters Power 1 Pty Ltd as they do not have any small use customers. Additionally, there are a number of Type 2 and NR obligations that also do not apply as detailed in the Audit Plan.

In accordance with the Audit Guidelines (April 2014, section 9.4.3), Bluewaters Power 1 Pty Ltd compliance criteria have been assessed for audit priority by the Auditors and agreed by the Authority.

In order to focus the audit effort and identify areas for testing and analysis a preliminary assessment of the risk and materiality of non-compliance with the Retail Licence was undertaken in accordance with the requirements of AS/NZS 31000 Risk Management Section 5.3 and Appendix 1 of the Audit Guidelines. This assessment rating was reviewed during the audit process subject to the verification of control environment.

2.4 Performance Audit Finding & Recommendations

2.4.1 Performance Audit Compliance Summary

The Audit findings are detailed in Table 3 below, which interprets the findings of Appendix 1 against the Retail Licence clauses. The requirements that were determined to be not applicable in the audit plan have been omitted from this report.

A comprehensive report of the audit findings as applicable to the ERL12 is included in Appendix 1.

TABLE: 2 Audit Compliance and Controls Rating Scale

Performance Audit Compliance & Controls Rating Scales			
Adequacy of Controls Rating		Compliance Rating	
Rating	Description	Rating	Description
A	Adequate controls – no improvement needed	1	Compliant
B	Generally adequate controls – improvement needed	2	Non-Compliant – minor impact on customers or third parties
C	Inadequate controls – significant improvement needed	3	Non-Compliant – moderate impact on customers or third parties
D	No controls evident	4	Non-Compliant – major impact on customers or third parties
NP	Not Performed	NR	Not rated – Determined Not Applicable during the audit period

Table 3: Compliance Summary Table

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating				
			A	B	C	D	NP	1	2	3	4	NR
			SECTION 8: TYPE 1 REPORTING REQUIREMENTS									
REF 234-236 & 257 TYPE 1 REPORTING REQUIREMENTS ALL NOT APPLICABLE AS BLUEWATERS POWER 1 PTY LTD DOES NOT HAVE ANY SMALL USE CUSTOMERS												
SECTION 9: ELECTRICITY INDUSTRY CUSTOMER TRANSFER CODE – LICENCE CONDITIONS AND OBLIGATIONS												
6	Electricity Industry Customer Transfer Code clause 3.2(2)	5	A					1				
7	Electricity Industry Customer Transfer Code clause 3.4(1)	5	A					1				
8	Electricity Industry Customer Transfer Code clause 3.5(3)	4					NP					NR
9	Electricity Industry Customer Transfer Code clause 3.6(2)	4					NP					NR
16	Electricity Industry Customer Transfer Code clause 3.9(1)	4	A					1				
17	Electricity Industry Customer Transfer Code clause 3.9(2)	4					NP					NR
18	Electricity Industry Customer Transfer Code clause 3.9(3)	4					NP					NR
19	Electricity Industry Customer Transfer Code clause 3.9(4)	4		B				1				
23	Electricity Industry Customer Transfer Code clause 4.2(2)	5	A					1				
24	Electricity Industry Customer Transfer Code clause 4.3	5	A					1				
25	Electricity Industry Customer Transfer Code clause 4.4(1)	5	A					1				

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating					
			A	B	C	D	NP	1	2	3	4	NR	
			26	Electricity Industry Customer Transfer Code clause 4.4(2)	5					NP			
27	Electricity Industry Customer Transfer Code clause 4.5(1)	5	A						1				
28	Electricity Industry Customer Transfer Code clause 4.6(3)	4					NP						NR
29	Electricity Industry Customer Transfer Code clause 4.7	5	A						1				
30	Electricity Industry Customer Transfer Code clause 4.8(2)	4					NP						NR
34	Electricity Industry Customer Transfer Code clause 4.9(6)	4	A						1				
39	Electricity Industry Customer Transfer Code clause 4.11(3)	4	A										NR
40	Electricity Industry Customer Transfer Code clause 4.12(3)	5					NP						NR
43	Electricity Industry Customer Transfer Code clause 4.15	5					NP						NR
44	Electricity Industry Customer Transfer Code clause 4.16	4	A						1				
45	Electricity Industry Customer Transfer Code clause 4.17	4					NP						NR
48	Electricity Industry Customer Transfer Code clause 5.2	4	A						1				
48A	Electricity Industry Customer Transfer Code clause 6.1	4	A						1				
49	Electricity Industry Customer Transfer Code clause 6.2	5	A						1				

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating					
			A	B	C	D	NP	1	2	3	4	NR	
			52	Electricity Industry Customer Transfer Code clause 6.4(1)	4					NP			
53	Electricity Industry Customer Transfer Code clause 6.4(2)	4					NP						NR
54	Electricity Industry Customer Transfer Code clause 6.6	4	A						1				
55	Electricity Industry Customer Transfer Code clause 7.1(1)	4					NP						NR
56	Electricity Industry Customer Transfer Code clause 7.1(2)	4					NP						NR
57	Electricity Industry Customer Transfer Code clause 7.1(3)	4					NP						NR
58	Electricity Industry Customer Transfer Code clause 7.2(4)	5					NP						NR
59	Electricity Industry Customer Transfer Code clause 7.3(2)	5					NP						NR
68*	Electricity Industry Customer Transfer Code Annex 6 clause A6.2(a)	5	A						1				
69*	Electricity Industry Customer Transfer Code Annex 6 clause A6.2(b)	2	A							2			
70*	Electricity Industry Customer Transfer Code Annex 6 clause A6.6	5	A						1				
71*	Electricity Industry Customer Transfer Code Annex 6 clause A6.7	5	A						1				

*Note: Applicable from 18 August 2015 to 31 October 2016. Obligation then removed from Electricity Compliance Reporting Manual due to the removal of Annex 6.

SECTION 11 : ELECTRICITY INDUSTRY (CUSTOMER CONTRACTS) REGULATIONS - LICENCE CONDITIONS AND OBLIGATIONS

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating				
			A	B	C	D	NP	1	2	3	4	NR
			REF 78-100, 108-111 ALL NOT APPLICABLE AS BLUEWATERS POWER PTY LTD DOES NOT HAVE ANY SMALL USE CUSTOMERS									
SECTION 12: ELECTRICITY INDUSTRY ACT - LICENCE CONDITIONS AND OBLIGATIONS												
101	Electricity Industry Act section 13(1)	4	A					1				
105	Electricity Industry Act section 17(1)	2		B				1				
106	Electricity Industry Act section 31(3)	4					NP					NR
107	Electricity Industry Act section 41(6)	4	A					1				
113	Electricity Industry Act section 115(2)	4	A					1				
SECTION 13: ELECTRICITY LICENCES - LICENCE CONDITIONS AND OBLIGATIONS												
REF 114-118, 120 ALL NOT APPLICABLE AS BLUEWATERS POWER PTY LTD DOES NOT HAVE ANY SMALL USE CUSTOMERS												
119	Electricity Industry Act section 11 Retail Licence condition 12.1	4	A					1				
121	Electricity Industry Act section 11 Retail Licence condition 14.2	4	A					1				
123	Electricity Industry Act section 11 Retail Licence condition 15.1	4					NP					NR
124	Electricity Industry Act section 11 Retail Licence condition 16.1	2		B					2			
125	Electricity Industry Act section 11 Retail Licence condition 17.1 & 17.2	4					NP					NR

