



ABN 20 009 454 111

Audit Report

Rottnest Island Electricity Licence
Operational / Performance Audit
and Asset Management Review

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executive summary

The audit was conducted in order to assess the Rottnest Island Authority [RIA] level of compliance with the conditions of its licence.

The RIA has an Electricity Integrated Regional Licence (EIRL3 Licence) [the Licence] issued by the Economic Regulation Authority [the Authority] under Sections 7 and 15(2) of the Electricity Industry Act 2004 (WA) [the Act].

Under Sections 13 and 14 of the Act the RIA is required to provide to the Authority a Performance Audit and Asset Management System Review of the Rottnest Island Licence to cover the period 21 June 2006 to 31 January 2008.

In March 2008 the RIA commissioned Qualeng to carry out the first Performance Audit and Asset Management System Review. The audit and review has been conducted and this report prepared in accordance with the Authority's Audit Guidelines: Electricity, Gas and Water Licences (September 2006). An audit plan was developed by Qualeng in April 2008 and approved by the Authority on 6 May 2008.

The audit and review were conducted in accordance with the audit plan through an assessment of the control environment, the information system, control procedures, supporting documentation and compliance attitude.

The audit has concluded that at the start of the audit period there were a number of gaps in the RIA's operation compliance with the Electricity Licence conditions. In 2007 the RIA put in place the framework to manage compliance with the Electricity Licence requirements. This was achieved through the establishment of the Facilities, Operations and Utilities Management (FOU) Contract which defined and assigned the responsibilities for compliance with the licence and provided a mechanism for identifying the gaps and acting on them.

Due to the recent establishment of the FOU Contract (September 2007) some of those actions are still in progress and will take some time to complete. By the end of the audit period a number of gaps were still evident as identified in the audit report and the Post Audit Implementation Plan. However a plan has been put in place by the RIA which includes:

- defining the responsibilities for compliance,
- documenting the requirements of the licence,
- identifying the existing gaps, the actions required to remove them and allocating time and resources to complete the actions,

- and establishing a review mechanism to monitor compliance.

Through the audit process the auditors have obtained reasonable assurance that the licensee has adequate policies and commitment for an effective asset management system which complies with the requirements of the Licence. As indicated above the asset management system is also undergoing development and a number of actions are in place to finalise the system.

In regard to the operation of the licence and of the asset management system, there were a number of non-compliances:

- managing and systematically documenting compliance with the requirements of the Electricity Licence and with the Compliance Manual,
- billing and customer service,
- quality of electricity supply requiring monitoring,
- assessing the status and compliance of meters,
- recording of commissioning tests,
- prioritisation of maintenance tasks, management of some maintenance tasks that are not being completed at present,
- contingency plan including power emergency response plan and emergency procedures,
- the asset management plan needs to be completed, asset registers need to be upgraded to comply with the Licence requirements,
- the risk management plan dealing with asset management and the operation of the plant needs to be completed, as well as asset risk registers.

Corrective actions are now in place to address these issues.

The actions have been listed in the detailed report findings and a post audit implementation plan has been included in the report appendices to address these issues. Some of these actions are already in progress.

OPERATIONAL / PERFORMANCE AUDIT COMPLIANCE SUMMARY

The findings of the audit are summarised in table 2 below, keys to compliance rating are listed in the table following, a full report on the audit findings is included in Appendix B.

Table 1: Operational/performance compliance rating scale

<i>Compliance Status</i>	<i>Rating</i>	<i>Description of Compliance</i>
COMPLIANT	5	Compliant with no further action required to maintain compliance.
COMPLIANT	4	Compliant apart from minor or immaterial recommendations to improve the strength of internal controls to maintain compliance.
COMPLIANT	3	Compliant with major or material recommendations to improve the strength of internal controls to maintain compliance.
NON-COMPLIANT	2	Does not meet minimum requirements.
SIGNIFICANTLY NON-COMPLIANT	1	Significant weaknesses and/or serious action required.

Table 2: Operational/performance audit compliance summary

Operating Area	Operating Licence Reference (Cl.= Clause, Sch.= Schedule)	Consequence (1= minor, 2= Moderate, 3= major)	Likelihood (A= likely, B= probable, C= unlikely)	Inherent Risk (Low, Medium, High)	Adequacy of existing controls (S= Strong, M= Moderate, W= Weak)	Compliance Rating (Refer to the 5-point rating scale in Table 1 for details)				
						1	2	3	4	5
SERVICE DELIVERY										
Definitions	CI 1									
Grant of Licence	CI 2									
Term	CI 3									
Fees	CI 4	1	C	L	S					✓
Compliance	CI 5	2	C	H	S	✓				
Marketers	CI 6									
Transfer of Licence	CI 7									
Cancellation of Licence	CI 8									
Surrender of Licence	CI 9									
Renewal of Licence	CI 10									
Amendment of Licence on Application of the Licensee	CI 11									
Amendment of the Licence by the Authority	CI 12									
Customer Contracts	CI 13	1	C	L	S				✓	
Amending the Standard Form Contract	CI 14	1	C	L	S					✓
Customer Service Charter	CI 15	2	C	M	S			✓		
Amending the Customer Service Charter	CI 16	2	C	M	M			✓		
Supplier of Last Resort	CI 17									
Directions by the Authority	CI 18	1	C	L	S					✓
Approved Scheme	CI 19	1	C	L	S					✓
Expansion or Reduction of Generating Works and Distribution Systems	CI 20	2	C	L	S				✓	
Accounting Records	CI 21	2	C	M	S					✓
Individual Performance Standards	CI 22	2	C	M	S					✓
Performance Audit	CI 23	2	C	M	S			✓		
Asset Management System	CI 24	2	C	H	S			✓		

Operating Area	Operating License Reference (Cl.= Clause, Sch.= Schedule)	Consequence (1= minor, 2= Moderate, 3= major)	Likelihood (A= likely, B= probable, C= unlikely)	Inherent Risk (Low, Medium, High)	Adequacy of existing controls (S= Strong, M= Moderate, W= Weak)	Compliance Rating (Refer to the 5-point rating scale in Table 1 for details)				
						1	2	3	4	5
SERVICE DELIVERY										
Reporting	CI 25									
Provision of Information	CI 26	1	C	L	S				✓	
Publishing Information	CI 27	1	C	L	M				✓	
Notices	CI 28	1	C	L	S				✓	
Review of the Authority's Decisions	CI 29									

ASSET MANAGEMENT REVIEW EFFECTIVENESS SUMMARY

The review of the Asset Management System is summarised below in table 4. Definition of the ratings is given in table 3. A full report on the audit findings is included in Appendix C.

