

1 2020 Post Audit implementation Plan – Bluestar Pty Ltd – ERL22

A. Post Audit Implementation Plan					
Reference (no./year)	Compliance Rating and Details of the Non-Compliance by end of Review period	Auditors' Recommendation	Management action	Responsible	By When
01/2020 53 451 454	<p>53) Electricity Industry Customer Transfer Code Clause 6.4(2)</p> <p>(451) Electricity Industry Metering Code Clause 7.2(1)</p> <p>(454) Electricity Industry Metering Code Clause 7.2(5)</p> <p>The Licensee's postal address changed in the audit period and was not notified to the network operator.</p>	<p>1. The licensee to include in the corporate calendar a note to advise the network operator of a change of address. The corporate calendar to have an item tagged to the current lease date to ensure that the change of address information obligation is met.</p> <p>2. The licensee to amend the procedure- Licence obligations -ERA to require the change of address information to be given to Western Power as well as the ERA.</p>	<p>Include in the corporate calendar a note to advise the network operator of a change of address. The corporate calendar to have an item tagged to the current lease date.</p> <p>Amend the procedure- Licence obligations -ERA to require change of address information to be given to Western Power as well as the ERA.</p>	Retail manager	Completed after audit period, June 2020.

<p>02/2020 105</p>	<p>(105) Electricity Industry Act s17(1)</p> <p>The 2017 licence fees were paid after the due date and penalty interest was applied.</p> <p>The 2018 licence fee was paid after the due date as the licensee's email address was not current with ERA and the ERA invoice was not received.</p> <p>The action process was to pay licence fees and on time. The control process was deficient to ensure that the time requirements were complied with as procedures - licence obligation – ERA at start of audit period <i>required obligations for licence fees to be proactively incorporated in the corporate calendar.</i></p> <p>Subsequent licence fees were paid before the due date. The procedure dealt with the requirement but without sufficient specificity as to the date required. The fees after 2018 were paid by the due date, with the correct date entered in the calendar. But it required someone to look up the correct date rather than it being in the procedure.</p>	<p>The Licensee to further strengthen the procedure by including the specific due date.</p>	<p>Amend the procedure- Licence obligations -ERA to include the due date of the annual fee.</p>	<p>Retail manager</p>	<p>Completed after audit period, June 2020.</p>
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<p>3/2020 124</p>	<p>(124) Licence condition 4.5.1 (16.1)</p> <p>The 2016 annual compliance report was lodged after the due date.</p> <p>The action process was to lodge the annual compliance report and on time. The control process was deficient to ensure that the time requirements were complied with as procedures - licence obligation – ERA at start of audit period required obligations for lodgement of the annual compliance report to be programmed into the corporate calendar.</p> <p>The procedure dealt with the requirement but without sufficient specificity as to the date required.</p> <p>Subsequent reports were lodged before the due date but the procedure required someone to look up the correct date rather than it being in the procedure.</p>	<p>Recommendation 3/2020</p> <p>The governing procedure to be further strengthened by adding to it the specific due date for the annual compliance report.</p>	<p>Amend the procedure- Licence obligations -ERA to include the due date of the annual compliance report.</p>	<p>Retail manager</p>	<p>Completed after audit period, June 2020.</p>
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