



**Operational / Performance Audit
Audit Checklist and Summary:**

Scope of audit: Operational / Performance Audit:

- Assess the effectiveness of systems and procedures and the adequacy of internal controls.
- Consider performance against standards prescribed in license.
- 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 license conditions.

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CHECKLIST AND SUMMARY:

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low /Med/High		Strong/Mod/Weak	1-High 5-Low				
SECTION 7 – ELECTRICITY INDUSTRY CUSTOMER TRANSFER CODE - LICENCE CONDITIONS AND OBLIGATIONS				Section 7 of the Electricity Compliance Reporting Manual contains Licence Conditions and Obligations relating to Electricity Industry Customer Transfer Code. This section is not applicable to Rottneest Island Authority. The Island is a monopoly and the customers cannot be transferred. This code is applicable to Western Power as a 'ring-fenced' Network Operator treating all Retailers (including Synergy) at arms-length basis.										
SECTION 8 – ELECTRICITY INDUSTRY (OBLIGATION TO CONNECT) CODE – LICENCE CONDITIONS AND OBLIGATIONS				Section 8 of the Electricity Compliance Reporting Manual contains Licence Conditions and Obligations relating to Electricity Industry 'Obligation to Connect' Code. The conditions in this Section relates to two different situations – (1) if there is Retailer who is another Code Participant or User on the Island, or (2) a customer as a User on the Island. In (1), the situation is not applicable to Rottneest Island since it is a monopoly – it has an Integrated Regional Licence. In (2), the customer situation does not apply either as all the properties and land on the Island are owned by Rottneest Island Authority and therefore the circumstances described in the Regulations regulation 4 does not arise at all.										

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SECTION 9 – ELECTRICITY INDUSTRY (LICENCE CONDITIONS) REGULATIONS – LICENCE CONDITIONS AND OBLIGATIONS				Section 9 of the Electricity Compliance Reporting Manual contains Licence Conditions and Obligations relating to Electricity Industry 'Licence Conditions' Regulations – in this instance for the purchase of renewable source electricity. This section is not applicable to Rottneast Island Authority for the following reasons: 1. RIA is not an Electricity Corporation. It has only an Integrated Regional Licence to operate and generate own electricity to distribute and retail to small use customers on the island. 2. The Island is a monopoly and there is no provision for customers to build and own a renewable source of electricity to sell to the RIA.										
SECTION 10 – ELECTRICITY INDUSTRY ACT – LICENCE CONDITIONS AND OBLIGATIONS														
81	Distribution Licence condition 18.1 Generation Licence condition 15.1 Integrated Regional Licence condition 23.1 Retail Licence condition 22.1 Transmission Licence condition 15.1	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.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition Statement of Corporate Intent FOU Contract Exec. Management Meetings Senior Team Meetings – chaired by CEO Allocation of responsibilities 	Strong	5	<ul style="list-style-type: none"> Statement of Corporate Intent Risk Management Plan Senior Team Meetings Minutes 	RIA issued a formal Audit Request in Dec 2007 for the provision of the performance audit [RFQ RIA 030/07, for the "Provision of Electricity Licence Performance Audit and Asset Management Systems Review", closing 21/12/07]. No performance audit had been carried out within the audit period.	4	
82	Distribution Licence condition 19.1 Generation Licence condition 16.1 Integrated Regional Licence condition 24.1 Transmission Licence condition 16.1	Electricity Industry Act section 14(1)(a)	A licensee must provide for an asset management system.	NR	Maj	Unlikely	High	<ul style="list-style-type: none"> RIA Amendment Bill 2007 RIA Licence Condition FOU Contract Asset Management Plan Internal audits 	Moderate	2	<ul style="list-style-type: none"> Interview with Operations Manager (RIA), FOU Contract Manager & O&U Manager (TG) Asset Management System Asset Management Plan Asset Life Cycle records Maintenance records 	Requirement is a condition of the FOU Contract [established 10 September 2007] and TG are responsible for compliance. TG have provided a Draft Asset Management Plan [March 2008] and demonstrated that they have records of the asset management system. Original Electricity Licence condition 24.3 required the provision of a report on the asset management system by 30 April 2007. This was waived by the Authority [Authority letter of 24 Oct. 2007] on request from RIA.	3	Asset Management System is still in development and will require completion.
83	Distribution Licence condition 19.1 and 19.2 Generation Licence condition 16.1 and 16.2 Integrated Regional Licence condition 24.1 and 24.2 Transmission Licence condition 16.1 and 16.2	Electricity Industry Act section 14(1)(b)	A licensee must notify details of the asset management system within 2 working days from the commencement date or from the completion date of the generating works or distribution system, whichever is later, and any substantial changes to it to the Authority. within 10 working days of such a change.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition Allocation of responsibilities FOU Contract Senior Team Meetings Monthly O & M Reports & Meetings 	Moderate	5	<ul style="list-style-type: none"> Interview Asset Management Plan Asset Register Monthly O & M Reports (TG to RIA) 	Requirement is a condition of the FOU Contract [established 10 September 2007] and TG are responsible for compliance. There have been no substantial changes to the assets in the audit period.	4	

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

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84	Distribution Licence condition 19.3 Generation Licence condition 16.3 Integrated Regional Licence condition 24.3	Electricity Industry Act section 14(1)(c)	A licensee must provide the Authority with a report by an independent expert as to the effectiveness of its asset management system every 24 months, or such longer period as determined by the Authority.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition Allocation of responsibilities Exec. Meetings Senior Team Meetings 	Moderate	5	<ul style="list-style-type: none"> Interview Statement of Corporate Intent Risk Management 	No report was prepared within the audit period. Licence condition 24.2 required the provision of the report by the 30 April 2007. RIA was granted an extension to the 30 April 2007 by the Authority. RIA issued a formal Audit Request in Dec 2007 for the provision of the asset management review [RFQ RIA 030/07, for the Provision of Electricity Licence Performance Audit and Asset Management Systems Review, closing 21/12/07].	4	
85	Distribution Licence condition 4.1 Generation Licence condition 4.1 Integrated Regional Licence condition 4.1 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.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition External Invoicing Accounting Procedures 	Moderate	5	<ul style="list-style-type: none"> Interview Statement of Corporate Intent Risk Management 	Requirement is a condition of the FOU Contract [established 10 September 2007] which requires reporting on status of licence and expiry, renewal etc. Discussion with TG has confirmed requirement for annual payment of fees, fee paid till the 21/6/2008 and scheduled for payment on the 21/7/2008.	5	
86	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 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.	NR	Maj	Unlikely	High	<ul style="list-style-type: none"> Licence Condition FOU Contract Risk Management Plan Emergency Response Plan Performance Reporting (KPI) 	Strong	2	<ul style="list-style-type: none"> Interview Customer Service Charter Emergency Procedures Performance records 	FOU Contract requires TG to report monthly on breakdown repairs and reasons for any delays as well as on performance indicators on a annual basis. Performance is tied up to financial remuneration.	4	
87	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 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.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable 				RIA is the authority and administrator of the Island.	NA	
88	Integrated Regional Licence condition 13.1 Retail Licence condition 13.1	Electricity Industry Act section 54(1)	A retail or integrated regional licensee must not supply electricity to a small use customer otherwise than under a standard form contract or a non-standard form contract.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition Customer Service Charter Accounts procedures 	Strong	5	<ul style="list-style-type: none"> Interview Standard Form Contract 	The Standard Form Contract was published as draft (17 February 2006) and approved by the Authority on 21 June 2006. RIA have been using the final version.	4	