Table 3: Asset management review effectiveness rating scale

Effectiveness	Rating	Description
Continuously improving	5	Continuously improving organisation capability and process effectiveness
Quantitatively controlled	4	Measurable performance goals established and monitored
Well-defined	3	Standard processes documented, performed and coordinated
Planned and tracked	2	Performance is planned, supervised, verified and tracked
Performed informally	1	Base practices are performed
Not performed	0	Not performed (indicate if not applicable)

Table 4: Asset management effectiveness summary

ASSET MANAGEMENT SYSTEM		Not performed	Performed informally	Planned and tracked	Well defined	Quantitatively controlled	Continuously improving
Process	Effectiveness rating	0	1	2	3	4	5
1. Asset planning						✓	
2. Asset creation/ acquisition				✓			
3. Asset disposal					✓		
4. Environmental analysis					✓		
5. Asset operations				✓			
6. Asset maintenance				✓			
7. Asset management information system					✓		
8. Risk management				✓			
9. Contingency planning			✓				
10. Financial planning						✓	
11. Capital expenditure planning					✓		
12. Review of asset management system					✓		

This was the first Operational and Performance Audit and Asset Management Review carried out against the Electricity Licence conditions. The only previous Performance Audits were the annual audit for compliance with the Electricity Industry (Network Quality and Reliability of Supply) which are of a limited scope. The 2006-07 Report was issued outside the audit period. Recommendations from the previous audit report, 2005-06, are in the form of opportunities for improvement, actions are still in progress and have been captured in current audit.

In the opinion of the auditor the control environment operated by the Licensee is maturing from policy awareness and basic control at operational level at the start of the audit period, to full implementation of policy and systemised control incorporating sufficient checks to achieve and maintain compliance. The control environment is still being developed, however corrective actions are in place to address and close the control gaps.

This report is an accurate representation of the findings and opinions of the auditors following the audit and review of the client's conformance to nominated Licence conditions. The audit is reliant on evidence provided by other parties and is subject to limitations due to the nature of the evidence available to the auditor, the sampling process inherent in the audit process, the limitations of internal controls and the need to use judgement in the assessment of evidence. On this basis Qualeng shall not be liable for loss or damage to other parties due to their reliance on the information contained in this report or in its supporting documentation.

Approvals

Representation	Name	Signature	Position	Date
Auditor:	M Zammit		Lead Auditor / Engineering Manager, Qualeng	18 Sep 2008
Licensee:	K Chinnery		Manager Commercial Operations, Rottnest Island Authority,	18 Sep 2008

Issue Status

Issue No	Date	Description	Prepared	Verified	Approved
A	5 Feb 2008	First draft	AH		
B	23 Jun 2008	First draft Issue	MZ/JH		MZ
C	5 Sep 2008	Second Draft Issue; revised executive summary and content. Removed items 88, 198, 318, 393 from O&P Audit List. Added item 185 – 190, 206, 233, 234. 239, 240, 283, 306, 311, 347, 394, Revised items 181, 184, 242, 243, 281, 286, 289, 293, 294, 316, 318, 371 in O&P Audit List, items 9, 9.1 in AMS List.	MZ/JH		MZ
1	18 Sep 2008	First Issue	MZ	JH	MZ

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1 Objectives and Scope of Audit/Review

1.1 BACKGROUND

The Rottnest Island Authority [RIA] has an Electricity Integrated Regional Licence (EIRL3 Licence) [the Licence] issued by the Economic Regulation Authority [the Authority] under Sections 7 and 15(2) of the Electricity Industry Act 2004 (WA) [the Act].

Under Sections 13 and 14 of the Act the, RIA is required to provide to the Authority a Performance Audit and Asset Management System Review of the Rottnest Island EIRL3 Licence to cover the period 21 June 2006 to 31 January 2008.

In March 2008 the RIA commissioned Qualeng to carry out the first Performance Audit and Asset Management System Review.

The audit and review has been conducted and this report prepared in accordance with the Authority's Audit Guidelines: Electricity, Gas and Water Licences (September 2006).

1.2 AUDIT OBJECTIVES

The purpose of the operational/performance audit is to:

- *Assess the effectiveness of measures taken by the licensee to meet the obligations of the performance and quality standards referred to in the licence.*

For the Asset management system review:

- *Assess the measures taken by the licensee for the proper management of assets used in the provision and operation of services and, where appropriate, for the construction or alteration of relevant assets.*

1.3 AUDIT SCOPE

The scope of the operational/performance audit is to audit the systems and the processes to assess their effectiveness in ensuring compliance with the standards, outputs and outcomes required by the licence, in detail:

- Assess the effectiveness of systems and procedures and the adequacy of internal controls.
- Consider performance against standards prescribed in licence.
- Provide assurance of compliance to systems and procedures, existence of control

and system outputs / records.

- Completeness and accuracy of performance reporting to Authority.
- Compliance with any individual licence conditions,

for the period 21 June 2006 to 31 January 2008.

The scope of the asset management system review includes the assessment of the adequacy and effectiveness of the asset management system by evaluating the key processes of:

- Asset planning.
- Asset creation/acquisition.
- Asset disposal.
- Environmental analysis.
- Asset operations.
- Asset maintenance.
- Asset management information system.
- Risk management.
- Contingency planning.
- Financial planning.
- Capital expenditure planning.
- Review of the asset management system.

The audit and review were carried out between March and June 2008.

On the RIA's behalf, various representatives participated in the audit including the Chief Executive Officer, the Operations Manager, the A/Manager Commercial Operations, the A/Chief Financial Officer, the A/Tourism and Travel Manager, the Director Finance and Business Services. From Tungsten Group (the Facilities Operation and Utilities Contractor) the Contract Manager and the Operations & Utilities Manager participated in the audit. Various other representatives contributed to sourcing the documentation and providing evidence to the audit.

The main auditor representatives were M Zammit, Project Director and Lead Auditor, J Heng, Project Engineer and Auditor / Reviewer, Mr S Campbell, Verifier and Reviewer.

A list of the main documents accessed by the auditors is included in Appendix A. It is noted that this list does not include all of the documentation viewed during the audit, due to the large number of electronic documentation made available for verification.

1.4 LIMITATIONS AND QUALIFICATIONS

An audit provides a reasonable level of assurance on the effectiveness of control procedures, however there are limitations due to the nature of the evidence available to the auditor, the

sampling process inherent in the checking of evidence, the limitations of internal controls and the need to use judgement in the assessment of evidence.

In regard to the review process, the auditor relies on evidence coming to the auditor's attention showing that the control procedures are not effective, when the initial process and procedures do not provide sufficient evidence to the level that would be required by an audit.