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating				
			A	B	C	D	NP	1	2	3	4	NR
			126	Electricity Industry Act section 11 Retail Licence condition 18.1	4	A					1	
SECTION 14: CODE OF CONDUCT – LICENCE CONDITIONS AND OBLIGATIONS												
THIS SECTION IS ALL NOT APPLICABLE AS BLUEWATERS POWER 1 PTY LTD DOES NOT HAVE ANY SMALL USE CUSTOMERS												
SECTION 15: ELECTRICITY INDUSTRY METERING CODE - LICENCE CONDITIONS AND OBLIGATIONS												
324	Electricity Industry Metering Code clause 3.3B	4	A					1				
339	Electricity Industry Metering Code clause 3.11(3)	4		B								NR
354	Electricity Industry Metering Code clause 3.18(1)	NA	NOT APPLICABLE - ONLY APPLICABLE TO SYNERGY AS THE ELECTRICITY RETAIL CORPORATION									
364	Electricity Industry Metering Code clause 3.27	4					NP					NR
371	Electricity Industry Metering Code clause 4.4(1)	5					NP					NR
372	Electricity Industry Metering Code clause 4.5(1)	5	A					1				
373	Electricity Industry Metering Code clause 4.5(2)	4		B				1				
388	Electricity Industry Metering Code clause 5.4(2)	5					NP					NR
401	Electricity Industry Metering Code clause 5.16	4					NP					NR
402	Electricity Industry Metering Code clause 5.17(1)	4					NP					NR
405	Electricity Industry Metering Code clause 5.18	4					NP					NR

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating					
			A	B	C	D	NP	1	2	3	4	NR	
			406	Electricity Industry Metering Code clause 5.19(1)	5					NP			
407	Electricity Industry Metering Code clause 5.19(2)	5	A					1					
408	Electricity Industry Metering Code clause 5.19(3)	4		B									NR
410	Electricity Industry Metering Code clause 5.19(6)	5					NP						NR
416	Electricity Industry Metering Code clause 5.21(5)	4					NP						NR
417	Electricity Industry Metering Code clause 5.21(6)	4					NP						NR
435	Electricity Industry Metering Code clause 5.27	2					NP						NR
448	Electricity Industry Metering Code clause 6.1(2)	4	A					1					
451	Electricity Industry Metering Code clause 7.2(1)	5	A					1					
453	Electricity Industry Metering Code clause 7.2(4)	4					NP						NR
454	Electricity Industry Metering Code clause 7.2(5)	4	A					1					
455	Electricity Industry Metering Code clause 7.5	4	A					1					
456	Electricity Industry Metering Code clause 7.6(1)	4					NP						NR
457	Electricity Industry Metering Code clause 8.1(1)	5					NP						NR

Compliance Obligation Reference No.	Licence Reference	Audit Priority	Adequacy of Controls Rating					Compliance Rating					
			A	B	C	D	NP	1	2	3	4	NR	
			458	Electricity Industry Metering Code clause 8.1(2)	5					NP			
459	Electricity Industry Metering Code clause 8.1(3)	5					NP						NR
460	Electricity Industry Metering Code clause 8.1(4)	4					NP						NR
461	Electricity Industry Metering Code clause 8.3(2)	5					NP						NR
SECTION 17: ELECTRICITY LICENCES - LICENSEE SPECIFIC CONDITIONS AND OBLIGATIONS													
THIS SECTION IS NOT APPLICABLE TO BLUEWATERS POWER 1 PTY LTD AS THERE HAVE BEEN NO SPECIFIC CONDITIONS AND OBLIGATIONS ATTACHED TO THE RETAIL LICENCE													

2.4.2 Previous Audit Findings and Recommendations

This is the third Performance Audit for ERL12 the following table address the previous audit recommendations and non-compliances.

Table 4 : Previous audit non compliances and recommendations

TABLE OF PREVIOUS NON-COMPLIANCES & AUDIT RECOMMENDATIONS				
A Resolved before end of previous audit period				
Reference (no./year)	(Compliance rating/ Legislative Obligation/ details of the issue)	Auditors' Recommendation or action taken	Date Resolved	Further action required (Yes/No/Not Applicable) & Details of further action required including current recommendation reference if applicable
Not Applicable				
B Resolved during current audit period				
Reference (no./year)	(Compliance rating/ Legislative Obligation/ details of the issue)	Auditors' Recommendation or action taken	Date Resolved	Further action required (Yes/No/Not Applicable) & Details of further action required including current recommendation reference if applicable
Not Applicable (Note: Actions Undertaken Assessment of the Effectiveness of the Actions Result in Category C)				
C Unresolved at end of current Audit period				
Reference (no./year)	(Compliance rating/ Legislative Obligation/ details of the issue)	Auditors' Recommendation or action taken	Date Resolved	Further action required (Yes/No/Not Applicable) & Details of further action required including current recommendation reference if applicable
1/2014 Ref 19 48* 469 ** Note: Ref 48* is obsolete as of 31/10/2016 due to removal of Annex 6.	Compliant - 4 BP1 (i.e. BW1) develop simple guidance documents to assist in ensuring that relevant staff: • Are aware of BP1's obligations under the relevant Licence condition, Customer Transfer Code and Metering Code	BP1 will develop a guidance document, which outlines: • BP1's key obligations under the relevant Licence condition, Customer Transfer Code and Metering Code • Instances which trigger those requirements The guidance document will be communicated to relevant staff.	Unresolved	Further Action Required: YES The Licensee is currently progressing with a Compliance Review under the direction of the CEO and management of the GM of HR. It is understood that the requirements of ERL12 will form part of the control processes developed. The project has commenced and a time line for completion has been established. This was sighted during the audit.

