

Blue Star Energy EGL3 2024 Post Audit Implementation Plan

Recommendation reference	Non-compliance / controls improvement	Auditor's recommendation	Action proposed to be taken by the licensee	Responsible person(s)	Target completion date
01/2024	<p><b>B2</b></p> <p><b>Obligation 29</b></p> <p><b>Electricity Industry Customer Transfer Code, CI 4.7</b> - 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.</p> <p>The requirements for the nominated transfer dates were not met. A review of all customer transfers and the Compliance Breach Register indicated that 9 CTRs were rejected due to "Transfer Date" non-compliances during the audit period.</p>	<p>(a) Strengthen control processes and revise relevant control procedures to ensure the nominated transfer date complies with the specified time frames in the Customer Transfer Code.</p> <p>(b) Updates the control procedure to specify the requirements and depict the process with a flow chart or similar.</p> <p>(c) Ensure the control procedure highlights the requirements for scheduling CTRs to meet the specified timeframes and consider the impact of Public Holidays in counting business days for meter transfer.</p> <p>(d) Ensure the control procedure is amended to include a step to check that the NMI has not already had a CTR raised by the Licensee.</p>	<p>(a) A Customer Transfer Procedure has been drawn up to strengthen control processes. And provide details required to meet the specified timeframes and consider the impact of Public Holidays in counting business days for meter transfer.</p> <p>(b) The Retail Licence Compliance and Policies Procedure has been updated to include an internal audit process for Retail Licence compliance obligations and ensure it is completed to facilitate accurate reporting to the ERA in the annual compliance reports.</p>	<p>Energy Retail Manager</p> <p>Energy Retail Manager</p>	<p>Complete</p> <p>Complete</p>

		<p>(e) Develop an internal audit process for Retail Licence compliance obligations and ensure it is completed to facilitate accurate reporting to the ERA in the annual compliance reports.</p> <p>(f) Review the rejected CTRs to identify if there is a training need for an individual or all applicable employees, and ensure training is provided for any corrective actions undertaken.</p>			
02/2024	<p>B2 Obligation 124 <b><i>Electricity Industry Act 2004</i></b> <b><i>Section 11</i></b> <b>Retail Licence, condition 4.5.1</b></p> <p>A licensee must provide the ERA, in the manner prescribed, with any information that the ERA requires in connection with its functions under the Electricity Industry Act.</p>	<p>Develop an internal audit process for Retail Licence compliance obligations and ensure this is completed so as to facilitate accurate reporting of information to the ERA in the annual compliance reports.</p>	<p>(a) The Retail Licence Compliance and Policies Procedure has been updated to include an internal audit process for Retail Licence compliance obligations and ensure it is completed to facilitate accurate reporting to the ERA in the annual compliance reports</p>	Energy Retail Manager	Complete

	<p>(a) The Licensee did not include the breach of obligation 29 in subsequent annual compliance reports.</p> <p>(b) The Licensee had not established a formal internal audit program to verify compliance with retail licence obligations.</p>				
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