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89	Integrated Regional Licence condition 14.4 Retail Licence condition 14.4	Electricity Industry Act section 54(2)	A licensee must comply with any direction by the Authority to amend the standard form contract and do so within the period specified.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition Customer Service Charter Senior Team Meetings 	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter 	No direction received from the Authority.	5	
90	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Act section 62(1)(b)	Electricity Networks Corporation and Regional Power Corporation must comply with a direction given by the Coordinator in relation to a draft extension and expansion policy.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable 				RIA is limited to Rottneast Island under the RIA Act.	NA	
91	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Act section 64(2)	Electricity Networks Corporation and Regional Power Corporation must comply with a direction given by the Coordinator in relation to an amendment to an extension and expansion policy.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable 				RIA is limited to Rottneast Island under the RIA Act.	NA	
92	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Act section 65(d)	Electricity Networks Corporation and Regional Power Corporation must implement arrangements set out in an approved extension and expansion policy.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable 				RIA is limited to Rottneast Island under the RIA Act.	NA	
93	Integrated Regional Licence 17.1 Retail Licence condition 17.1	Electricity Industry Act section 76	If a designation under section 71(1) of the Electricity Industry Act is in force a licensee must perform the functions of a retailer of last resort and must carry out the supplier of last resort plan if it comes into operation under section 70 of the Electricity Industry Act.	2	Maj	Prob	High	<ul style="list-style-type: none"> Not Applicable 				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
94	Distribution Licence condition 14.1 Integrated Regional Licence 19.1 Retail Licence condition 19.1	Electricity Industry Act section 101	A retail, distribution or integrated regional licensee must not supply electricity to small use customers unless the licensee is a member of an approved scheme and is bound by and compliant with any decision or direction of the electricity ombudsman under the approved scheme.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence Condition Customer Service Charter WEM Code Participant 	Strong	5	<ul style="list-style-type: none"> Interview RIA Act 	RIA is a code participant in the WEM, therefore is a member of an approved scheme.	5	
95	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Act section 115(1)	A licensee that is a network service provider or an associate of a network service provider, in relation to network infrastructure covered by the Code, must not engage in conduct for the purpose of hindering or prohibiting access by any person to services in accordance with the Code, the making of access agreements or any particular agreement in respect of those facilities, or the access to which a person is entitled under an access agreement or a determination made by way of arbitration.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable 				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	

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96	Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission 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.	2	Maj	Unlikely	High	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
SECTION 11 – ELECTRICITY LICENCES – LICENCE CONDITIONS AND OBLIGATIONS														
97	Electricity section 11 Industry Act	Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A licensee must ensure that an electricity marketing agent of the licensee complies with the applicable codes.	2	Min	Unlikely	Low	• Not Applicable				RIA does not employ electricity marketing agent.	NA	
98	Electricity section 11 Industry Act	Integrated Regional Licence condition 6.2 Retail Licence condition 6.2	The licensee must report a breach of the applicable code conditions by an electricity marketing agent to the Authority within the prescribed timeframe.	2	Min	Unlikely	Low	• Not Applicable				RIA does not employ electricity marketing agent.	NA	
99	Electricity section 11 Industry Act	Integrated Regional Licence condition 13.2 Retail Licence condition 13.2	A licensee must, if directed by the Authority, review the standard form contract and submit to the Authority the results of that review within the time specified by the Authority.	NR	Min	Unlikely	Low	• Licence conditions • Customer Service Charter	Strong	5	• Interview • Standard Form Contract • Risk Management process	RIA has advised that no request for review has been received from the Authority.	5	
100	Electricity section 11 Industry Act	Integrated Regional Licence condition 13.3 Retail Licence condition 13.3	A licensee must comply with any direction given by the Authority in relation to the scope, process and methodology of the standard form contract review.	NR	Min	Unlikely	Low	• Licence conditions • Exec. Management Meetings • Senior Team Meetings • Customer Service Charter	Moderate	5	• Interview • Standard Form Contract • Risk Management process	RIA has advised that no direction has been received from the Authority.	5	
101	Electricity section 11 Industry Act	Integrated Regional Licence condition 14.1 Retail Licence condition 14.1	A licensee may only amend the standard form contract with the Authority's approval.	2	Min	Unlikely	Low	• Licence conditions	Moderate	5	• Interview. • Standard Form Contract. • Risk Management	Standard Form Contract has not been amended or updated during the audit period.	5	
102	Electricity section 11 Industry Act	Distribution Licence condition 12.2 Integrated Regional Licence condition 15.2 Retail Licence condition 15.2	A licensee must, unless otherwise notified in writing by the Authority, review the customer service charter within the timeframe specified, and submit to the Authority the results of that review within 5 days after it is completed.	2	Min	Unlikely	Low	• Licence conditions • Customer Service Charter	Moderate	5	• Interview. • Risk Management	Last date of review of customer service charter is 2005, licence issued in 2006 and next review due in 2009.	5	

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103	Electricity section 11	Industry Act	Distribution Licence condition 15.2 Generation Licence condition 12.2 Integrated Regional Licence condition 20.2 Transmission Licence condition 12.2	2	Mod	Unlikely	Med	<ul style="list-style-type: none"> • Licence condition • 5 Year Management Plan • Business Plan • Exec. Management Meetings • Asset Management Plan • FOU Contract 	Moderate	4	<ul style="list-style-type: none"> • Asset Management System • Business Plan • Risk Management 	Process for expansion/reduction goes through a rigorous process. Viewed documents covering Low Load Generating Plant procurement [RI Taskforce Recommendation Business Case Summary and ERC Approval Request (Low Load Diesel Generators)]. Responsibility for advising the Authority is with FOU Contractor and is documented.	4	
104	Electricity section 11	Industry Act	Distribution Licence condition 15.3 Generation Licence condition 12.3 Integrated Regional Licence condition 20.3 Transmission Licence condition 12.3	2	Min	Unlikely	Low	<ul style="list-style-type: none"> • RIA Act • Licence condition 	Strong	5	<ul style="list-style-type: none"> • Asset Management System • Business Plan • Risk Management 	Covered by RIA Act and reporting in Executive Meetings and to Government.	5	
105	Electricity section 11	Industry Act	Distribution Licence condition 16.1 Generation Licence condition 13.1 Integrated Regional Licence condition 21.1 Retail Licence condition 20.1 Transmission Licence condition 13.1	2	Mod	Unlikely	Med	<ul style="list-style-type: none"> • Licence condition • Financial Act • Accounting Procedures • External Audit Reports 	Strong	4	<ul style="list-style-type: none"> • Interview. • Risk Management • Accounting Procedures • External Audit Reports 	RIA is subject to the Financial Management Act 2006 and to the Auditor General Act 2006 [RIA Act 1987, sect. 40] Certified Financial statements were included in Annual Report 2006-07 and audited by the Auditor General.	5	
106	Electricity section 11	Industry Act	Distribution Licence condition 17.4 Generation Licence condition 14.4 Integrated Regional Licence condition 22.4 Retail Licence condition 21.4 Transmission Licence condition 14.4	2	Mod	Unlikely	Med	NA				No individual performance standards have been prescribed by the Authority.	NA	
107	Electricity section 11	Industry Act	Distribution Licence condition 18.2 Generation Licence condition 15.2 Integrated Regional Licence condition 23.2 Retail Licence condition 22.2 Transmission Licence condition 15.2	2	Mod	Unlikely	Med	Licence condition ERA Compliance Manual FOU Contract	Strong	4	<ul style="list-style-type: none"> • Interview • Licence Status Report (FOU) • Audit Report • Audit Service Agreement • Risk Management. 	Audit Request [RFQ RIA 030/07, for the Provision of Provision of Electricity Licence Performance Audit and Asset Management Systems Review, closing 21/12/07] stipulates compliance requirements on auditors.	5	

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108	Electricity section 11	Industry Act Distribution Licence condition 19.4 Generation Licence condition 16.4 Integrated Regional Licence condition 24.4 Transmission Licence condition 16.4	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.	2	Mod	Unlikely	Med	Licence condition ERA Compliance Manual FOU Contract Asset Management Plan	Moderate	4	<ul style="list-style-type: none"> Interview. Risk Management. 	FOU Contract includes responsibilities for compliance with all electricity licence requirements. TG are aware of responsibility, evidence of compliance is a Draft Asset Management Plan produced by TG covering the Asset Management System [March 2008]. 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 is required to demonstrate the review of compliance against the individual requirements of the Electricity Licence as listed in the Compliance Manual.
109	Electricity section 11	Industry Act Distribution Licence condition 20.1 Generation Licence condition 17.1 Integrated Regional Licence condition 25.1 Retail Licence condition 23.1 Transmission Licence condition 17.1	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 may affect a licensee's ability to meet its obligations.	2	Mod	Unlikely	Med	ERA Compliance Manual FOU Contract Asset Management Plan	Strong	4	<ul style="list-style-type: none"> Interview Minutes of Exec. Management Meetings Minutes of Senior Team Meetings 	RIA is the administrator. RIA is not under external administration. Extensive system of executive and management meetings is in place, with a layered set of organisational scope and responsibility. Significant changes to licence conditions will be subject to scrutiny/evaluation by several parties. FOU Contract places responsibility on a second party for monitoring and reporting on compliance to the licence.	1	
110	Electricity section 11	Industry Act Distribution Licence condition 21.1 Generation Licence condition 18.1 Integrated Regional Licence condition 26.1 Retail Licence condition 24.1 Transmission Licence condition 18.1	A licensee must provide the Authority, in the manner prescribed, any information the Authority requires in connection with its functions under the Electricity Industry Act.	2	Min	Unlikely	Low	Licence condition Exec. Management Meetings Senior Team Meetings FOU Contract	Strong	5	<ul style="list-style-type: none"> Interview Minutes of Exec. Management Meetings Minutes of Senior Team Meetings Risk Management. 	RIA have in place FOU Contract which stipulates responsibilities for compliance to all electricity licence requirements on Contractor (TG). TG are aware of responsibility.	4	
111	Electricity section 11	Industry Act Distribution Licence condition 22.2 Generation Licence condition 19.2 Integrated Regional Licence condition 27.2 Retail Licence condition 25.2 Transmission Licence condition 19.2	A licensee must publish any information it is directed by the Authority to publish, within the timeframes specified.	2	Min	Unlikely	Low	Licence condition Exec. Management Meetings Senior Team Meetings FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview Minutes of Exec. Management Meetings Minutes of Senior Team Meetings Review of compliance process 	RIA has responsibilities in place to ensure the publication of information as directed by the Authority. RIA and TG have confirmed that no directions for publication have been received.	4	