<p>Replaced by Ref 48A</p> <p>Ref 469** Now 448 refer Electricity Compliance Reporting Manual – July 2017</p>	<ul style="list-style-type: none"> Recognise instances which trigger those requirements, such as any new interaction with customers Follow the correct procedures for complying with those requirements. 	<p>Responsible Person: General Manager Finance & Accounting</p> <p>Target Date: 31 March 2015</p>		
<p>2/2014</p> <p>Ref 105 124</p>	<p>Compliant - 4</p> <p>BP1 apply an effective compliance framework to its Licence obligations to enable:</p> <ul style="list-style-type: none"> Key compliance requirements to be recognised by all relevant staff Key dates and actions required by applicable legislation to be monitored Reminders to be set to ensure completion If appropriate, an internal compliance audit process to be applied. 	<p>BP1 will implement an Excel based compliance management process to capture key Licence compliance requirements (including relevant dates and actions required) and to track the completion of those actions.</p> <p>Responsible Person: General Manager Environment Safety & Compliance</p> <p>Target Date: 31 March 2015</p>	<p>Unresolved.</p>	<p>Further Action Required: YES</p> <p>The Excel spreadsheet (Compliance Monitoring Spreadsheet) was developed but was not implemented and the copies sighted during the audit were out of date. It was also not used on site by persons responsible for the obligations. The current Compliance Program implemented at the directive of the CEO that the organisation is undertaking should adequately address this recommendation. Refer 1/2014. It is noted that the General Manager Environment and Compliance is no longer responsible for this action.</p>
<p>3/2014</p> <p>Ref 53 123 126 475*</p> <p>*Now Ref 454</p>	<p>Compliant – 3</p> <p>BP1 establish an effective records management framework and function to support (among other business needs) its requirements for maintaining records of correspondence and other key references relevant to its Licence obligations.</p>	<p>In its implementation of the TRIM document management system, BP1 will accommodate the requirement to maintain records of key documents and references relevant to its Licence obligations.</p> <p>Responsible person: General Manager Environment Safety & Compliance</p> <p>Target date: 31 March 2015</p>	<p>Unresolved</p>	<p>Further Action Required: YES</p> <p>The Licensee is currently progressing with a Compliance Review under the direction of the CEO and management of the GM of HR. The Document Structure and Control System is being redone and a new system implemented. This will form part of the processes developed. The project has commenced and a time line for completion has been established. This was sighted during the audit.</p>

2.4.3 Performance Audit Summary of Current Audit Non-Compliances & Recommendations

Table 5 below details the Summary Current Audit Non-Compliances and Recommendations as required by the Authority (Section 11.6 of Audit & Review Guidelines).

Table 5: Current Audit Non-Compliances and Recommendations

TABLE OF CURRENT AUDIT NON COMPLIANCES/RECOMMENDATIONS				
A. RESOLVED DURING CURRENT AUDIT PERIOD				
Reference (no./year)	(Compliance rating/ Legislative Obligation/ details of the issue)	Auditors' Recommendation or action taken	Date Resolved	Further action required (Yes/No/Not Applicable) & Details of further action required including current recommendation reference if applicable
Not Applicable				
B. UNRESOLVED AT END OF CURRENT AUDIT PERIOD				
Manual Ref/Year	Non Compliance/Controls Improvement (Rating/ Legislative Obligation/ Details of Non Compliance or Inadequacy of Controls)	Auditors Recommendation	Management action taken by end of Audit period	
1/2018 Ref 45	Compliant – NP NR - Billing CONTROLS IMPROVEMENT The licensee is moving towards automated data management as part of an upgrade to their Oracle database. The licensee has identified that new processes will need to be implemented to ensure continued compliance.	Ensure data management controls are implemented following the Oracle Upgrade to ensure billing errors can be prevented.	None	
2/2018 Ref 105	Compliant B1- Payment of Fees The organisation has complied with the payment terms for its Retail Licence during the audit period, however, it is noted that late payment of fees has occurred for EGL4 and EGL17. System deficiencies resulting in the late payment of fees could impact on future compliance. It is also noted the document detailed as being developed by the licensee in response to this obligation from the previous audit	Ensure the obligation relating to ERL12 payment of fees annually by the 14 th Septembers is captured in the compliance process.	The organisation has allocated resources to improve compliance at the directive of the CEO.	

	report is not well implemented (refer Finding 2/2014).		
3/2018 Ref 124	<p>Non- Compliant B2 – Compliance Reports</p> <p>The 2016 Annual Compliance Report was submitted late and all other reports during the audit period were submitted on or just prior to the due date. The Compliance Monitoring Spreadsheet developed following the previous audit report was found to be ineffective in ensuring compliance. This finding was identified in the previous audit refer 2/2014.</p>	Develop a compliance process to ensure reporting requirements are adhered to.	The organisation is currently addressing compliance under the directive of the CEO and it is recommended that this requirement is captured in this process to ensure ongoing compliance.
4/2018 Ref 339 & 408	<p>Compliant – BNR – Notification of meter data discrepancy/ change to site attributes</p> <p>There is no formalised process established to record initial contact by a customer other than email for meter discrepancy queries or changes to site attributes. As such, currently there would be no other measurable way of determining communication as soon as practicable or whether the 1 business day rule has been met unless this initial contact is recorded. Further compliance with requirement is not captured in the Compliance Monitoring Spreadsheet.</p>	Establish business process to ensure the initial contact made by a customer or contact made by BW1 Pty Ltd to customer or WPN is better tracked where the contact is made via telephone or verbal in nature. This will assist in ensuring compliance with clause 4.5(2) of the Metering Code.	None

2.4.4 Post Audit Implementation Plan

As stipulated in section 11.8 of the Audit & Review Guidelines (April 2014), the Audit Team notes that the Performance Audit Post Implementation Plan does not form part of the Audit Opinion. It is the responsibility of the licensee to ensure actions are undertaken. A post audit implementation will be submitted separately to this audit report by the Licensee if required.

APPENDIX 1

BLUEWATERS POWER 1 PTY LTD
PERFORMANCE AUDIT
MARCH 2018

REF*	LICENCE CONDITION	RELATED LEGISLATION	LEGISLATIVE/LICENCE REQUIREMENT	AUDIT PRIORITY	AUDITING FINDING ▪ RELATED DOCUMENTATION &/OR CONTROL SYSTEMS/AUDIT EVIDENCE → CORRECTIVE ACTION (CA) OPPORTUNITY FOR IMPROVEMENT	ADEQUACY OF CONTROLS	COMPLIANCE RATING
SECTION 8: TYPE 1 REPORTING REQUIREMENTS							
BLUEWATERS POWER 1 PTY LTD DOES NOT HAVE ANY RESIDENTIAL CUSTOMERS THEREFORE OBLIGATIONS NOT APPLICABLE							
SECTION 9: ELECTRICITY INDUSTRY CUSTOMER TRANSFER CODE - LICENCE CONDITIONS AND OBLIGATIONS							
6	<i>Electricity Industry (Licence Conditions) Regulations r 5(2)</i>	<i>Electricity Industry Customer Transfer Code clause 3.2(2)</i>	A retailer must submit a separate data request for each exit point unless otherwise agreed	5	Compliance is inherent in the Web Portal system design. The system only allows separate data requests. ▪ Web Portal system ▪ BW1 Pty Ltd Personnel interviewed; - Financial Analyst	A	1