2 *Audit Methodology*

2.1 OPERATIONAL / PERFORMANCE AUDIT METHODOLOGY

The audit followed the methodology defined in the Authority's "Audit Guidelines: Electricity, Gas and Water Licences", September 2006, including:

- Preparation of an audit plan, risk and materiality assessment and system analysis,
- Fieldwork including the operational / performance audit,
- Reporting.

For the Operational / Performance audit an audit plan was prepared which outlined the audit objectives, scope, risk and materiality assessment, system analysis, fieldwork plan, the report structure, key contacts, auditing staff and program.

The audit adopted a risk based approach where a preliminary risk and materiality assessment was carried out for each licence condition to evaluate the risks resulting from non-compliance and/or lack of controls and assessing the control procedures in place within RIA at the start of the audit.

The existing controls were rated and an audit priority assigned depending on the risk resulting from lack of controls and adequacy of existing controls. Tests were also defined for each licence condition to assess the compliance and effectiveness of the current process.

Following the approval of the audit plan by the Authority the audit proceeded through meetings, interviews, checks of processes and review of documentation. These were supported by additional queries to further clarify aspects of the procedures.

2.2 ASSET MANAGEMENT REVIEW METHODOLOGY

In regard to the Asset Management Review the review followed the methodology defined in the Authority's "Audit Guidelines: Electricity, Gas and Water Licences", September 2006, as described in the preceding section.

3 *Licensee's Response to Previous Audit Recommendations*

3.1 REVIEW OF ACTIONS TAKEN IN RESPONSE TO RECOMMENDATIONS IN PREVIOUS AUDITS/REVIEWS

RIA was granted an Integrated Regional Licence on 21 June 2006 by the Authority. The first audit under the terms of the licence was due on the 30 April 2007. An extension was granted by the Authority on the 26 October 2007 to postpone the deadline for submission of the first audit report to 30 April 2008, consequently no audits or reviews had been carried out on this licence to date.

4 Key Findings and Recommendations

Key findings and recommendations arising from the Operational/Performance Audit and the Asset Management Review are listed in the following sections. Detailed findings are included in the Appendices.

A Post Audit Implementation Plan was drafted by the Auditor for the Licensee's review and approval, a copy of the plan is attached in Appendix D.

4.1 OPERATIONAL/PERFORMANCE AUDIT

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
82	A licensee must provide for an asset management system.	TG have provided a Draft Asset Management Plan [March 2008] and demonstrated that they have records of the asset management system.	3	Asset Management System is still in development and will require completion.
108	A licensee must comply, and must require the licensee's expert to comply, with the relevant aspects of the Authority's standard guidelines dealing with the asset management system.	Currently there is no internal process of review for compliance against the individual requirements of the Electricity Licence as listed in the Compliance Manual.	1	A process and documentation are required to demonstrate the review of compliance against the individual requirements of the Electricity Licence as listed in the Compliance Manual.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
181	A retailer must advise the customer of the amount of historical debt and its basis before, with or on the customer's bill, if the retailer wishes to bill the customer for the historical debt.	Not covered by RIA's Customer Service Charter. Informal process is in place. A new contract has been arranged to place the responsibility of customer accounts with a contractor, (Sunco-Resolve FM). A code of conduct should be available from RIA/ Sunco, however it was not obtainable at the time of the audit.	2	Not able to be verified as no applicable documentation available. An applicable Code of Conduct will be required. The RIA to revise and confirm the documentation. Historical debt will need to be addressed.
183	A retailer must give the customer information that explains to that customer how to read a meter correctly (if applicable) in clear, simple and concise language.	The invoice currently does not detail how to read a meter.	2	Information to be added to customer invoice or forms.
184	A retailer must use its best endeavours to ensure that metering reading data is obtained in accordance with clause 4.5 of the Code of Conduct, as frequently as is required to prepare a bill and, at least once every twelve months.	Documented in conditions/ requirements in Schedule 7 and 14 of the FOU agreement with Service Provider Tungsten. Readings report was not viewed during the audit.	3	Readings need to be reported. <u>Post Audit Action:</u> Evidence of readings provided post audit and accepted. Corrective action closed.
185	A retailer must give the customer an estimated bill in the manner specified, if the retailer is unable to reasonably base a bill on a reading of the meter.	RIA has shown capability to meet this requirement – item 2.4 of its Customer Charter; however RIA and TG have confirmed that as all bills are based on actual reading, if no reading is possible, no charge is applied.	2	Estimated billing is required under the code. RIA will need to address this requirement in its meter reading and accounts processes.
186	A retailer must base an estimated bill on the criteria specified.	Ditto item 185.	2	Ditto item 185.
187	A retailer must specify the stated information in circumstances where the customer's bill is estimated.	Ditto item 185.	2	Ditto item 185.
188	A retailer must tell a customer, on request, the basis and reason for the estimation.	Ditto item 185.	2	Ditto item 185.
189	Where the retailer gives a customer an estimated bill and the meter is subsequently read the retailer must include an adjustment on the next bill to take account of the actual meter reading.	Ditto item 185.	2	Ditto item 185.
190	A retailer must use its best endeavours to replace an estimated bill with a bill based on an actual reading if the customer satisfies the requirements as specified.	Ditto item 185.	2	Ditto item 185.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
197	A retailer must repay the customer any amount in credit at the time the customer requests a final bill.	Not in Standard Form Contract or in Customer Service Charter (CSC). No process or procedure details available at the time of the audit.	2	Refund policy to be documented.
203	A retailer must pay the amount overcharged in accordance with the customer's instructions within 12 business days of receiving the instructions.	Condition is covered by clause 2 of of the CSC, however no specified time of response is included in the CSC. There was advice from RIA and TG that the CSC is under revision – the revised charter has not been viewed.	3	Customer Service Charter will require checking for confirmation of compliance.
206	A retailer must offer the specified minimum payment methods.	Condition is covered by clause 2.6 of of the CSC and evidenced by Bill form except for Centrepay facility.	3	RIA will require to check currency of Centrepay payment facility and if applicable, add it to the bill form, if not applicable RIA to confirm.
210	A retailer must, at no charge, offer a residential customer a redirection of the customer's bill to a third person, if requested by a customer who is unable to pay by a minimum payment method, due to illness or absence.	This provision is not identified in the Standard Form Contract or in CSC. No procedure found for this condition.	2	RIA/Sunco to confirm procedure in code.
211	A retailer must not charge a residential customer a late payment fee in the circumstances specified.	Not in Standard Form Contract or in Customer Service Charter. Section 2.7 of RIA CSC would charge late payment fee, but makes no reference to special dispensation given in Electricity code 5.6(1).	2	RIA/Sunco to confirm procedure.
212	A retailer must not charge an additional late payment fee in relation to the same bill within five business days from the date of receipt of the previous late payment fee notice.	Ditto 211.	2	Ditto 211.
213	A retailer must not charge a residential customer more than two late payment fees in relation to the same bill.	Ditto 211.	2	Ditto 211.
222	A retailer must advise a residential customer on request of the details of an assessment.	Section 13 of the Standard Form Contract and section 2.8 of CSC cover this requirement. Procedure confirmed by A/Chief Financial Officer. RIA placing responsibility of accounts on contractor (Sunco), confirmation of procedure will be required with Sunco.	3	RIA/Sunco to confirm the procedure.