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112	Electricity section 11	Industry Act Distribution Licence condition 23.1 Generation Licence condition 20.1 Integrated Regional Licence condition 28.1 Retail Licence condition 26.1 Transmission Licence condition 20.1	Unless otherwise specified, all notices must be in writing.	2	Min	Unlikely	Low	Licence condition ERA Compliance Manual Exec. Management Meetings Senior Team Meetings	Strong	5	<ul style="list-style-type: none"> Interview Review of compliance process Risk Management 	RIA has responsibilities in place to ensure the publication of information as directed by the Authority. RIA and TG have confirmed that no directions for publication have been received.	4	
SECTION 12 – CODE OF CONDUCT – LICENCE CONDITIONS AND OBLIGATIONS														
113	Electricity section 82	Industry Act Code of Conduct clause 2.1 Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must ensure that its marketing representatives comply with Part 2 of the Code of Conduct.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
114	Electricity section 82	Industry Act Code of Conduct clause 2.2(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must ensure that each marketing representative acting on its behalf undertakes appropriate training and testing so that each marketing representative understands Part 2 of the Code of Conduct and has the abilities, knowledge and understanding specified.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
115	Electricity section 82	Industry Act Code of Conduct clause 2.2(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must ensure that each marketing representative acting on its behalf is given a copy of the Code of Conduct.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
116	Electricity section 82	Industry Act Code of Conduct clause 2.2(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep training manuals and records of training undertaken by its marketing representatives.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
117	Electricity section 82	Industry Act Code of Conduct clause 2.3(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must give the stated contact details to the Authority and ensure that those contact details are kept up to date.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	