7	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.4(1)	<p>Unless otherwise agreed with a <i>network operator</i>, a <i>retailer</i>—</p> <p>(a) must submit a <i>data request</i> to the <i>network operator electronically</i>; and</p> <p>(b) must not submit to a <i>network operator</i> in a <i>business day</i>—</p> <p>(i) more than 20 <i>requests for standing data</i>; and</p> <p>(ii) more than 20 <i>requests for historical consumption data</i>.</p>	5	<p>Generally, the system control is the web portal only allows 20 requests for standing data and 20 requests for historical consumption data. An exception message will come back if greater than 20 requests (or the agreed amount) are made. The Web Portal acts as the only access for data. A review of the activity over the audit period indicates that there were 2 occasions during the audit period (19/8/14 and 11/10/17) where bulk transfers were requested. On both occasions liaison with Metering Services was noted and a review of all transfers on the Web Portal confirmed this. The portal is amended to allow the transaction to occur after the bulk transfer the parameters are reverted back to the 20 limit.</p> <ul style="list-style-type: none"> ▪ Review Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
8	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.5(3) - 5(2)	<p>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.</p>	4	<p>During the audit period the withdrawal of the request for historical consumption did not occur as such assessment of compliance with this required cannot be made.</p> <ul style="list-style-type: none"> ▪ Review Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR

9	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.6(2)	A retailer must pay any reasonable costs incurred by the network operator for work performed in relation to a request for historical consumption data that has been subsequently withdrawn.	4	There have been no occurrences of costs incurred during the audit period. As such assessment of compliance with this requirement cannot be made <ul style="list-style-type: none"> ▪ Review Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
16	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.9(1)	A retailer may only use data relating to a contestable customer to provide a contestable customer with a quotation for the supply of electricity by the retailer to the contestable customer or to initiate a transfer in relation to the contestable customer.	4	The licensee has responded to tenders for new customers during the audited period. Records for written consent were sighted. The Financial Analyst confirmed all CTR would be initiated with relevant customer data. Customer files are maintained electronically. No new customers were engaged during the audit period. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
17	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.9(2)	A retailer must not aggregate a contestable customer's historical consumption data with that of other contestable customers for the purposes of internal business development, if requested not to do so by the customer.	4	During the audit period there have been no requests to not aggregate a contestable customer's historical consumption data. Data is aggregated as part of normal business procedures. As such this requirement has not been rated. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR

18	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.9(3)	A retailer must not disclose a contestable customer's data to any other person without the verifiable consent of the contestable customer, except in the circumstances defined.	4	<p>The organisation maintains copies of its customer's verifiable consent (VC) electronically. The organisation is aware of the requirement to maintain VC and has established processes for managing the obtaining of VC. These have been implemented from the records of the files reviewed. During the audit period the licensee has not disclosed a contestable customer's data.</p> <ul style="list-style-type: none"> ▪ Customers ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
19	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 3.9(4)	A retailer must keep a copy of the verifiable consent received from a contestable customer for two years.	4	<p>Copies of verifiable consent are maintained. It is noted that the organisation retains records for greater than the 2 year period, as yet no records have been archived or disposed. There are adequate systems established for backing up and preservation of data.</p> <p>In all instances reviewed the obligation of verifiable consent was fulfilled and the relevant paperwork located.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	B	1

23	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.2(2)	A retailer must submit a separate customer transfer request for each exit point unless otherwise agreed.	5	<p>Web portal only allows for singular submissions, compliance is inherent in system design.</p> <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
24	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.3	A retailer's reason for a transfer must be specified in the customer transfer request form as either to transfer a contestable customer to the retailer which submitted the customer transfer request or to reverse an erroneous transfer.	5	<p>Sample of transfers sighted on Web Portal. There were no erroneous transfers observed during the audit period under "Transfer Type".</p> <p>System Control as description of transfer is mandatory field i.e. drop down list</p> <ul style="list-style-type: none"> ▪ Web Portal i.e. system controls ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
25	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.4(1)	A retailer may only submit a customer transfer request if it has an access contract for the network, unless it is to reverse an erroneous transfer.	5	<p>All transfers conducted on Web Portal. Confirmed BW1 has a valid ETAC. Without which the organisation would not be able to submit customer transfer request forms through network operator's web portal.</p> <p>The CTR details are part of the CTR section of the Web Portal. If the access contract is not specified then Metering will not authorise and will contact the WP Account Manager to liaise for resolution.</p>	A	1

					<ul style="list-style-type: none"> ▪ ETAC ▪ Web Portal ▪ WP Liaison ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
26	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.4(2)	A retailer that submits a customer transfer request to reverse an erroneous transfer must ensure the transfer was made in error and, if it is an incoming retailer, confirm the identity of the previous retailer.	5	<p>All transfers conducted on Web Portal. There were no erroneous transfers observed during the audit period under "Transfer Type". Report provided by the Financial Analyst. As such this requirement cannot be rated.</p> <ul style="list-style-type: none"> ▪ Web Portal i.e. system controls ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
27	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.5(1)	A retailer, unless otherwise agreed, must submit a customer transfer request electronically and must not submit more than a prescribed number of customer transfer requests in a business day or with the same nominated transfer date	5	<p>All transfers are undertaken on Web Portal.</p> <p>Generally, the number of customer transfer requests is inherent in the system design. The web portal only allows 20 transfers per day.</p> <p>Relevant BW1 personnel were all aware of limits, however, during the audit period there were 2 instances where the system limit of 20 per day was required to be exceeded. Liaison with WPN was verified. Refer Obligation 7.</p>	A	1

					<ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
28	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.6(3)	A retailer must withdraw a customer transfer request if the contestable customer's verifiable consent ceases to apply before the transfer occurs.	4	<p>There were no instances where a customer transfer request was withdrawn due to expirations of verifiable consent.</p> <ul style="list-style-type: none"> ▪ Customer Files ▪ Verifiable Consent ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
29	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.7	A retailer must nominate a transfer date in a customer transfer request in accordance with specified timeframes, except if the customer transfer request is to reverse an erroneous transfer.	5	<p>Compliance is inherent in system design, date of transfer must be nominated to successfully submit transfer. Further, the web portal would automatically reject any nominated transfer dates that exceed the specified timeframes. There have been no erroneous transfers during the audit period. BW1 Personnel interviewed were all aware of system requirements. Web Portal was reviewed with the Financial Analyst.</p> <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1