Item	Licence Conditions	Findings	Comp Rtg.	Recommended Corrective Actions
223	A retailer may not unreasonably deny a residential customer's request for a temporary suspension of actions in the circumstances specified.	Ditto 222.	3	RIA/Sunco to confirm the procedure.
224	A retailer must allow a temporary suspension of actions for a period of at least 10 days.	Ditto 222.	3	RIA/Sunco to confirm the procedure.
227	A retailer must offer a residential customer who is experiencing payment difficulties or financial hardship at least the specified payment arrangements.	Covered by Section 13 of the Standard Form Contract. RIA placing responsibility of accounts on contractor (Sunco), confirmation of procedure will be required with Sunco.	3	RIA/Sunco to confirm the procedure.
228	A retailer must take into account and specify the stated information and take the specified actions when offering an instalment plan to a residential customer experiencing payment difficulties or financial hardship.	Ditto 227.	3	RIA/Sunco to confirm the procedure.
233	A retailer must develop a hardship policy to assist customers in meeting their financial obligations and responsibilities to the retailer.	Covered by Standard Form Contract. Hardship policy not viewed, A/Chief Financial Officer confirmed that all reasonable requests for extended payment terms are considered.	3	Hardship policy required.
234	A retailer must ensure that the hardship policy complies with the specified criteria.	Ditto 233	3	Hardship policy required.
236	A retailer must keep a record of the specified information related to the hardship policy.	Facility for maintenance of records of consultation and revision process was not confirmed.	2	Require confirmation of record keeping for consultation and revision process.
239	A retailer must not arrange for disconnection of a customer's supply address for failure to pay a bill in the circumstances specified.	RIA A/Tourism and Travel Manager, RIA Director, Finance and Business Services and TG have confirmed that informal policy is not to disconnect power.	3	Formal hardship policy required, policy needs to address requirement for maintaining customer supply in the circumstance specified.
240	In relation to dual fuel contracts, a retailer must not arrange for disconnection of the customer's supply address for failure to pay a bill within 15 business days from arranging for disconnection of the customer's gas supply.	Ditto 239.	3	Ditto 239.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
242	A distributor who disconnects a customer's supply address for emergency reasons must provide a 24 hour emergency line and use its best endeavours to restore supply as soon as possible.	Covered by Section 4.6 of the CSC. Emergency supply arrangements require use of third party power generation (Kennards). Informal process in place, will require documentation.	3	Informal process in place, will require documentation/ coordination across different service providers. <u>Post Audit Actions:</u> Since audit corrective action has been effected, responsibility for emergency line has been allocated and line established.
243	A retailer or a distributor must not arrange for disconnection or disconnect a customer's supply address in the circumstances specified.	Covered by Section 6.2 of the Standard Form Contract.	3	Informal process in place, will require documentation of policy. <u>Post Audit Actions:</u> a letter has been issued by the RIA instructing the Operations Contractor TG.
244	A retailer must undertake the actions specified in circumstances where the customer provides the retailer with confirmation that a person residing at the customer's supply address requires life support equipment.	Ditto 243.	3	Ditto 243.
245	A distributor must undertake the actions specified in circumstances where the distributor has been informed by a retailer or a relevant government agency that a person residing at a customer's supply address requires life support equipment.	Ditto 243.	3	Ditto 243.
266	A retailer must give the requested billing data at no charge in the circumstances specified.	Covered by CSC (2.1). Fees may apply, CSC will need to be reviewed for compliance with the Code.	2	CSC will need to be reviewed for compliance with the Code.
272	A distributor must give a customer on request, at no charge, the specified information that is particular to a distributor.	Covered by RIA's CSC (3.2), however Standard Form Contract does not include this information in its list of accessible information (12).	2	Standard Form Contract will require a review to address information required by the Code.
274	A distributor must give a customer the requested consumption data at no charge in the circumstances specified.	Covered by CSC (2.1). Fees may apply, CSC will need to be reviewed for compliance with the Code.	2	CSC will need to be reviewed for compliance with the Code.
278	A distributor must publish information on distribution standards and metering arrangements on the distributor's website.	RIA publishes on its site reports on its electricity quality and reliability, however metering information is not readily available.	2	To be reviewed for compliance.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
281	A retailer and distributor must make electronic copies of the Code of Conduct available, at no charge, on their websites.	The Code of Conduct is not directly available on the RIA website.	2	Code of Conduct to be made readily accessible on the RIA Website.
283	A retailer and distributor must inform a customer of any material amendment to the Code of Conduct that affects the customer's rights and obligations.	RIA A/Tourism and Travel Manager and TG have confirmed that Code of Conduct changes are informed through the RIBC and the CCC. Change uploads onto website have not been confirmed as noted in item 281, Code of Conduct was not available on RIA website.	2	As per item 281, Include this requirement in licence compliance checklist to ensure publication of future changes to COC. Advise users of recent changes to COC.
286, 287	A distributor must advise a customer, at no charge, of the availability of different types of meters.	RIA A/Tourism and Travel Manager and TG have confirmed that only one type of meter is available on the island.	3	In future, application of different types of meters will need to be assessed on a case by case basis. This direction and a guideline for meter selection will need to be prepared and included in operational procedures.
288	A retailer and distributor must produce and publish a Customer Service Charter.	RIA has produced a CSC, dated 2005. Access to CSC was not available on the website.	3	Access to CSC needs to be clarified.
289	A retailer and distributor must address the specified information in their Customer Service Charters.	Not all contact details are available in the CSC eg. the Authority, Energy Safety.	2	CSC needs review and revision to ensure compliance with the Code.
293	A retailer, distributor and marketer must develop, maintain and implement an internal process for handling complaints and resolving disputes.	Process has been subject to a review "RIA Complaints Management System", 16 May 2007, which identified a number of shortcomings, some of these shortcomings have been addressed, others have not. Process workflow does not document process for telephone calls however CSC addresses the complaints procedure.	3	Formally address shortcomings of process for handling complaints.
294	A retailer, distributor and marketer must develop, maintain and implement a complaints handling process that meets the specified requirements.	Ditto 293. A system for registering complaints is in place, however it is subject to shortcomings. No complaints have been received. Customer complaint process not readily apparent to website visitors. Customer feedback form found on website map is part of a separate process.	3	Ditto 293.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
297	A retailer, distributor and marketer must develop a guideline that assists their staff in delineating customer queries and complaints, and provides for the classification of customer complaints.	No guideline available on the basis of the small electricity customer base.	2	Guideline may be required to differentiate and prioritise responses.
298	A retailer and distributor must refer to their respective guidelines in their Customer Service Charter.	No reference made in CSC to guidelines due to the small electricity customer base.	2	Ditto 297
306, 311	A retailer must keep a record of the total number of payments made under the compensation indicators specified.	RIA operates under the Financial Audit Act. Compensation payments are processed in accordance with the Act and records kept accordingly.	3	A check will be required within the "Licence and Permit Register" to monitor compensation payments under the indicators specified in the COC.
313	A retailer must pay the stated compensation to an eligible customer where the customer is not reconnected in the manner specified and an exception to payment does not apply.	This requirement is not addressed in RIA documents – eg. Standard Form Contract and Customer Service Charter.	2	CSC will need to be amended.
315	A retailer must pay the stated compensation to an eligible customer where the retailer has failed to follow any of the specified procedures prior to disconnection for a failure to pay and an exception to payment does not apply.	Ditto 313.	2	CSC to be amended to reflect compensation.
316	A retailer must acknowledge and respond to a written query or complaint by an eligible customer within the timeframes prescribed.	A process for handling customer feedback and complaints has been established and documented, however it is subject to shortcomings as noted at item 293.	3	Ditto 293
317	A retailer must pay the stated compensation to an eligible customer where the retailer has failed to acknowledge or respond to a query or complaint within the timeframes prescribed and an exception to payment does not apply.	Ditto 313.	2	CSC to be amended to reflect compensation.
319	A distributor must pay the stated compensation to an eligible customer where the distributor has failed to provide the prescribed notification and an exception to payment does not apply.	This requirement is not addressed in RIA documents – eg. Contract and Customer Charter.	2	CSC to be amended to reflect compensation.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
320	A distributor must acknowledge and respond to a written query or complaint by an eligible customer within the timeframes prescribed.	Ditto 316.	3	Ditto 316.
324	A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer's electrical installations complies with prescribed standards.	The RIA's FOU agreement has capacity to meet this requirement. Capital Works Budget for 2007-08 (Sep 2007) -Transfield Services identified that voltage and harmonics are not being metered to confirm compliance with licence.	2	Electricity supply voltage and harmonics to be metered to monitor compliance with licence.
334	A distributor operating a relevant distribution system must, in specified circumstances, make a payment to a customer within a specific timeframe for a failure to give required notice of planned interruption.	Ditto 313.	2	CSC will need to be amended.
335	A distributor operating a relevant distribution system must, in specified circumstances, make a payment to a customer within a specific timeframe if a supply interruption exceeds 12 hours.	Ditto 313.	2	CSC will need to be amended.
336	A distributor operating a relevant distribution system must provide eligible customers with information about applying for payments for failure to meet the requirements in sections 18 and 19 of the Electricity Industry (Network Quality and Reliability of Supply) Code 2005.	Ditto 313.	2	CSC will need to be amended.
337	A distributor operating a relevant distribution system must provide written notice to customers about payments for failure to meet the requirements in sections 18 and 19 of the Electricity Industry (Network Quality and Reliability of Supply) Code 2005.	Ditto 313.	2	CSC will need to be amended.
338	A distributor operating a relevant distribution system must provide written notice to eligible customers about payments for failure to meet the requirements in sections 18 and 19 of the Electricity Industry (Network Quality and Reliability of Supply) Code 2005 not less than once in each financial year.	Ditto 313. Not performed.	2	Action will need to be performed.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