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118	Electricity section 82	Industry Act	Code of Conduct clause 2.3(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must give to the Authority on request the name, street address of the place of work and telephone number of each marketing representative acting on its behalf.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
119	Electricity section 82	Industry Act	Code of Conduct clause 2.4 Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	If a marketer is not a retailer, the marketer must give a written statement of compliance with the Code of Conduct, which is not false, misleading or deceptive, to a retailer for each customer that was introduced by the marketer to the retailer or with whom the marketer arranged or facilitated a contract for the retailer, once every 6 months.	2	Mod	Unlikely	Med	• Not Applicable			RIA does not use electricity marketing agent	NA	
120	Electricity section 82	Industry Act	Code of Conduct clause 2.5 Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must ensure that standard and non-standard contracts are entered into in the manner and satisfying the conditions specified.	2	Mod	Unlikely	Med	• Not Applicable			RIA does not use electricity marketing agent	NA	
121	Electricity section 82	Industry Act	Code of Conduct clause 2.6(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must ensure that the information specified is provided to the customer before arranging a contract.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
122	Electricity section 82	Industry Act	Code of Conduct clause 2.6(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	Where a standard form contract is not entered into as a result of door to door marketing, a marketing representative must obtain and make a record of the customer's verifiable consent that the specified information has been given.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
123	Electricity section 82	Industry Act	Code of Conduct clause 2.6(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	Where a standard form contract is entered into as a result of door to door marketing, a marketing representative must obtain the customer's written acknowledgement that the specified information has been given.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
124	Electricity section 82	Industry Act	Code of Conduct clause 2.7(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	Where the customer has entered into a new contractual relationship with a retailer, a retailer or marketing representative must give the information specified to the customer.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
125	Electricity section 82	Industry Act	Code of Conduct clause 2.7(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	In circumstances where a standard form contract is not entered into as a result of door to door marketing, a retailer or marketing representative must give the specified information no later than with the customer's first bill.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
126	Electricity section 82	Industry Act	Code of Conduct clause 2.7(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	In circumstances where a standard form contract is entered into as a result of door to door marketing or a non-standard contract, a retailer or marketing representative must give the specified information and a copy of the contract before the customer has entered into the contract and must obtain a written acknowledgement that the information has been given.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
127	Electricity section 82	Industry Act	Code of Conduct clause 2.7(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must inform the customer of the customer's liability regarding electricity and any other services supplied to the customer prior to the end of a cooling off period.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
128	Electricity section 82	Industry Act	Code of Conduct clause 2.8(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must not, when marketing, engage in conduct that is misleading, deceptive or likely to mislead or deceive or that is unconscionable.	2	Mod	Unlikely	Med	• Not Applicable			RIA does not use electricity marketing agent	NA	
129	Electricity section 82	Industry Act	Code of Conduct clause 2.8(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must not exert undue pressure on a customer, nor harass or coerce a customer.	2	Mod	Unlikely	Med	• Not Applicable			RIA does not use electricity marketing agent	NA	
130	Electricity section 82	Industry Act	Code of Conduct clause 2.8(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must ensure that the inclusion of concessions is made clear to customers and any prices that exclude concessions are disclosed.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
131	Electricity section 82	Industry Act	Code of Conduct clause 2.8(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must give a customer on request the contact details of the marketer.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Wweak	1-High 5-Low				
132	Electricity section 82	Industry Act Code of Conduct clause 2.8(5) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must ensure that all standard form contracts that are entered into as a result of door to door marketing and all non-standard contracts are in writing.	2	Mod	Unlikely	Med	• Not Applicable				RIA does not use electricity marketing agent	NA	
133	Electricity section 82	Industry Act Code of Conduct clause 2.8(6) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must not represent that a non-standard contract is a standard form contract to a customer.	2	Mod	Unlikely	Med	• Not Applicable				RIA does not use electricity marketing agent	NA	
134	Electricity section 82	Industry Act Code of Conduct clause 2.8(7) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must ensure that any comparisons and claims made by a retailer are timely, accurate and verifiable.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
135	Electricity section 82	Industry Act Code of Conduct clause 2.8(8) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must ensure that a customer is able to contact the marketer on the marketer's telephone number during normal business hours for the purposes of enquiries, verifications and complaints.	2	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
136	Electricity section 82	Industry Act Code of Conduct clause 2.9(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must provide the information specified to the customer when marketing by telephone and after having identified the purpose of the call, the marketing representative must ask the customer whether they wish to proceed further.	2	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
137	Electricity section 82	Industry Act Code of Conduct clause 2.9(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must, on request, provide the customer with the information specified.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
138	Electricity section 82	Industry Act Code of Conduct clause 2.9(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	If a customer indicates during a telephone call that they wish to end the conversation, a marketing representative must end the conversation as soon as practicable and not attempt to contact the customer for the purposes of marketing for the next 30 days unless the customer agrees otherwise.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
139	Electricity section 82	Industry Act Code of Conduct clause 2.9(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must not make a telephone call outside the permitted call times, unless requested by a customer.	2	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
140	Electricity section 82	Industry Act Code of Conduct clause 2.9(5) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must ensure that a telephone call does not continue for more than 15 minutes past the end of the permitted call times without the customer's verifiable consent.	2	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
141	Electricity section 82	Industry Act Code of Conduct clause 2.9(6) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep the specified records regarding each telephone call made on behalf of the marketer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
142	Electricity section 82	Industry Act Code of Conduct clause 2.10(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must provide the information specified verbally to the customer when marketing at a customer's premises, as soon as practicable, and, having identified the purpose of the visit, must ask if the customer wishes to proceed further.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
143	Electricity section 82	Industry Act Code of Conduct clause 2.10(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must offer the information specified in writing to the customer when marketing at a customer's premises, as soon as practicable.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
144	Electricity section 82	Industry Act Code of Conduct clause 2.10(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must wear a clearly visible and legible identity card showing the information specified when marketing at a customer's premises.	2	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
145	Electricity section 82	Industry Act Code of Conduct clause 2.10(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	Where a customer indicates that they wish to end the conversation or wishes the marketing representative to leave, the marketing representative must leave the premises and not attempt to contact the customer for the next 30 days.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
146	Electricity section 82	Industry Act Code of Conduct clause 2.10(5) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must not visit the customer outside the permitted call times, unless requested by a customer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
147	Electricity section 82	Industry Act Code of Conduct clause 2.10(6) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must not remain at a premises for the purposes of marketing for more than 15 minutes past the end of the permitted call times, without the customer's verifiable consent.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
148	Electricity section 82	Industry Act Code of Conduct clause 2.10(7) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep the specified records regarding each visit made on behalf of the marketer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
149	Electricity section 82	Industry Act Code of Conduct clause 2.11(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must provide the information specified verbally when meeting a customer, as soon as practicable, and after having identified the purpose of the contact, ask if the customer wishes to proceed further.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
150	Electricity section 82	Industry Act Code of Conduct clause 2.11(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must offer the information specified in writing when meeting a customer, as soon as practicable.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
151	Electricity section 82	Industry Act Code of Conduct clause 2.11(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must wear a clearly visible and legible identity card showing the information specified when meeting a customer.	2	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
152	Electricity section 82	Industry Act Code of Conduct clause 2.11(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must ensure that a meeting with a customer does not occur outside the permitted call times, unless requested by a customer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
153	Electricity section 82	Industry Act Code of Conduct clause 2.11(5) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must ensure that the meeting does not continue for more than 15 minutes past the end of the permitted call times, without the customer's verifiable consent.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
154	Electricity section 82	Industry Act Code of Conduct clause 2.11(6) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep the specified records about a meeting with a customer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
155	Electricity section 82	Industry Act Code of Conduct clause 2.12(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must provide the information specified to the customer when marketing by electronic means.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Wweak	1-High 5-Low				
156	Electricity section 82	Industry Act Code of Conduct clause 2.12(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must not attempt to contact the customer for the purposes of marketing for 30 days after the customer indicates that the customer does not wish to proceed, unless the customer agrees otherwise.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
157	Electricity section 82	Industry Act Code of Conduct clause 2.12(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep the specified records about each contact or attempted contact with a customer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
158	Electricity section 82	Industry Act Code of Conduct clause 2.13(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	Where the customer requests not to be contacted for the purposes of marketing a marketer must use reasonable endeavours to ensure that a customer is not contacted on its behalf in relation to the supply of electricity for a period of two years.	NR	Min	Probable	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
159	Electricity section 82	Industry Act Code of Conduct clause 2.13(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep a record of each customer who has requested not to be contacted, that includes the specified information.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
160	Electricity section 82	Industry Act Code of Conduct clause 2.13(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must give a copy of the record to the Electricity Ombudsman or the Authority on request.	NR	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
161	Electricity section 82	Industry Act Code of Conduct clause 2.13(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must provide the customer on request with written confirmation that the customer will not be contacted for the next two years.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
162	Electricity section 82	Industry Act Code of Conduct clause 2.13(5) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketing representative must comply with a notice on or near premises indicating that the customer does not wish to receive unsolicited mail or other marketing information.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	
163	Electricity section 82	Industry Act Code of Conduct clause 2.14(1) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer or marketing representative must only collect and use personal information in the course of marketing for the marketing purposes of the retailer.	2	Min	Unlikely	Low	• Not Applicable				RIA does not use electricity marketing agent	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
164	Electricity section 82	Industry Act	Code of Conduct clause 2.14(2) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer or marketing representative must collect personal information directly from the customer to whom it relates unless written consent has been provided or the information relates to the customer's credit history.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
165	Electricity section 82	Industry Act	Code of Conduct clause 2.14(3) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer or marketing representative must not disclose personal information collected for marketing purposes to another person unless the specified conditions are satisfied.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
166	Electricity section 82	Industry Act	Code of Conduct clause 2.14(4) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must use reasonable endeavours to protect personal information held by the marketer from misuse, loss, unauthorised access or modification.	NR	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
167	Electricity section 82	Industry Act	Code of Conduct clause 2.14(5) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer who holds personal information must give the customer the opportunity, on request, to review the information and correct any errors in it.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
168	Electricity section 82	Industry Act	Code of Conduct clause 2.14(6) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must give the customer reasons why the customer cannot review the personal information if prevented by law from giving the customer the opportunity to review the information.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
169	Electricity section 82	Industry Act	Code of Conduct clause 2.14(7) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer must keep a record of each consent given by a customer.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
170	Electricity section 82	Industry Act	Code of Conduct clause 2.14(8) Integrated Regional Licence condition 6.1 Retail Licence condition 6.1	A marketer and a marketing representative must comply with the National Privacy Principles.	2	Min	Unlikely	Low	• Not Applicable			RIA does not use electricity marketing agent	NA	
171	Electricity section 82	Industry Act	Code of Conduct clause 3.1(1)	If a retailer agrees to sell electricity to a customer or arrange for the connection of the customer's supply address, the retailer must forward the customer's request for the connection to the relevant distributor.	2	Min	Unlikely	Low	• Not Applicable			RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
172	Electricity section 82	Industry Act	Code of Conduct clause 3.1(2)		2	Min	Unlikely	Low	• Not Applicable			RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
173	Electricity section 82	Industry Act	Code of Conduct clause 4.1		2	Min	Unlikely	Low	• Licence condition • Standard Form Contract • Accounting Procedures • Service Agreement Contract	Strong	5	• Interview • Customer Service Charter • Service Agreement Contract	Standard Form Contract & Customer Service Charter indicated that billing is on regular basis. Check with RIA Operation Manager and TG has confirmed that the cycle is monthly.	4
174	Electricity section 82	Industry Act	Code of Conduct clause 4.2(2)		2	Min	Unlikely	Low	Licence condition Standard Form Contract Accounting Procedures	Moderate	5	• Interview • Customer Service Charter • Service Agreement Contract	Standard Form & Customer Service Charter do not include shortened billing cycle. Check with RIA Operation Manager and TG has confirmed this.	5
175	Electricity section 82	Industry Act	Code of Conduct clause 4.2(3)		2	Min	Unlikely	Low	Licence condition Standard Form Contract Accounting Procedures	Moderate	5	• Interview • Customer Service Charter • Service Agreement Contract	Standard Form & Customer Service Charter do not include shortened billing cycle. Check with RIA Operation Manager and TG has confirmed this.	5
176	Electricity section 82	Industry Act	Code of Conduct clause 4.2(4)		2	Min	Unlikely	Low	Licence condition Standard Form Contract Accounting Procedures	Moderate	5	• Interview • Customer Service Charter • Service Agreement Contract	Standard Form & Customer Service Charter do not include shortened billing cycle. Check with RIA Operation Manager and TG has confirmed this.	5
177	Electricity section 82	Industry Act	Code of Conduct clause 4.2(5)		2	Min	Unlikely	Low	Licence condition Standard Form Contract Accounting Procedures	Moderate	5	• Interview • Customer Service Charter • Service Agreement Contract	Standard Form & Customer Service Charter do not include shortened billing cycle. Check with RIA Operation Manager and TG has confirmed this.	5
178	Electricity section 82	Industry Act	Code of Conduct clause 4.2(6)		2	Min	Unlikely	Low	Licence condition Standard Form Contract Accounting Procedures	Moderate	5	• Interview • Customer Service Charter • Service Agreement Contract	Standard Form & Customer Service Charter do not include shortened billing cycle. Check with RIA Operation Manager and TG has confirmed this.	5
179	Electricity section 82	Industry Act	Code of Conduct clause 4.3		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	• Interview • Customer Service Charter • Service Agreement Contract	RIA's Customer Charter and Standard Contract ask for supply address and mailing address.	5

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Wweak	1-High 5-Low					
180	Electricity section 82	Industry Act	Code of Conduct clause 4.4(1)	A retailer must include minimum prescribed information on the customer's bill, unless the customer agrees or as otherwise provided for in the Code of Conduct.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	RIA's Customer Charter and Standard Contract have demonstrated the minimum contents are included. Both documents contents comply with requirements in the Electricity Industry Act 2004 and Code of Conduct 2008.	5	
181	Electricity section 82	Industry Act	Code of Conduct clause 4.4(3)	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.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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, current contractor is 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 documentation.
182	Electricity section 82	Industry Act	Code of Conduct clause 4.5(1)	A retailer must base the customer's bill on the distributor's or metering agent's reading of the meter, or the customer's reading of the meter in the circumstances specified.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
183	Electricity section 82	Industry Act	Code of Conduct clause 4.5(2)	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.	2	Min	Unlikely	Low	Licence condition Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	The invoice currently does not detail how to read a meter.	2	Information to be added to customer invoice or forms.
184	Electricity section 82	Industry Act	Code of Conduct clause 4.6	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.	NR	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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. Evidence of readings provided post audit and accepted. Corrective action closed.
185	Electricity section 82	Industry Act	Code of Conduct clause 4.7(1)	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.	2	Min	Unlikely	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	RIA has shown capability to meet this requirement – item 2.4 of its Customer Charter; however RIA Operation Manager 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	Electricity section 82	Industry Act	Code of Conduct clause 4.7(2)	A retailer must base an estimated bill on the criteria specified.	2	Min	Unlikely	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto item 185.	2	Ditto item 185.