30	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.8(2)	A retailer must pay any reasonable costs incurred by a network operator for providing and/or installing a meter if a customer transfer request is withdrawn.	4	During the audit period there were no instances where costs were incurred by the Network Operator as a result of the CTR being withdrawn. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
34	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.9(6)	A network operator and retailer must agree to a revised nominated transfer date in certain circumstances.	4	Web portal used for communicating revised transfer dates. Discussion with the Financial Analyst demonstrated knowledge of the requirement to schedule transfers on a business day. There has been the requirement to revise a transfer date during the audit period. Communication and explanation of the circumstances were sighted during the audit. <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
39	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.11(3)	A network operator and the retailer must take certain action if the contestable customer's meter is not read on the nominated transfer date.	4	Once the CTR is completed with nominated transfer date, meter readings from the network operator are provided in half hour intervals on the nominated transfer date. During the audit period there has been an instances of meter readings not being received on the nominated transfer date. Rescheduling was noted in the Web Portal and	A	1

					communication with the network operator. <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
40	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.12(3)	The parties to an access contract must negotiate in good faith any necessary amendments to the access contract arising from certain circumstances.	5	BW1 is currently operating under an ETAC negotiated in October 2010. The ETAC sighted has not been amended during the audit period. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
43	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.15	In the case of a transfer to reverse an erroneous transfer, a network operator and all affected retailers (and the independent market operator if applicable) must act in good faith to ensure that the rights and obligations of the affected contestable customer are as they would have been had the erroneous transfer not occurred.	5	During the audit period there were no erroneous transfers. Reviewed web portal for Customers. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
44	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.16	An incoming retailer must retain a copy of a verifiable consent given by a contestable customer in relation to the lodgement of a customer transfer request for two years, except in the case of a customer transfer request to reverse an erroneous transfer.	4	The organisation maintains copies of verifiable consent on the customer files in electronic form on the server. This cloud based system is backed up and accessible for relevant employees. No	A	1

					documents have been destroyed since commencement. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed Financial Analyst 		
45	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 4.17	A previous retailer must not bill a contestable customer for charges incurred after the transfer time, except in the case of an erroneous transfer.	4	<p>Confirmed through discussion with the Financial Analyst that billing procedures do not allow the billing of a customer once they transfer to another retailer, primarily because the data is unavailable and customer base is small therefore the licensee has good knowledge regarding billing status. There were no erroneous transfers during the audit period. As such, assessment of compliance cannot be made.</p> <p>In addition, Web Portal System Control. WP will not send data to BW1 after the transfer date. During the audit period the process was manual but the licensee is looking to automate the system as part of the Oracle upgrade and has identified that new processes will need to be implemented.</p> <ul style="list-style-type: none"> ▪ Customer bills ▪ WEFS ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>RECOMMENDATION 1/2018</p> <p>REF 45 - COMPLIANT (B1) → Establishing protocols for data</p>	NP	NR

					checks to eliminate billing errors could be considered following the Oracle Upgrade.		
48	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 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.	4	<p>All transfers and data transactions are undertaken electronically through the web Portal and/or via email communication between Western Power Account Manager and BW1 Personnel. No issues were identified.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>Note: This obligation applied for the audit period 1/1/2014 to 31/10/2016.</p>	A	1
48A	Electricity Industry (Licence Conditions) Regulations regulation 5(2)	Electricity Industry Customer Transfer Code clause 6.1	All notices must be in writing and delivered as described in subclauses 6.1(a)-(c).	4	<p>Communication processes are established between Western Power and BW1 Pty Ltd. No issues were identified. The licensee can receive and deliver notices in email, post and fax. Majority of notices are via electronic communication.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
49	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 6.2	A licensee's notice in relation to a data request or customer transfer request must identify the exit point to which it relates.	5	<p>Compliance is inherent in system design, specification of the NMI is a mandatory field.</p> <ul style="list-style-type: none"> ▪ Web Portal 	A	1

					<ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 		
52	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 6.4(1)	A retailer must notify its contact details to a network operator within three business days of a request	4	<p>Evidence of communication processes throughout the audit period. There has been no specific request for contact details. Assessment of compliance with this requirement could not be made.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
53	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 6.4(2)	A retailer must notify any change in its contact details to a network operator at least three business days before the change takes effect.	4	<p>There have been no changes to contact details during the audit period.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
54	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 6.6	A network operator or a retailer must send required electronic communications to the applicable electronic communication address, in accordance with Annex 6.	4	<p>Web Portal design parameters ensure compliance with this requirement.</p> <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	A	1
55	Electricity Industry (Licence Conditions)	Electricity Industry Customer	For a dispute in respect of a matter under or in connection with the Electricity Industry Customer Transfer Code, any disputing party must meet within five business days of a request from another disputing party and	4	<p>There have been no disputes in respect to a matter under or in connection with this requirement during the audit period. As such assessment of compliance with</p>	NP	NR

	Regulations r 5(2)	Transfer Code clause 7.1(1)	attempt to resolve the dispute by negotiations in good faith.		respect to meeting within 5 business days cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
56	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 7.1(2)	If the negotiations in 7.1(1) of the Electricity Industry Customer Transfer Code do not resolve the dispute within 10 days after the first meeting, the dispute must be referred to the senior executive officer of each disputing party who must attempt to resolve the dispute by negotiations in good faith	4	There have been no disputes during the audit period that have been elevated for management in accordance with this requirement. As such assessment of compliance with the Dispute Resolution requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
57	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 7.1(3)	If the dispute is resolved, the disputing parties must prepare a written and signed record of the resolution and adhere to the resolution.	4	There have been no disputes during the audit period that have been elevated for management in accordance with this requirement. As such assessment of compliance with the Dispute Resolution requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
58	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 7.2(4)	A disputing party that refers a dispute to the Authority must give notice to the Authority of the nature of the dispute, including specified details	5	There have been no disputes during the audit period that have been elevated for management in accordance with this requirement. As such assessment of compliance with the Dispute Resolution requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed 	NP	NR

					- Financial Analyst		
59	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code clause 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	5	There have been no disputes during the audit period that have been elevated for management in accordance with this requirement. As such assessment of compliance with the Dispute Resolution requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
68*	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code Annex 6 clause A6.2(a)	A network operator and a retailer must use reasonable endeavours to ensure that its information system on which electronic communications are made is operational 24 hours a day and 7 days a week.	5	The organisation has implemented computer systems are backed up and available. There were no instances during the audit period where the BW1 Pty Ltd systems were unavailable for any time and systems have not been restored from backup due to failure. During the audit period this obligation applied from 1/1/2014 to 31/10/2016. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst - IT Infrastructure Manager 	A	1
69*	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code Annex 6 clause A6.2(b)	A network operator and a retailer must establish a mechanism to generate an automated response message for each electronic communication (other than an automated response message) received at the electronic communication address.	2	Correspondence between WP and BW1 Pty Ltd is maintained in the Web Portal. Historical messages can be seen through the “view messages” function. Correspondence is tagged as either pending, completed or rejected, i.e. market transaction list.	A	2

					<p>The licensee was non-compliant during the audit period until the obligation ceased to apply in September 2016. Prior to this there was no automated response message established and this was reported in the 2016 Annual Compliance Report.</p> <p>The 2004 version of the Customer Transfer Code Annex 6 A6.1 - Electronic Communications Protocol referred to email communication having automated response requirement. The revised (September 2016) Code deleted this requirement. As such this condition was only applicable until 20 September 2016. No recommendation is made as the obligation ceases to apply.</p> <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
70*	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code Annex 6 clause A6.6	The originator of an electronic communication must identify itself in the communication.	5	<p>The web portal has an automated process to ensure this is undertaken. A review of automated response messages confirmed that the electronic communication identified the originator (i.e. dependent on BW1 Pty Ltd user, as each has own login profile) and templates are used to submit requests through the web portal.</p> <p>Standard email signatures and letter templates used for other communication.</p>	A	1