347	A distributor or transmitter must give a copy of its report about its performance to the Minister and the Authority within the specified period.	RIA have confirmed that the report was submitted late.	3	RIA to add a check to the "Licence and Permit Register" to control report issue date.
350	A network operator must ensure that its meters meet the requirements specified in the applicable metrology procedure and also comply with any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act.	FOU Contract includes responsibilities for compliance to all electricity licence requirements – metering included. TG is aware of responsibility. RIA is unable to verify which of its existing meters are in compliance of applicable procedure in this code.	2	Verify categories of all metering and investigate if they comply with the applicable procedure.
351	An accumulation meter must at least conform to the requirements specified in the applicable metrology procedure and display, or permit access to a display of, the accumulated electricity production or consumption at the metering point in the manner prescribed.	FOU Contract includes responsibilities for compliance to all electricity licence requirements – metering included. TG confirms that it has installed accumulation meters. TG is unable to verify whether the accumulation meters are in compliance of applicable procedure in this code.	2	Verify if accumulation meters are in compliance with code requirements.
352	An interval meter must at least have an interface to allow the interval energy data to be downloaded in the manner prescribed using an interface compatible with the requirements specified in the applicable metrology procedure.	TG has confirmed Interval meters are not in use. Loads of various feeders show that interval meters maybe required, compliance with code will need to be verified in future works.	3	Verify compliance with code requirements in future works.
354	A network operator must ensure that there is a metering installation at every connection point on its network which is not a Type 7 connection point. Unless it is a Type 7 metering installation, the metering installation must meet the functionality requirements prescribed.	TG confirms that a checklist is available to verify metering installation. No data has been viewed to confirm use of meters at every connection point which is not a Type 7 connection point.	3	RIA to verify.
355	A network operator must, for each metering installation on its network, on and from the time of its connection to the network, provide, install, operate and maintain the metering installation in the manner prescribed (unless otherwise agreed).	FOU Contract is in place to operate and maintain metering installations to the requirements of the Licence. RIA is not able to verify if any of the existing installation complies with the licence requirements.	3	RIA to investigate and verify.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
356	A network operator must ensure that, except for a Type 7 metering installation, the metering point for a revenue metering installation is located as close as practicable to the connection point in accordance with good electricity industry practice.	FOU Contract is in place to install and maintain metering installations to the requirements of the Licence. RIA is not able to verify if any of the existing installation complies with the licence requirements.	2	RIA to investigate and verify.
358	If a network operator becomes aware that a metering installation does not comply with the Code, the network operator must advise affected parties of the non-compliance and arrange for the non-compliance to be corrected as soon as practicable.	FOU Contract is in place with TG to ensure compliance with the requirements of the licence. However, RIA is not able to verify if any of the existing installations does not comply with the code.	3	RIA to investigate and verify.
360	A network operator must, for each metering installation on its network, ensure that the metering installation is secured by means of devices or methods which, to the standard of good electricity industry practice, hinder unauthorized access and enable unauthorized access to be detected.	FOU Contract is in place to install and maintain metering installations to the requirements of the Licence. Checks have been carried out however RIA is not able to verify if all of the existing installation comply with the licence requirements.	3	RIA to investigate and verify.
361	Each metering installation must meet at least the requirements for that type of metering installation specified in Table 3 in Appendix 1 of the Code.	FOU Contract is in place to install and maintain metering installations to the requirements of the Licence. TG confirms that a checklist is available to verify metering installation. No data has been viewed to verify if any of the existing installation complies with the licence requirements (also refer to item 352)	3	RIA to investigate and verify.
363	If compensation is carried out within the meter then the resultant metering system error must be as close as practicable to zero.	Ditto 361.	3	RIA to confirm.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
371	A network operator must maintain drawings and supporting information, to the standard of good electricity industry practice, detailing the metering installation for maintenance and auditing purposes.	FOU Contract is in place to maintain metering installations to the requirements of the Licence. No reports have been viewed of auditing/ verification during the audit period to check if any of the existing installation comply with the licence requirements. <u>Post Audit Action:</u> Drawings were viewed and found satisfactory, (refer to opportunities for improvement for additional recommendation).	3	Refer to opportunities for improvement for additional recommendation.
375	If, under clause 3.14(2) of the Code, a metering installation uses metering class CTs and VTs that do not comply with the prescribed requirements, then the network operator must either (or both) install meters of a higher class accuracy or apply accuracy calibration factors within the meter in order to achieve the overall accuracy requirements prescribed.	Validation of meter accuracy was not available during the audit.	2	Verification of meter accuracy is required.
376	A network operator must ensure that a Type 1 metering installation to Type 5 metering installation on the network has the facilities and functionality prescribed.	Not applicable as no Type 1 to 5 metering installation was present on Rottnest Island prior to Code application. Future installations will require check of compliance.	3	Future meter installations will require check of compliance.
384	Meters containing an internal real time clock must maintain time accuracy as prescribed. Time drift must be measured over a period of 1 month.	FOU Contract100 is in place to install, operate and maintain metering installations to the requirements of the Licence. RIA is not able to verify if any of the existing installation complies with the licence requirements.	3	RIA to investigate and verify.
391	A network operator must publish a list of registered metering installation providers, including the prescribed details, and at least annually, update the list.	FOU Contract is in place to install metering installations to the requirements of the Licence. List of competencies or registered installation providers was not available at the time of the audit.	3	List of registered installation providers to be published.
392	A network operator must establish, maintain and administer a metering database containing standing data and energy data for each metering point on its network.	FOU Contract is in place to operate and maintain metering in accordance with the requirements of the Licence. A meter register is available however not to the extent required by the Code.	2	A metering database will be required to the extent required by the Code.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
394	A network operator must prepare, and if applicable, must implement a disaster recovery plan to ensure that it is able, within 2 business days after the day of any disaster, to rebuild the metering database and provide energy data to Code participants.	No disaster recovery plan is available at present, incorporating a rebuild of the metering database and the availability of energy data within 2 days of any disaster.	2	RIA to provide a disaster recovery plan which includes a rebuild of its metering database and the availability of energy data within 2 days of any disaster.
395	A network operator must ensure that its registry complies with the Code and the prescribed clause of the market rules.	Ditto 392.	2	Ditto 392.
396	The standing data for a metering point must comprise at least the items specified.	Ditto 392.	2	Ditto 392.
398	A Code participant must not knowingly permit the registry to be materially inaccurate.	Ditto 392.	2	Ditto 392.
404	A network operator must have security devices and methods in place that ensure that energy data held in its metering installation and data held in its metering database is secured from unauthorized local or remote access, in the manner prescribed, sufficient to the standard of good electricity industry practice.	Ditto 392.	2	Ditto 392.
405	A network operator must ensure that electronic passwords and other electronic security controls are secured from unauthorized access and are only issued to authorized personnel.	Ditto 404. Security access procedures are in place requiring account login and password to be authorised.	3	Ditto 404.
406	A network operator must retain energy data in its metering database for each metering point on its network for at least the periods, and with the level of accessibility, prescribed.	Ditto 392.	2	Ditto 392.
409	A network operator must, for each metering point on its network, obtain energy data from the metering installation and transfer the energy data into its metering database within the timeframes prescribed.	Ditto 392.	2	Ditto 392.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
410	A network operator must, for each accumulation meter on its network, use reasonable endeavours to undertake a meter reading that provides an actual value at least once in any 12 month period.	FOU Contract places the responsibility for meter reading on the FOU Contractor, however no documentation was found specifying minimum requirement.	2	Requires documentation of meter reading process and requirements.
425	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 or for the purpose of providing metering services to the customer.	FOU Contract includes responsibilities for compliance to all electricity licence requirements – metering included. TG is aware of responsibility. RIA is currently unable to satisfactorily verify and/or response to this code. Further work is in progress.	2	RIA to verify requirement and ensure compliance.
444	A network operator must validate energy data in accordance with this Code applying, as a minimum, the prescribed rules and procedures and must, where necessary, substitute and estimate energy data under this Code applying, as a minimum, the prescribed rules and procedures.	FOU Contract is in place to manage metering installations to the requirements of the Licence. RIA is not able to verify if energy data validation complies with the licence requirements.	2	RIA to confirm validation of energy data.
448	Substitution or estimation of energy data is to be required when energy data is missing, unavailable or corrupted, including in the circumstances described.	Code is covered by - CSC (clauses 2.4 & 2.5) - Section 8.4 in the Standard Form Contract - FOU Contract requirements, schedule 7, item 1. A procedure for meter reading and data interpretation/entry was not viewed.	2	A procedure is required to document the requirement of the code to the meter reader and for data validation.
449	A network operator must review all validation failures before undertaking any substitution.	Ditto 448.	2	Ditto 448.
450	A network operator that determines that there is no possibility of determining an actual value for a metering point must designate an estimated or substituted value for the metering point to be a deemed actual value for the metering point.	Ditto 448.	2	Ditto 448.