REF NO	LICENCE CONDITIONS REF			OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
							Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
187	Electricity section 82	Industry	Act	Code of Conduct clause 4.7(3)	A retailer must specify the stated information in circumstances where the customer's bill is estimated.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Code of Conduct Licence condition Standard Form Contract 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto item 185.	2	Ditto item 185.
188	Electricity section 82	Industry	Act	Code of Conduct clause 4.7(4)	A retailer must tell a customer, on request, the basis and reason for the estimation.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto item 185.	2	Ditto item 185.
189	Electricity section 82	Industry	Act	Code of Conduct clause 4.8	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.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto item 185.	2	Ditto item 185.
190	Electricity section 82	Industry	Act	Code of Conduct clause 4.9	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.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto item 185.	2	Ditto item 185.
191	Electricity section 82	Industry	Act	Code of Conduct clause 4.10	A retailer must request the distributor or metering agent to test the meter if a customer requests the meter to be tested and pays any reasonable charge of the retailer for testing the meter.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable 				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
192	Electricity section 82	Industry	Act	Code of Conduct clause 4.11(1)	A retailer must change the customer to an alternate tariff within the period specified if the customer applies to receive an alternate tariff and demonstrates to the retailer that they satisfy the conditions of eligibility.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Not in Standard Form Contract or in Customer Service Charter. Not applicable as RIA A/Manager Tours and Transport and TG have confirmed that RIA does not cater for alternative tariffs.	NA	Not applicable as RIA do not have alternative tariffs.
193	Electricity section 82	Industry	Act	Code of Conduct clause 4.12	A retailer must give the customer written notice prior to changing the customer to an alternative tariff if the customer's electricity use has changed and the customer is no longer eligible to continue to receive an existing, more beneficial tariff.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Not applicable as RIA A/Manager Tours and Transport and TG have confirmed that RIA does not cater for alternative tariffs.	NA	
194	Electricity section 82	Industry	Act	Code of Conduct clause 4.13(1)	A retailer may recover any amounts undercharged to a customer as a result of a change in the customer's electricity use for the period of up to 12 months prior to the date on which the retailer provided notice in the specified manner.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract Customer Service Charter 	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Not eventuated during the audit period, however condition is covered by clause 2.5 of RIA Customer Service Charter.	4	
195	Electricity section 82	Industry	Act	Code of Conduct clause 4.13(2)	A retailer must repay any amounts overcharged to a customer as a result of a change in the customer's electricity use.	2	Min	Unlikely	Low	<ul style="list-style-type: none"> Licence condition Standard Form Contract 	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Not eventuated during the audit period, however condition is covered by clause 2.5 of RIA Customer Service Charter.	4	

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							Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
196	Electricity section 82	Industry	Act	Code of Conduct clause 4.14(1)	A retailer must use reasonable endeavours to arrange for a final bill if a customer requests the retailer to issue a final bill at the customer's supply address.	NR	Min	Unlikely	Low	Licence condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clauses 9.2 & 9.3 of Standard Form Contract. Not eventuated during the audit period.	4	
197	Electricity section 82	Industry	Act	Code of Conduct clause 4.14(2)	A retailer must repay the customer any amount in credit at the time the customer requests a final bill.	2	Min	Unlikely	Low	Licence condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Not in Standard Form Contract or in Customer Service Charter (CSC). No process or procedure details available at the time of the audit. A/Chief Financial Officer confirmed that any valid request for refund is addressed within 7 days.	2	Refund policy to be documented.
198	Electricity section 82	Industry	Act	Code of Conduct clause 4.15	A retailer must review the customer's bill on request by the customer, subject to the customer paying the lesser of the portion of the bill agreed to not be in dispute or an amount equal to the average of the customer's bill over the previous 12 months, and paying any future bills that are properly due.	2	Min	Unlikely	Low	Licence condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Requirement is covered by item 8.6 of the Final Standard Form Contract. Not eventuated during the audit period.	4	
199	Electricity section 82	Industry	Act	Code of Conduct clause 4.16(1)	A retailer must follow the procedures specified if a review of a bill has been conducted and the retailer is satisfied that the bill is correct or incorrect.	2	Min	Unlikely	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clauses 2 and 3 of the CSC. Not eventuated during the audit period.	3	
200	Electricity section 82	Industry	Act	Code of Conduct clause 4.16(2)	A retailer must inform the customer of the outcome of the review of a bill as soon as practicable, but, in any event, within 20 business days from the date of receipt of the request for review.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 199.	3	
201	Electricity section 82	Industry	Act	Code of Conduct clause 4.17(2)	A retailer must recover an amount undercharged as a result of an act or omission by a retailer or distributor in the manner specified.	2	Min	Unlikely	Low	Licence condition Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2 of the CSC. Not eventuated during the audit period.	3	
202	Electricity section 82	Industry	Act	Code of Conduct clause 4.18(2)	A retailer must use its best endeavours to inform the customer and repay or credit any amount overcharged as a result of an act or omission by a retailer or distributor, in the manner and period specified.	NR	Min	Unlikely	Low	Licence condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 201.	3	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
203	Electricity section 82	Industry Act	Code of Conduct clause 4.18(3)	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2 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).
204	Electricity section 82	Industry Act	Code of Conduct clause 4.18(4)	NR	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clauses 2 and 3 of the CSC. Not eventuated during the audit period.	4	
205	Electricity section 82	Industry Act	Code of Conduct clause 5.1	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2 of the CSC. Due date is in excess of 12 days.	4	
206	Electricity section 82	Industry Act	Code of Conduct clause 5.2(1)	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2.6 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.
207	Electricity section 82	Industry Act	Code of Conduct clause 5.2(2)	2	Min	Unlikely	Low	Licence condition Code of Conduct Electronic Funds Transfer Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2.6 of its CSC. Function has been contracted out to Sunco (Resolve FM). Confirmation by RIA that Sunco electronic payment options compliant with electronics funds transfer code of conduct	4	
208	Electricity section 82	Industry Act	Code of Conduct clause 5.3	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2.6 of its CSC. RIA has confirmed that it did not offer this option however facility is now offered by contracted entity.	3	
209	Electricity section 82	Industry Act	Code of Conduct clause 5.4	2	Min	Unlikely	Low	Licence condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Condition is covered by clause 2.6 of its CSC. A/Chief Financial Officer has confirmed that RIA will accept payment in advance.	3	
210	Electricity section 82	Industry Act	Code of Conduct clause 5.5	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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.