					<ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>During the audit period this obligation applied from 1/1/2014 to 31/10/2016.</p>		
71*	Electricity Industry (Licence Conditions) Regulations r 5(2)	Electricity Industry Customer Transfer Code Annex 6 clause A6.7	The originator of an electronic communication must use reasonable endeavours to adopt a consistent data format for information over time, to facilitate any automated processing of the information by the addressee.	5	<p>The Web Portal is used as a primary means of communication between WP and BW1 Pty Ltd. The system application allows automatic transfer of data.</p> <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
*Note: Applicable from 18 August 2015 to 31 October 2016. Obligation then removed from Electricity Compliance Reporting Manual due to the removal of Annex 6.							
Section 11: Electricity Industry (Customer Contracts) Regulations – Licence Conditions and Obligations							
REF 78-100 ALL NOT APPLICABLE AS BLUEWATERS POWER 1 PTY LTD DOES NOT HAVE ANY SMALL USE CUSTOMERS							
SECTION 12: ELECTRICITY INDUSTRY ACT - LICENCE CONDITIONS AND OBLIGATIONS							
101	Retail Licence condition 14.1	Electricity Industry Act section 13(1)	A licensee must, not less than once every 24 months, provide the Authority with a performance audit conducted by an independent expert acceptable to the Authority.	4	The requirement for the audit is monitored by the Financial Analyst. Additionally it is raised in email communications and correspondence with the Secretariat, as well as being noted but not tracked in a Compliance	A	1

					<p>Monitoring Spreadsheet. This is the third retail licence audit.</p> <ul style="list-style-type: none"> ▪ Compliance Monitoring Spreadsheet (Excel Spreadsheet) ▪ ERA correspondence ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
105	Retail Licence condition 4.1	Electricity Industry Act section 17 (1)	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 i.e. 19 September each year	2	<p>Licence fees are due to be paid by the 14 September each year and were paid during the audit period as follows;</p> <ul style="list-style-type: none"> - ERA Invoice ERA 100198 (Issued on 5 August 2014) and Paid 05/09/2018 - ERA Invoice ERA100435 (issued on 31 July 2015) and Paid 03/09/2015 - ERA Invoice ERA 100819 8/8/16 (issued on 8 August 2016) and Paid 08/08/16 - ERA Invoice ERA 101229 (issued on 8 August 2017) and Paid 18/08/17 <ul style="list-style-type: none"> ▪ Invoice issued by the Authority ▪ Record of Payment in accounts system ▪ Compliance Monitoring Spreadsheet ▪ BW1 Pty Ltd Personnel interviewed 	B	1

					<p>- Financial Analyst</p> <p>RECOMMENDATION 2/2018</p> <p>REF 105 – COMPLIANT (B1) → During the audit period the licence fees have been paid within the specified timeframe (i.e by the 14th September annually). It is noted that a recommendation for a compliance scheduling process has formed part of the audit recommendations since the licence was granted and as yet an effective compliance scheduling process has not been developed. The organisation is currently developing a corporate compliance framework as instructed by the CEO. This was reviewed during the site visit. It is recommended that although compliant during the audit period this obligation should be captured to ensure ongoing compliance achieved.</p>		
106	Retail Licence condition 5.1	Electricity Industry Act section 31 (3)	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.	4	<p>In general, the supply of electricity is managed by WPN and is essentially outside the control Bluewaters Power 1. With regard to its retail licence BW1 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.</p> <p>As such assessment of compliance with this requirement cannot be made.</p>	NP	NR

					<ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
107	Retail Licence condition 5.1	Electricity Industry Act section 41(6)	A licensee must pay the costs of taking an interest in land or an easement over land.	4	<p>The General Manager Finance & Accounting confirmed that during the period 1 January 2014 to 31 December 2017, BW1</p> <ul style="list-style-type: none"> - Continued to lease the land on which its power plant is located - Did not obtain any further interest or easement over land. <p>As BW1 has not obtained ownership in or easement over land during the period subject to audit, there has been no requirement for BW1 to pay for the associated costs other than associated with lease agreement.</p>	A	1
108-111	Not Applicable as identified in the Audit Plan						
113	Retail Licence condition 5.1	Electricity Industry Act section 115(2)	A licensee that has, or is an associate of a person that has, access to services under an access agreement must not engage in conduct for the purpose of hindering or prohibiting access	4	<p>BW1 Pty Ltd has an ETAC and establishes Power Purchase Agreements (PPAs) with Customers. Requirements within these agreements provide adequate controls preventing the potential to engage in conduct for the purpose of hindering or prohibiting access. There have been no complaints or issues in this regard noted during the audit period.</p>	A	1

					<ul style="list-style-type: none"> ▪ ETAC ▪ PPA ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst - 		
SECTION 13: ELECTRICITY LICENCES - LICENCE CONDITIONS AND OBLIGATIONS							
114-118 120	Not Applicable as identified in the Audit Plan						
119	Retail Licence condition 12.1	Electricity Industry Act section 11	A licensee and any related body corporate must maintain accounting records that comply with the Australian Accounting Standards Board Standards or equivalent International Accounting Standards.	4	<p>The BW1 Pty Ltd financial reports have been prepared by third party accountants. Financial Report contain statement of compliance that the statements have been prepared in accordance with all Australian Accounting Standards and Interpretations.</p> <p>It is noted that the financial statements are prepared on a financial year ending 31st March in accordance with statutory requirements.</p> <ul style="list-style-type: none"> ▪ Bluewaters Power 1 Financial Statements YE 31 March 2014 ▪ Bluewaters Power 1 Financial Statements YE 31 March 2015 ▪ Bluewaters Power 1 Financial Statements YE 31 March 2016 	A	1

					<ul style="list-style-type: none"> ▪ Bluewaters Power 1 Financial Statements YE 31 March 2017 ▪ Bluewaters Power 1 Half Yearly Financial Statements 30 Sept 2017 Bluewaters Power 1 Quarterly Performance Report 31 Dec 2017 ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - GM Finance & Accounting - Financial Analyst 		
121	Retail Licence condition 14.2	Electricity Industry Act section 11	A licensee must comply, and require its auditor to comply, with the Authority's standard audit guidelines dealing with the performance audit.	4	<p>Direct instructions from Licensee to Auditor to comply with the ERA guidelines.</p> <p>Copies of communications received from ERA relating to audit requirements sent by BW1 Pty Ltd through to Auditor to convey requirements specifically the undertaking of audits in compliance with the Audit & Review Guidelines: Electricity, Gas and Water Licences.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
123	Retail Licence condition 15.1	Electricity Industry Act section 11	A licensee must report to the Authority, in the manner prescribed, if a licensee is under external administration or there is a significant change in the circumstances upon which the licence was granted which	4	During the Audit Period BW1 Pty Ltd was not under external administration and had not undergone any significant change in circumstances upon which the licence was granted, which may affect its ability to meet its licence obligations. As	NP	NR