Item	Licence Conditions	Findings	Comp Ratg.	Recommended Corrective Actions
451	A network operator that has designated a deemed actual value for a metering point must repair or replace the meter or one or more of components of metering equipment (as appropriate) at the metering point.	Ditto 448.	2	Ditto 448.
452	A network operator that uses an actual value (first value) for energy data for a metering point, and a better quality actual or deemed actual value is available (second value), must replace the first value with the second value if doing so would be consistent with good electricity industry practice.	Ditto 448.	2	Ditto 448.
453	A network operator that uses a deemed actual value (first value) for energy data for a metering point, and a better quality deemed actual value is available (second value), must replace the first value with the second value if doing so would be consistent with good electricity industry practice.	Ditto 448.	2	Ditto 448.
454	A network operator that uses an estimated or substituted value (first value) for energy data for a metering point, and a better quality actual, deemed, estimated or substituted value is available (second value), must replace the first value with the second value if doing so would be consistent with good electricity industry practice or the user and its customer jointly request it to do so.	Ditto 448.	2	Ditto 448.
456	A network operator must ensure the accuracy of estimated energy data in accordance with the methods in its metrology procedure and ensure that any transformation or processing of data preserves its accuracy in accordance with the metrology procedure.	Ditto 444.	2	Ditto 444.
463	A network operator must, in relation to its network, comply with the agreements, rules, procedures, criteria and processes prescribed.	Intent of compliance demonstrated in Management Meetings, FOU Contract and interviews with CEO and various managers. There is partial compliance with this requirement. Further work is in progress to achieve full compliance.	3	RIA to verify compliance with this code requirement.