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
211	Electricity section 82	Industry Act	Code of Conduct clause 5.6(1)	A retailer must not charge a residential customer a late payment fee in the circumstances specified.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	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	Electricity section 82	Industry Act	Code of Conduct clause 5.6(2)	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.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 211.	2	Ditto 211.
213	Electricity section 82	Industry Act	Code of Conduct clause 5.6(3)	A retailer must not charge a residential customer more than two late payment fees in relation to the same bill.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 211.	2	Ditto 211.
214	Electricity section 82	Industry Act	Code of Conduct clause 5.7(1)	A retailer must not require a customer who has vacated a supply address to pay for electricity consumed at the customer's supply address in the circumstances specified.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by clause 9.3 of the Standard Form Contract.	4	
215	Electricity section 82	Industry Act	Code of Conduct clause 5.7(2)	A retailer must not require a customer who was evicted or otherwise required to vacate a supply address to pay for electricity consumed at the customer's supply address in the circumstances specified.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 214.	4	
216	Electricity section 82	Industry Act	Code of Conduct clause 5.7(4)	A retailer must not require a previous customer to pay for electricity consumed at the supply address in the circumstances specified.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 214.	4	
217	Electricity section 82	Industry Act	Code of Conduct clause 5.8(1)	A retailer must comply with the Conduct Principles set out in the guideline on debt collection issued by the Australian Competition and Consumer Commission.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Section 13 of the Standard Form Contract and section 2.8 of the CSC.	4	
218	Electricity section 82	Industry Act	Code of Conduct clause 5.8(2)	A retailer must not commence proceedings for recovery of a debt in the circumstances specified.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Section 8.6 of the Standard Form Contract	4	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
219	Electricity section 82	Industry Act	Code of Conduct clause 5.8(3)		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Section 9.3 of the Standard Form Contract	4	
220	Electricity section 82	Industry Act	Code of Conduct clause 6.1(1)		2	Min	Unlikely	Low	Licence condition Code of Conduct (6.1) Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Section 13 of the Standard Form Contract and section 2.8 of CSC cover this requirement. Procedure confirmed by A/Chief Financial Officer.	4	
221	Electricity section 82	Industry Act	Code of Conduct clause 6.1(2)		NR	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Section 13 of the Standard Form Contract and section 2.8 have the capacity to meet this requirement. A/Chief Financial Officer confirmed that reasonable requests are considered.	4	
222	Electricity section 82	Industry Act	Code of Conduct clause 6.1(3)		2	Min	Unlikely	Low	Licence condition Code of Conduct (6.1) Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	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.
223	Electricity section 82	Industry Act	Code of Conduct clause 6.2(1)		NR	Min	Unlikely	Low	Licence condition Code of Conduct (6.2) Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 222.	3	RIA/Sunco to confirm the procedure.
224	Electricity section 82	Industry Act	Code of Conduct clause 6.2(2)		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 222.	3	RIA/Sunco to confirm the procedure.
225	Electricity section 82	Industry Act	Code of Conduct clause 6.2(3)		NR	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Section 14 of the Standard Form Contract.	4	
226	Electricity section 82	Industry Act	Code of Conduct clause 6.3		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Section 13 of the Standard Form Contract	4	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
227	Electricity section 82	Industry Act	Code of Conduct clause 6.4(1)		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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	Electricity section 82	Industry Act	Code of Conduct clause 6.4(2)		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 227.	3	RIA/Sunco to confirm the procedure.
229	Electricity section 82	Industry Act	Code of Conduct clause 6.6		NR	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by RIA Act. Act is published on the website. Act specifies that the RIA may: (c) require payment of rent, fees or other charges for the use of the facilities of the Authority or equipment or services supplied by it, and fix the amount of such rent, fees or charges with power to waive, reduce or refund the same in particular cases; A/Chief Financial Officer confirmed that all instances will be dealt with on a case by case basis. This has also been confirmed by the Manager Commercial Operations	3	
230	Electricity section 82	Industry Act	Code of Conduct clause 6.7		NR	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Section 13 of the Standard Form Contract	4	
231	Electricity section 82	Industry Act	Code of Conduct clause 6.8		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and CSC.	3	
232	Electricity section 82	Industry Act	Code of Conduct clause 6.9		2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract.	3	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
233	Electricity section 82	Industry Act	Code of Conduct clause 6.10(1)	A retailer must develop a hardship policy to assist customers in meeting their financial obligations and responsibilities to the retailer.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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	Electricity section 82	Industry Act	Code of Conduct clause 6.10(2)	A retailer must ensure that the hardship policy complies with the specified criteria.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Hardship policy not viewed. There have been no instances of hardship conditions. CSC has section on dealing with payment difficulties and financial hardship. A/Chief Financial Officer confirmed that all instances should be dealt with on a case by case basis.	3	Hardship policy required.
235	Electricity section 82	Industry Act	Code of Conduct clause 6.10(3)	A retailer must give a customer, financial counsellor or relevant consumer representative organisation, on request, details of the financial hardship policy, at no charge.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract.	3	
236	Electricity section 82	Industry Act	Code of Conduct clause 6.10(4)	A retailer must keep a record of the specified information related to the hardship policy.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Facility for maintenance of records of consultation and revision process was not confirmed.	2	Require confirmation of record keeping for consultation and revision process.
237	Electricity section 82	Industry Act	Code of Conduct clause 6.11	A retailer must consider any reasonable request for alternative payment arrangements from a business customer who is experiencing payment difficulties.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and CSC.	3	
238	Electricity section 82	Industry Act	Code of Conduct clause 7.1	A retailer must give the customer a reminder notice, use its best endeavours to contact the customer and give the customer a disconnection warning, in the manner and timeframes specified, prior to arranging for disconnection of a customer's supply address for failure to pay a bill.	2	Mod	Unlikely	Med	Licence condition Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and CSC.	3	
239	Electricity section 82	Industry Act	Code of Conduct clause 7.2	A retailer must not arrange for disconnection of a customer's supply address for failure to pay a bill in the circumstances specified.	2	Mod	Unlikely	Med	Licence condition Code of Conduct Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and CSC. 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.

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							Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
240	Electricity section 82	Industry	Act	Code of Conduct clause 7.3	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.	2	Min	Unlikely	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 239.	3	Ditto 239.
241	Electricity section 82	Industry	Act	Code of Conduct clause 7.4	A retailer must not arrange for the disconnection of a customer's supply address for denying access to the meter unless the conditions specified are satisfied.	2	Mod	Unlikely	Med	Licence condition Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Section 4.6 of the CSC. RIA A/Tourism and Travel Manager, RIA Director, Finance and Business Services, A/Chief Financial Officer and TG have confirmed that informal policy is not to disconnect power.	3	
242	Electricity section 82	Industry	Act	Code of Conduct clause 7.5	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.	2	Mod	Unlikely	Med	Licence condition Code of Conduct Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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. <u>Post Audit Actions:</u> Responsibility has been allocated and emergency line facility established.	3	
243	Electricity section 82	Industry	Act	Code of Conduct clause 7.6	A retailer or a distributor must not arrange for disconnection or disconnect a customer's supply address in the circumstances specified.	1	Maj	Unlikely	High	Licence condition Code of Conduct Standard Form Contract	Moderate	2	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Section 6.2 of the Standard Form Contract.	3	Informal process in place, will require documentation of policy.
244	Electricity section 82	Industry	Act	Code of Conduct clause 7.7(1)	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.	1	Maj	Unlikely	High	Licence condition Code of Conduct Standard Form Contract	Moderate	2	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 243.	3	Ditto 243.
245	Electricity section 82	Industry	Act	Code of Conduct clause 7.7(2)	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.	1	Maj	Unlikely	High	Licence condition Code of Conduct Standard Form Contract	Moderate	2	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 243.	3	Ditto 243.
246	Electricity section 82	Industry	Act	Code of Conduct clause 8.1(1)	A retailer must arrange for reconnection of the customer's supply address if the customer has remedied its breach, makes a request for reconnection, pays the retailer's reasonable charges (if any) or accepts an offer of an instalment plan for the retailer's reasonable charges.	2	Mod	Unlikely	Med	Licence condition Code of Conduct Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract.	3	
247	Electricity section 82	Industry	Act	Code of Conduct clause 8.1(2)	A retailer must forward the request for reconnection to the relevant distributor within the timeframe specified.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
248	Electricity section 82	Industry Act	Code of Conduct clause 8.2		2	Min	Unlikely	Low	• Not Applicable			RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
249	Electricity section 82	Industry Act	Code of Conduct clause 9.3(1)		2	Mod	Unlikely	Med	• Not Applicable			Only applies to a pre-payment meter customer located in a remote or town reserve community in which the Aboriginal and Remote Communities Power Supply Project or Town Reserve Regularisation Program is being implemented.	NA	
250	Electricity section 82	Industry Act	Code of Conduct clause 9.3(2)		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	
251	Electricity section 82	Industry Act	Code of Conduct clause 9.4		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	
252	Electricity section 82	Industry Act	Code of Conduct clause 9.5		1	Maj	Unlikely	High	• Not Applicable			Not applicable as per item 249.	NA	
253	Electricity section 82	Industry Act	Code of Conduct clause 9.6		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	
254	Electricity section 82	Industry Act	Code of Conduct clause 9.7		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	
255	Electricity section 82	Industry Act	Code of Conduct clause 9.8		2	Mod	Unlikely	Med	• Not Applicable			Not applicable as per item 249.	NA	
256	Electricity section 82	Industry Act	Code of Conduct clause 9.9(1)		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	
257	Electricity section 82	Industry Act	Code of Conduct clause 9.9(2)		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	
258	Electricity section 82	Industry Act	Code of Conduct clause 9.10		2	Min	Unlikely	Low	• Not Applicable			Not applicable as per item 249.	NA	