			may affect a licensee's ability to meet its obligations.		such there was no assessment with this requirement to report to the Authority was made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - GM Finance and Accounting 		
124	Retail Licence condition 16.1	Electricity Industry Act section 11	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. .	2	<p>During the Audit Period the Licensee has provided the Authority information it required in connection with its functions under the Electricity Industry Act.</p> <p>Every licensee is required to submit a compliance report to the Authority covering all of its type 1 and type 2 licence obligations for each financial year (1 July to 30 June inclusive) by 31 August immediately following the year that is the subject of the report. During the audit period the reports were submitted;</p> <ul style="list-style-type: none"> - 2014 Report 26th August - 2015 Report 29th September - 2016 Report 30th August - 2017 Report on the 31st August <ul style="list-style-type: none"> ▪ Compliance Monitoring Spreadsheet ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>RECOMMENDATION 3/2018</p> <p>REF 124 – NON-COMPLIANCE (B2) → The 2015 Compliance Report was</p>	B	2

					submitted after the specified date and has been noted in the 2016 Compliance Report. Explanation for the breach was due to staffing changeover and a Compliance Monitoring Spreadsheet was established. It is noted that all other reports were submitted on or just before the August 31 due date. The Compliance Monitoring Spreadsheet is not implemented and maintained and as such ineffective. The organisation is currently addressing compliance under the directive of the CEO and it is recommended that this requirement is captured in this process to ensure ongoing compliance.		
125	Retail Licence condition 17.1 & 17.2	Electricity Industry Act section 11	A licensee must publish any information it is directed by the Authority to publish, within the timeframes specified	4	The Authority has not directed any information to be published during the audit period, as such, assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ Review ERA Website ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
126	Retail Licence condition 18.1	Electricity Industry Act section 11	Unless otherwise specified, all notices must be in writing.	4	During the audit period notices received from the Authority have been in writing. Specific notices in relation to direction and communication are retained and have been reviewed as part of the audit.	A	1

					<ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 		
SECTION 15: ELECTRICITY INDUSTRY METERING CODE - LICENCE CONDITIONS AND OBLIGATIONS							
324	Retail Licence condition 5.1	Electricity Industry Metering Code clause 3.3B	A user who is aware of bi-directional flows at a metering point which was not previously subject to a bi-directional electricity flows or any changes in a customer's or user's circumstances in a metering point which will result in bi-directional electricity flows must notify the network operator within 2 business days.	4	<p>BW1 Pty Ltd confirmed that during the period 1 January 2014 to 31 December 2017, no metering installations became subject to bi-directional electricity flows.</p> <ul style="list-style-type: none"> ▪ Web Portal ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	A	1
339	Retail Licence condition 5.1	Electricity Industry Metering Code clause 3.11(3)	A Code participant who becomes aware of an outage or malfunction of a metering installation must advise the network operator as soon as practicable.	4	<p>WPN has primary responsibility for the management and monitoring of meters. Generally, customer queries or a review of billing data prior to issue will identify these anomalies. There were no outages or malfunctions identified during the audit period.</p> <p>However, the process for a customer query with regard to billing was reviewed during the audit and whilst it was well managed and due to the small size of the organisation well communicated, the initial contact by the customer could be better tracked where the contact is via telephone and not email. The Licensee stated their normal process was to ensure that every phone query be followed up in writing. This requirement is not documented. Discrepancies in data</p>	B	NR

					<p>and as such potential outage or malfunction of meters can be identified through this avenue as customers may query accounts in relation to operational needs.</p> <ul style="list-style-type: none"> ▪ Review of communication with WPN ▪ WEFS ▪ Customer Accounts ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>RECOMMENDATION 4/2018</p> <p>339 - CONTROLS IMPROVEMENT (BNR) → Establish a formalised business process to ensure the initial contact made by a customer or contact made by BW1 Pty Ltd to customer or WPN is better tracked where the contact is made via telephone or verbal in nature. This will assist in ensuring compliance with clause 4.5(2) of the Metering Code.</p>		
364	Retail Licence condition 5.1	Electricity Industry Metering Code clause 3.27	A person must not install a metering installation on a network unless the person is the network operator or a registered metering installation provider for the network operator doing the type of work authorised by its registration.	4	<p>BW1 Pty Ltd does not undertake the installation of meters. The licensee utilises WPN for meter installations.</p> <ul style="list-style-type: none"> ▪ ETAC ▪ BW1 Pty Ltd Personnel interviewed 	NP	NR

					- Financial Analyst		
371	Retail Licence condition 5.1	Electricity Industry Metering Code clause 4.4(1)	If there is a discrepancy between energy data held in a metering installation and data held in the metering database, the affected Code participants and the network operator must liaise together to determine the most appropriate way to resolve a discrepancy.	5	<p>During the audit period there have been several instances sighted where discrepancies were noted. Liaison with Readings Management (formally Internal Data Management) has resolved the issues.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	A	NR
372	Retail Licence condition 5.1	Electricity Industry Metering Code clause 4.5(1)	A Code participant must not knowingly permit the registry to be materially inaccurate.	5	<p>This is primarily the responsibility of WPN. However, BW1 Pty Ltd may identify errors through internal review systems, customer enquiries, etc and will liaise with WPN.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	A	1
373	Retail Licence condition 5.1	Electricity Industry Metering Code clause 4.5(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 i.e. 2 business days	4	<p>Regular discussions are held with WP account manager. Any queries into discrepancies are followed up in a timely manner.</p> <p>Discussion with Financial Analyst confirmed the function to submit queries to WP and monitor their progress (timelines of actioning). As previously detailed establishing procedures around recording initial contact will allow continued compliance with this requirement.</p> <ul style="list-style-type: none"> ▪ Review of communication with WPN 	B	1

					<ul style="list-style-type: none"> ▪ WEFS ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>REFER RECOMMENDATION 5/2018</p>		
388	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.4(2)	A user must, when reasonably requested by a network operator, use reasonable endeavours to assist the network operator to comply with the network operator's obligation under clause 5.4(1).	5	<p>WPN is responsible for the reading of the meters and they are primarily read remotely. BW1 Pty Ltd work with WP in identifying data discrepancies and meter faults.</p> <ul style="list-style-type: none"> ▪ Requests from Network Operator ▪ Remote Reading of Meters ▪ PPA ▪ WEFS ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
401	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.16	If a user collects or receives energy data from a metering installation then the user must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed.	4	Not Applicable to audit scope as Western Power read all meters. BW1 Pty Ltd does not collect energy data.	NP	NR
402	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.17(1)	A user must provide standing data and validated (and where necessary substituted or estimated) energy data to the user's customer, to which that information relates, where the user is required by an enactment or an agreement to do so for billing purposes	4	There are no meters to collect information or data from for billing. (Meters are the Network Operators under the Meter Code). BW1 Pty Ltd is obligated to supply meter data to the customer on request and at no charge. There have been no requests for either	NP	NR

			or for the purpose of providing metering services to the customer.		energy data or standing data during the audit period. BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
405	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.18	A user that collects or receives information regarding a change in the energisation status of a metering point must provide the network operator with the prescribed information, including the stated attributes, within the timeframes prescribed.	4	BW1 Pty Ltd does not collect or receive information regarding a change in the energisation status of a metering point. Western Power manages the status of metering points. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
406	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(1)	A user must, when requested by the network operator acting in accordance with good electricity industry practice, use reasonable endeavours to collect information from customers, if any, that assists the network operator in meeting its obligations described in the Code and elsewhere, and provide that information to the network operator.	5	There have been no requests to collect information. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
407	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(2)	A user must, to the extent that it is able, collect and maintain a record of the address, site and customer attributes, prescribed in relation to the site of each connection point, with which the user is associated.	5	A review of Web Portal noted that all site and customer attributes are captured via predetermined fields and drop down menus. <ul style="list-style-type: none"> ▪ Web portal ▪ BW1 Pty Ltd Personnel interviewed 	A	1