4.2 ASSET MANAGEMENT SYSTEM REVIEW

Item	Asset Management Element/ Effectiv.Rating	Summary of Finding	Compl Ratg	Recommended Corrective Actions
1	Asset Planning	Asset strategies are evaluated in Draft Asset Management Plan, March 2008 (AMP), which includes maintenance, restoration and replacement strategies.	3	Finalise AMP.
1.7	Asset Planning Likelihood and consequences of asset failure are predicted	At the time of the audit a Risk Management Plan (RMP) by TG was in draft (includes Risk Profile dated May 2007) and activities such as risk management workshop and risk profiling were not complete.	2	Complete Risk Matrices, risk profiling, risk management workshop and Risk Management Plan.
2.2	Asset Creation and Acquisition: Evaluations include all life-cycle costs	Records exist for life-cycle costs for plant and forward estimates are available up to 2012, however business case evaluations did not include all information required.	2	Whole of life costing including operating, consumables, maintenance costs should be made available in evaluations.
2.4	Commissioning tests are documented and completed	There was no evidence of commissioning test records for plant installed in the recent past, like the Low Load Generators.	0	Commissioning test should be documented.
3.3	Asset Disposal Disposal alternatives are evaluated	A Disposal Plan is noted in the Draft Asset Management Plan, March 2008, however no details are included in the AMP at this point.	2	Complete AMP and Disposal Plan.
4	Environmental Analysis	Activities such as risk management workshop and risk profiling were not complete at the time of the audit.	2	Activities such as risk management workshop and risk profiling to be completed.
4.1	Opportunities and threats in the system environment are assessed	Long and short range opportunities and threats have been and are addressed in various documents. Activities such as risk management workshop and risk profiling were not complete at the time of the audit.	3	A risk workshop between RIA and TG should be completed.
4.3	Compliance with statutory and regulatory requirements	No process was in place yet for monitoring compliance with electricity licence compliance manual.	1	Establish a formal process for assessing and monitoring compliance with the Electricity Licence Compliance Manual.

Item	Asset Management Element/ Effectiv.Rating	Summary of Finding	Compl Ratg	Recommended Corrective Actions
5	Asset Operations: Operations plans adequately document the processes and knowledge of staff in the operation of assets so that service levels can be consistently achieved.	List of staff competencies was requested but not received.	2	List of staff competencies should be provided.
5.2	Risk management is applied to prioritise operations tasks	RMP by TG in draft has an incomplete risk profile for power generation and distribution, needs evaluation of risk and identification of controls. Maintenance response mechanism is escalated based on the job risks, no documentation provided.	1	Work is still in progress: risk profile for power generation and distribution needs evaluation of risk and identification of controls. RMP to be completed.
5.3	Assets are documented in an Asset Register including asset type, location, material, plans of components, an assessment of assets' physical / structural condition and accounting data.	A collection of asset registers is available, however not all registers include the information required: -transformers show age as "old" or "new", no accounting data. - cooling towers are included in the validation register, the asset condition column is blank, no accounting data.	1	Asset registers need to be completed and to reflect a format that satisfies the requirements of the licence.
5.4	Operational costs are measured and monitored	No Cost Reports found from TG to RIA since Transfield Services reports. Current FMA Weekly report says that budgets are available but costs to date are not available (11 Jan 08)	2	Reporting of operational costs should be clarified.
5.5	Staff receive training commensurate to their responsibilities	Staff qualifications reviewed by RIA at start of FOU Contract. Reviewed TG's "Competency management & training" Procedure. except for safety induction no record of training, training attendance or competency viewed.	3	Record of competency should be made available.
6.3	Asset Maintenance Maintenance plans (emergency, corrective and preventative) are documented and completed on schedule	Low level maintenance tasks are not being completed and are being dealt with on a reactive basis (AMP Sect. 2.4)	2	There should be a plan and a timetable to address incomplete low level maintenance tasks.
6.5	Risk management is applied to prioritise maintenance tasks	There is no documented process for prioritisation of lower level maintenance tasks, prioritisation is based on personnel expertise.	1	Prioritisation process for maintenance tasks should be documented.

Item	Asset Management Element/ Effectiv.Rating	Summary of Finding	Compl Ratg	Recommended Corrective Actions
7.7	Asset Management Information System s: Management reports appear adequate for the licensee to monitor licence obligations	Management reports would benefit in completeness by checking compliance to Compliance Manual.	2	Management reports should be reviewed to ensure full compliance with requirements of Electricity Licence.
8	Risk Management	RMP prepared by RIA deal with policy, exec. and senior management responsibilities and generic process for dealing with management of risk. TG's RMP is still in draft form.	1	TG's RMP requires to be finalised.
8.1	Risk management policies and procedures exist and are being applied to minimise internal and external risks associated with the asset management system	A Risk Management Plan (Issued May 2007) by TG (Draft) (RMP TG) exist which appears to pre-date current FOU. FOU Contract sets responsibility for RMP on TG, due March 2008.	2	TG's RMP requires to be finalised.
8.2	Risks are documented in a risk register and treatment plans are actioned and monitored	Risk registers are available in draft and are not complete for power.	1	Risk registers and treatment plans to be completed.
8.3	The probability and consequences of asset failure are regularly assessed	AMP is in draft form and does not include this information at present.	2	Probability and consequences of all asset failure needs to be fully documented.
9	Contingency plans have been developed and tested to minimise any significant disruptions to service standards.	Operators respond to maintenance calls according to a hierarchy of response, however no written plan was seen to define responsibilities/ priorities/ actions. No emergency plan viewed to address overall response to failures.	1	<p>A Contingency Plan is required including emergency plan and emergency response procedures:</p> <ul style="list-style-type: none"> - an emergency plan dealing with hierarchy of responses / priorities / responsibilities and linking to subordinate procedures, addressing actions in the case of explosion, fire, injury, pole or line down, etc., - a first on site response procedure should be available. <p>Testing of Contingency Plan is required to check its performance and maintain its currency and effectiveness.</p>