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							Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Wweak	1-High 5-Low				
259	Electricity section 82	Industry	Act	Code of Conduct clause 9.11(1)	A retailer must keep a record of the pre-payment meter indicators specified.	2	Mod	Unlikely	Med	• Not Applicable				Not applicable as per item 249.	NA	
260	Electricity section 82	Industry	Act	Code of Conduct clause 9.11(2)	A distributor must keep a record of the pre-payment meter indicators specified.	2	Mod	Unlikely	Med	• Not Applicable				Not applicable as per item 249.	NA	
261	Electricity section 82	Industry	Act	Code of Conduct clause 10.1(1)	A retailer must give notice to a customer of its tariffs and any variations in its tariffs in the Government Gazette, in a local newspaper and by notice to each customer.	2	Mod	Unlikely	Med	Licence condition Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Tariffs and variations are handled through RIBC committee meetings and through the CCC (Community consultative committee). RIBC includes all customers of RIA. All regulated fees and changes are published in the Government Gazette. There are no local newspapers at Rottneast, requirement is not applicable.	3	
262	Electricity section 82	Industry	Act	Code of Conduct clause 10.1(2)	A retailer must give notice of any variations in its tariffs to each of its customers affected by a variation, in the timeframes specified.	2	Mod	Unlikely	Med	Licence condition Code of Conduct Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Ditto 261.	3	
263	Electricity section 82	Industry	Act	Code of Conduct clause 10.1(3)	A retailer must give a customer on request, at no charge, reasonable information on the retailer's tariffs, including alternative tariffs.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by section 12 of the Standard Form Contract.	3	
264	Electricity section 82	Industry	Act	Code of Conduct clause 10.1(4)	A retailer must give a customer the information requested on tariffs in the manner and within the timeframes specified.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Code of Conduct clause 10.1(4) does not exist. This requirement is already met on items 261 and 262.	3	
265	Electricity section 82	Industry	Act	Code of Conduct clause 10.2(1)	A retailer must, on request, give a non-contestable customer its billing data.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Strong	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Standard Form Contract (12(f)).	3	
266	Electricity section 82	Industry	Act	Code of Conduct clause 10.2(2)	A retailer must give the requested billing data at no charge in the circumstances specified.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	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.
267	Electricity section 82	Industry	Act	Code of Conduct clause 10.2(3)	A retailer must give the requested billing data within 10 business days of the receipt of the request or payment of the retailer's reasonable charge for providing the billing data.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Service Agreement Contract 	Covered by Standard Form Contract (12).	3	

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							Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
268	Electricity section 82	Industry Act	Code of Conduct clause 10.2(4)	A retailer must keep a non-contestable customer's billing data for seven years.	2	Min	Probable	Low	Licence condition Standard Form Contract Records Management Procedure Storage of Inactive Records Procedure	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract Review procedures 	Covered by Standard Form Contract and by CSC.	3		
269	Electricity section 82	Industry Act	Code of Conduct clause 10.3	A retailer must give a customer on request, at no charge, the concession information specified.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract Bill Form 	Covered by Standard Form Contract.	3		
270	Electricity section 82	Industry Act	Code of Conduct clause 10.4	A retailer must give a customer on request, at no charge, the general energy efficiency information specified.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 269.	3		
271	Electricity section 82	Industry Act	Code of Conduct clause 10.5	A retailer must give information to the customer, or refer the customer to the relevant distributor for a response, if asked by a customer for information relating to the distribution of electricity.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Ditto 269.	3		
272	Electricity section 82	Industry Act	Code of Conduct clause 10.6	A distributor must give a customer on request, at no charge, the specified information that is particular to a distributor.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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.	
273	Electricity section 82	Industry Act	Code of Conduct clause 10.7(1)	A distributor must, on request, give a customer its consumption data.	2	Min	Probable	Low	Licence condition Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract Bill Form 	Covered by CSC and Standard Form Contract.	3		
274	Electricity section 82	Industry Act	Code of Conduct clause 10.7(2)	A distributor must give a customer the requested consumption data at no charge in the circumstances specified.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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.	
275	Electricity section 82	Industry Act	Code of Conduct clause 10.7(3)	A distributor must give a customer the requested consumption data within 10 business days of the receipt of the request or payment of the distributor's reasonable charge for providing the consumption data.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract (12).	3		

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REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS	
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
276	Electricity section 82	Industry Act	Code of Conduct clause 10.7(4)	A distributor must keep a customer's consumption data for seven years.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract Records Management Procedure Storage of Inactive Records Procedure	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and by CSC.	3	
277	Electricity section 82	Industry Act	Code of Conduct clause 10.8(1)	A distributor must, on request, tell a customer how the customer can obtain information on distribution standards and metering arrangements that are relevant to the customer.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and by CSC.	3	
278	Electricity section 82	Industry Act	Code of Conduct clause 10.8(2)	A distributor must publish information on distribution standards and metering arrangements on the distributor's website.	2	Mod	Unlikely	Med	Licence condition Code of Conduct Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter RIA Web page 	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.
279	Electricity section 82	Industry Act	Code of Conduct clause 10.9	A retailer, distributor and marketer must, to the extent practicable, ensure that any written information that must be given to a customer under the Code of Conduct is expressed in clear, simple, and concise language and is in a format that makes it easy to understand.	NR	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract Billing Information and records 	Documentation viewed showed to be in simple and clear language. Various feedback mechanisms available to address customers' need for assistance in interpretation: - Complaint Management System, Report and Recommendations 2007 - Management of customer feedback/complaints	3	
280	Electricity section 82	Industry Act	Code of Conduct clause 10.10(1)	A retailer and distributor must tell a customer on request how the customer can obtain a copy of the Code of Conduct.	2	Min	Probable	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract and CSC.	3	
281	Electricity section 82	Industry Act	Code of Conduct clause 10.10(2)	A retailer and distributor must make electronic copies of the Code of Conduct available, at no charge, on their websites.	2	Min	Probable	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> RIA Web Page Interview Customer Service Charter Service Agreement Contract 	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.

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							Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
282	Electricity section 82	Industry	Act	Code of Conduct clause 10.10(3)	A retailer and distributor must make a copy of the Code of Conduct available for inspection, at no charge, at their offices.	2	Min	Probable	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Documented in the CSC. Confirmation of availability from RIA A/Tourism and Travel Manager and TG.	3	
283	Electricity section 82	Industry	Act	Code of Conduct clause 10.10(4)	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.	2	Min	Probable	Low	Licence condition Code of Conduct Standard Form Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	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.	3	As per item 281, Code of Conduct to be made available on RIA website and changes to be advised to customers.
284	Electricity section 82	Industry	Act	Code of Conduct clause 10.11(1)	A retailer and distributor must make available to the customer on request, at no charge, services that assist the customer in interpreting information provided by the retailer or distributor.	2	Min	Unlikely	Low	Licence condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by the CSC and the Standard Form Contract.	3	
285	Electricity section 82	Industry	Act	Code of Conduct clause 10.11(2)	A retailer and, where appropriate a distributor, must include the telephone number for their special information services, on the documents specified.	2	Min	Unlikely	Low	Licence condition Standard Form Contract Customer Service Charter	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by the CSC and the Standard Form Contract.	4	
286	Electricity section 82	Industry	Act	Code of Conduct clause 10.12(1)	A distributor must advise a customer, at no charge, of the availability of different types of meters.	2	Min	Unlikely	Low	Licence Condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management Systems 	RIA A/Tourism and Travel Manager and TG have confirmed that only one type of meter is available on the island. In future application of different types of meters will need to be assessed on a case by case basis.	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.
287	Electricity section 82	Industry	Act	Code of Conduct clause 10.12(2)	A retailer must, if requested by a customer, advise the customer of the availability of different types of meters or refer the customer to the relevant distributor for a response.	2	Min	Unlikely	Low	Licence Condition Standard Form Contract Customer Service Charter	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	Ditto 286.	NA	Ditto 286.