					- Financial Analyst		
408	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(3)	Subject to subclauses 5.19(3A) and 5.19(6), the user must, within 1 business day after becoming aware of any change in an attribute described in subclause 5.19(2), notify the network operator of the change.	4	<p>There have been no changes to site attributes i.e. NMI of each connection point at the site. There has been no advice from users. The licensee uses Western Power's service request form for new customers. BW1 Pty Ltd confirmed awareness with the 1 business day rule.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst <p>RECOMMENDATION 4/2018</p> <p>REF 408 CONTROLS IMPROVEMENT (BNR) → Whilst this is NR during the audit period, to ensure ongoing compliance with the requirements the recommendations made in 339 regarding recording initial contact would capture any changes, as currently there would be no other measurable way of determining 1 business day rule has been met unless initial contact is recorded (Refer 339)</p>	B	NR
410	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(6)	The user must use reasonable endeavours to ensure that it does not notify the network operator of a change in an attribute described in subclause 5.19(2) that results from the provision of standing data by the network operator to the user.	5	Financial Analyst confirmed that Western Power sends updates to Standing Data attributes, which the licensee receives without further correspondence to Western Power.	NP	NR

					<p>As such assessment of compliance with this requirement cannot be made.</p> <ul style="list-style-type: none"> ▪ Review web portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
416	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.21(5)	A Code participant must not request a test or audit unless the Code participant is a user and the test or audit relates to a time or times at which the user was the current user or the Code participant is the IMO.	4	<p>The licensee has not made requests outside the parameters of this obligation for tests of the metering system during the audit period on behalf of a customer. As such assessment of compliance with this requirement cannot be made.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
417	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.21(6)	A Code participant must not make a test or audit request that is inconsistent with any access arrangement or agreement.	4	<p>Confirmed that during the audit period BW1 Pty Ltd did not make any requests for audit or tests. As such, assessment of compliance with regards to inconsistency with the access agreement cannot be made.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	NP	NR
435	Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.27	Upon request, a current user must provide the network operator with customer attribute information that it reasonably believes are missing or incorrect within the timeframes prescribed.	2	<p>All compliance is performed via the Web Portal. Any requests received from WP would be actioned via Web Portal in a timely manner.</p> <p>Review of the Web Portal correspondence did not identify any</p>	NP	NR

					<p>requests for customer attribute information from WP during the audit period. As such assessment of compliance with this requirement cannot be made.</p> <ul style="list-style-type: none"> ▪ Review web portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 		
448	Retail Licence condition 5.1	Electricity Industry Metering Code clause 6.1(2)	A user must, in relation to a network on which it has an access contract, comply with the rules, procedures, agreements and criteria prescribed.	4	<p>Documentation, systems and external audit reports reviewed during the audit indicated compliance with this requirement. In addition, the licensee uses the Web Portal to make all metering transactions and as such complies with WPN rules, procedures, agreements and criteria prescribed.</p> <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1
451	Retail Licence condition 5.1	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.	5	<p>WP has been notified of all communication details. Evidence of dialogue between the parties has been noted. BW1 primarily use email but have verified ability for fax and postal communication which has been supplied to WP.</p> <ul style="list-style-type: none"> ▪ Review web portal ▪ BW1 Pty Ltd Personnel interviewed <ul style="list-style-type: none"> - Financial Analyst 	A	1

453	Retail Licence condition 5.1	Electricity Industry Metering Code clause 7.2(4)	A Code participant must notify its contact details to a network operator with whom it has entered into an access contract within 3 business days after the network operator's request.	4	WPN has made no requests for contact details during the audit period. Change of address notifications were made in accordance with requirements. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed Financial Analyst 	NP	NR
454	Retail Licence condition 5.1	Electricity Industry Metering Code clause 7.2(5)	A Code participant must notify any affected network operator of any change to the contact details it notified to the network operator at least 3 business days before the change takes effect.	4	During the audit period the Licensee has not changed contact details. As such assessment of compliance with the 3 business days cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
455	Retail Licence condition 5.1	Electricity Industry Metering Code clause 7.5	A Code participant must not disclose, or permit the disclosure of, confidential information provided to it under or in connection with the Code and may only use or reproduce confidential information for the purpose for which it was disclosed or another purpose contemplated by the Code.	4	There have been no instances of non-compliance identified in relation to this requirement. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	A	1
456	Retail Licence condition 5.1	Electricity Industry Metering Code clause 7.6(1)	A Code participant must disclose or permit the disclosure of confidential information that is required to be disclosed by the Code.	4	There was no information required to be disclosed during the audit period. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
457	Retail Licence condition 5.1	Electricity Industry Metering Code clause 8.1(1)	Representatives of disputing parties must meet within 5 business days after a notice given by a disputing party to the other disputing parties and attempt to resolve the dispute under or in connection with the	5	There have been no disputes during the audit period. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed 	NP	NR

			Electricity Industry Metering Code by negotiations in good faith.		- Financial Analyst		
458	Retail Licence condition 5.1	Electricity Industry Metering Code clause 8.1(2)	If a dispute is not resolved within 10 business days after the dispute is referred to representative negotiations, the disputing parties must refer the dispute to a senior management officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.	5	There have been no disputes during the audit period. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
459	Retail Licence condition 5.1	Electricity Industry Metering Code clause 8.1(3)	If the dispute is not resolved within 10 business days after the dispute is referred to senior management negotiations, the disputing parties must refer the dispute to the senior executive officer of each disputing party who must meet and attempt to resolve the dispute by negotiations in good faith.	5	There have been no disputes during the audit period. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
460	Retail Licence condition 5.1	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.	4	There have been no disputes during the audit period. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR
461	Retail Licence condition 5.1	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 of dispute resolution with as little formality and technicality and with as much expedition as the requirements of Part 8 of the Code and a proper hearing and determination of the dispute, permit.	5	There have been no disputes during the audit period. As such assessment of compliance with this requirement cannot be made. <ul style="list-style-type: none"> ▪ BW1 Pty Ltd Personnel interviewed - Financial Analyst 	NP	NR

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