Item	Asset Management Element/ Effectiv.Rating	Summary of Finding	Compl Ratg	Recommended Corrective Actions
9.1	Contingency plans are documented, understood and tested to confirm their operability and to cover higher risks	Draft AMP March 2008 notes that procedures need to be put in place to deal with emergencies (sec 2.5).	0	Ditto 9. Actions noted in Draft Asset Management Plan will need to be followed up and monitored.
12.2	AMS Independent reviews (eg internal audit) are performed of the asset management system	AMP provides intent for application of Performance audits or compliance audits on assets, procedures and processes (Sec. 2.5). No schedule included.	2	The AMP should include or refer to a schedule for internal audits. Monitor that audits are carried out across the assets and critical processes.

Metering installation: there may be a need to review the metering requirements as the annual throughput at connection point may exceed 50 MWh at some points, which would necessitate the use of interval meters (reference Electricity Industry Metering Code 2005, Appendix 1.)

Item 85: Documentation from Authority does not indicate licence period covered by licence fee payment.

5 Post Audit Implementation Plan

The Post Audit Implementation Plan (PAI Plan) has been included in Appendix D . Each key finding and recommendation has been listed in the PAI Plan. For each recommendation the Licensee has recorded responses and corrective actions, responsibility for the actions and a proposed date for completion.

6 Other Information

A summary of the resources utilised in the performance of the audit are listed below, minor resource use and support staff have not been included in the list, hours are totalled up to the the delivery of the first draft audit report.

Item	Resource	Description	Hours
1	M Zammit	Project Director and Lead Auditor	255
2	J Heng	Auditor and Technical Reviewer	133

Appendix A

References - Acts, Regulations, Codes and Standards

APPENDIX A: REFERENCES - ACTS, REGULATIONS, CODES AND STANDARDS

Due to the large amount of documentation accessed during the audit, only the main documents are referred in this list. Other documentation is individually referred to in the audit and review tables and report.

	Reference Documents	Date
1	Business Case - Power Generation and Supply Rottnest Island	January 2008
2	Statement of Corporate Intent	2008-2009
3	Rottnest Island Authority Request for Capital Works Expenditure Approval (form)	
4	Rottnest Island Authority Strategic Development Plan	2007/08 - 2011/12
5	Authority Operating Structure	November 2007
6	Commercial Operations	November 2007
7	Executive Meeting	31 st January 2008
8	Senior Management Team Meeting	24 th January 2008
9	Rottnest Island Facilities, Operations and Utilities Management Agreement	10 September 2007
10	Advice of Acceptance of Offer for request for tender RIA 018/07 for the provision of leasehold property services on Rottnest Island	25 th October 2007
11	Government of Western Australia Request	21 st Sep 2007
12	Advice of Acceptance of offer for request for tender RFQ RIA 001/07 for provision for residential property management for Rottnest island	1 st Sep 2007
13	Government of Western Australia Request for Quote	13 th June 2007
14	Rottnest Island Authority – Our Code of Conduct	
15	Rottnest Island Authority Feedback Action Form	
16	Management of Customer Feedback/Complaints	
17	Rottnest Island Authority Complaints Management System Report and Recommendations	16 th May 2007
18	Rottnest Island Authority Complaints Management System Report and Recommendations Attachments	16 th May 2007
19	Rottnest Island Authority Operation of Electrical Services Customer Service Charter	2005
20	Business Services Procedures & Standard Forms Manual – By Category	
21	A Sustainable Future for Rottnest Executive Summary	May 2004
22	Rottnest Island Authority Economic Regulation Authority Electricity Compliance Reporting Manual – Data Sheets – Annexure4	13/09/2007
23	Electrical Industry Annual Report – Prepared by RIA and Transfield Services	2006/2007
24	Electrical Industry Annual Report – Prepared by Rottnest Island Authority	2006/2007

	Reference Documents	Date
25	Electricity Industry Annual Report – Prepared by Rottnest Island Authority	2005/06
26	Turning the Tide – The business sustainability of the Rottnest Island Authority Report 9	November 2003
27	Rottnest Island Authority Amendment Bill	2007
28	Rottnest Island Authority Capital Works Program	
29	Rottnest Island Authority Request for Capital Works Expenditure Approval	2006
30	Decision on: Integrated Regional Licence Application for Rottnest Island Authority	2006
31	Rottnest Island Authority report for master plan utility services - Key Report GHD	October 2007
32	Rottnest Island Authority Risk Management Manual	April 2007
33	Rottnest Island Authority Standard Form Contract - draft	January 2006
34	Rottnest Island Authority Amendment Bill	2007
35	Facilities, Operations and Utilities Management Agreement, Works Management and Request Procedure from Tungsten Group	
36	Rottnest Island Authority Asset Management Plan Power – Draft Copy from Tungsten Group	March 2008
37	Internal Memo – Meeting Structure and Schedule from Tungsten Group	27 th March 2008
38	Maintenance Work Order from Tungsten Group	
39	Job Safety Analysis Rottnest Island	31 st Dec. 2007
40	Power Generation and Distribution Services – Procedures Spreadsheet	
41	Services Facilities Capital Works Budget	2007-2008
42	Audit Guidelines: Electricity, Gas and Water Licences	September 2006
43	Integrated Regional Licence – Electricity Industry Act 2004 (WA)	21 st June 2006
44	Audit Guidelines – Electricity, Gas and Water Licences	September 2006
45	Code of Conduct for the Supply of Electricity to Small Use Customers	31 Dec 2004
46	Code of Conduct for the Supply of Electricity to Small Use Customers – Amd 1	7 Jan 2005
47	Code of Conduct for the Supply of Electricity to Small Use Customers – Amd 2	31 Mar 2006
48	Code of Conduct for the Supply of Electricity to Small Use Customers – Amd 3	13 Mar 2007

	Acts, Regulations, Codes and Standards	Date
49	Energy Coordination Act 1994	1994
50	Rottnest Island Authority Act 1987	1 Feb 2007
51	Electricity Industry (Network Quality and Reliability of Supply) Code 2005	2005
52	Electricity Industry Metering Code 2005	23 Dec 2005
53	Electricity Industry (Access Code Enforcement) Regulations 2005	6 Sep 2005

Appendix B
Operational / Performance audit

Appendix C
Asset Management Review

Appendix D
Post Audit Implementation Plan