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
288	Electricity section 82	Industry Act	Code of Conduct clause 11.1(1) Distribution Licence condition 12.1 Integrated Regional Licence condition 15.1 Retail Licence condition 15.1	A retailer and distributor must produce and publish a Customer Service Charter.	2	Mod	Unlikely	Med	Licence Condition Standard Form Contract Statement of Corporate Intent Minutes of Exec. Management Meetings Minutes of Senior Team Meetings	Strong	4	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract Web Page 	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	Electricity section 82	Industry Act	Code of Conduct clause 11.1(2)	A retailer and distributor must address the specified information in their Customer Service Charters.	2	Mod	Unlikely	Med	Licence Condition Code of Conduct Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Complaint Management Systems 	Not all contact details eg. the Authority, Energy Safety are available in the CSC.	2	CSC needs review and revision to ensure compliance with the Code.
290	Electricity section 82	Industry Act	Code of Conduct clause 11.2(1)	A retailer and distributor must give a customer on request, at no charge, a copy of the Customer Service Charter.	2	Min	Unlikely	Low	Licence Condition Code of Conduct Standard Form Contract.	Stro	5	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract 	Covered by Standard Form Contract.	4	
291	Electricity section 82	Industry Act	Code of Conduct clause 11.2(2)	A retailer and distributor must make available to contestable customers, at no charge, a copy of the Customer Service Charter.	2	Min	Unlikely	Low	Not applicable				There are no contestable customers on RI.	NA	
292	Electricity section 82	Industry Act	Code of Conduct clause 11.2(3)	A retailer and distributor must provide a copy of the Customer Service Charter to a customer who requests a copy, within two business days of the request.	2	Min	Unlikely	Low	Licence Condition Code of Conduct Standard Form Contract.	Moderate	4	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management Systems 	Covered by Standard Form Contract.	3	
293	Electricity section 82	Industry Act	Code of Conduct clause 12.1(1)	A retailer, distributor and marketer must develop, maintain and implement an internal process for handling complaints and resolving disputes.	2	Mod	Unlikely	Med	Licence Condition Standard Form Contract Complaint Management System	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Service Agreement Contract Complaint management process 	A process for handling customer feedback and complaints has been established and documented. 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.

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
294	Electricity section 82	Industry Act	Code of Conduct clause 12.1(2)	A retailer, distributor and marketer must develop, maintain and implement a complaints handling process that meets the specified requirements.	2	Mod	Unlikely	Med	Licence Condition. Standard Form Contract Complaint Management System	Moderate	4	<ul style="list-style-type: none"> Interview. Customer Service Charter Service Agreement Contract Review of complaint management process 	Ditto 293. A system for registering complaints is in place however 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.
295	Electricity section 82	Industry Act	Code of Conduct clause 12.1(3)	A retailer, distributor and marketer must at least provide the specified advice to a customer when handling a complaint.	2	Mod	Unlikely	Med	Licence Condition Standard Form Contract Complaint Management System	Moderate	4	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint/Feedback Management process 	Addressed in CSC. Responsibility has been assigned to a "Feedback Coordinator".	3	
296	Electricity section 82	Industry Act	Code of Conduct clause 12.1(4)	A marketer (other than a retailer) must provide, within its complaints handling process, for a review by the retailer of complaints and disputes that relate directly to marketing carried out on behalf of that retailer.	NR	Min	Unlikely	Low	<ul style="list-style-type: none"> Not Applicable Clause not found in COC. 			RIA does not use a Marketer.	NA		
297	Electricity section 82	Industry Act	Code of Conduct clause 12.2(1)	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.	2	Mod	Unlikely	Med	Licence condition Standard Form Contract Complaint Management System	Strong	4	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint/Feedback Management process 	No guideline available on the basis of the small electricity customer base.	2	Guideline may be required to differentiate and prioritise responses.
298	Electricity section 82	Industry Act	Code of Conduct clause 12.2(2)	A retailer and distributor must refer to their respective guidelines in their Customer Service Charter.	2	Mod	Unlikely	Med	Licence condition Standard Form Contract	Moderate	4	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	No reference made in CSC to guidelines due to the small electricity customer base.	2	Ditto 297
299	Electricity section 82	Industry Act	Code of Conduct clause 12.3	A retailer, distributor and marketer must give a customer on request, at no charge, information that will assist the customer in utilising the respective complaints handling processes.	2	Min	Unlikely	Low	Licence condition Standard Form Contract Complaint/Feedback Management System	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint/Feedback Management process 	Ditto 295.	3	
300	Electricity section 82	Industry Act	Code of Conduct clause 12.4	A retailer, distributor and marketer who receives a complaint that does not relate to its functions, must refer the complaint to the appropriate entity and inform the customer of the referral.	2	Min	Probable	Low	Licence condition Standard Form Contract Complaint/Feedback Management System	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint/Feedback Management process 	Not relevant to RIA. RIA holds the Integrated Regional Licence therefore would receive and respond to all complaints & feedback and not deal with other entities.	NA	

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low /Med/High		Strong/Mod/Weak	1-High 5-Low					
301	Electricity section 82	Industry Act	Code of Conduct clause 12.5(1)		2	Min	Probable	Low	Licence condition Standard Form Contract Complaint/Feedback Management System	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management process 	A system for registering complaints is in place however no complaints have been received.	4	
302	Electricity section 82	Industry Act	Code of Conduct clause 12.5(2)		2	Min	Probable	Low	Licence condition Standard Form Contract Complaint/Feedback Management System	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management System 	Ditto 301. RIA A/Tourism and Travel Manager and TG have confirmed records are retained for 7 years.	4	
303	Electricity section 82	Industry Act	Code of Conduct clause 13.1		2	Min	Probable	Low	Licence condition Standard Form Contract Records Management Procedure Storage of Inactive Records Procedure	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter Records Management process Complaint Management System 	RIA A/Tourism and Travel Manager, RIA records and TG have confirmed records are retained for 7 years.	4	
304	Electricity section 82	Industry Act	Code of Conduct clause 13.2		2	Min	Probable	Low	Licence condition Standard Form Contract Annual Report	Strong	5	<ul style="list-style-type: none"> Interview. Annual Reports Service Agreement Contract 	Confirmed by A/Chief Financial Officer that all records are kept of customer accounts and charges.	4	
305	Electricity section 82	Industry Act	Code of Conduct clause 13.3		2	Min	Probable	Low	Licence condition Standard Form Contract Network Quality Reliability of Supply reporting	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management Systems Annual Reports 	A system for registering complaints is in place. No complaints received as per Network Quality Reliability of Supply Annual Report 2005/06, Annual Report 2006 / 2007.	4	
306	Electricity section 82	Industry Act	Code of Conduct clause 13.4		2	Min	Probable	Low	Licence condition Standard Form Contract Accounting Procedure	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	Ditto 305. RIA operates under the Financial Audit Act. Compensation payments are processed in accordance with the Act and records kept accordingly. A check will be required by the RIA within the "Licence and Permit Register" to monitor compensation payments under the indicators specified in the COC.	3	A check will be required by the RIA within the "Licence and Permit Register" to monitor compensation payments under the indicators specified in the COC.

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REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS	
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low					
307	Electricity section 82	Industry Act	Code of Conduct clause 13.5		2	Min	Probable	Low	Licence condition Customer Service Charter Accounting Procedure	Strong	5	<ul style="list-style-type: none"> Interview. Service Agreement Contract Accounting records 	RIA has a schedule of meters for all the charged customers on the island and a record of business and other accounts.	4	
308	Electricity section 82	Industry Act	Code of Conduct clause 13.6		2	Min	Probable	Low	Licence condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	RIA has records of customers and connections.	4	
309	Electricity section 82	Industry Act	Code of Conduct clause 13.7		2	Mod	Likely	High	Licence Condition. Standard Form Contract. FOU Contract	Strong	2	<ul style="list-style-type: none"> Interview. FOU Contract 	Records kept. Viewed records kept by Transfield Services 2006-2007 (RW History – 2006 - 2007/RUP)	4	
310	Electricity section 82	Industry Act	Code of Conduct clause 13.8		2	Min	Probable	Low	Licence Condition. Standard Form Contract. Network Quality Reliability of Supply reporting	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management Systems Network Quality Reliability of Supply reports 	Ditto 305.	4	
311	Electricity section 82	Industry Act	Code of Conduct clause 13.9		2	Min	Probable	Low	Licence Condition. Standard Form Contract. Accounting System	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	Ditto 306.	3	Ditto 306.
312	Electricity section 82	Industry Act	Code of Conduct clause 13.10		2	Min	Probable	Low	Licence Condition. Standard Form Contract. FOU Contract Annual Report	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. 	Ditto 308.	4	
313	Electricity section 82	Industry Act	Code of Conduct clause 14.2(1)		2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	This requirement is not addressed in RIA documents – eg. Standard Form Contract and Customer Service Charter.	2	CSC will need to be amended.
314	Electricity section 82	Industry Act	Code of Conduct clause 14.2(2)		2	Min	Probable	Low	Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
315	Electricity section 82	Industry Act	Code of Conduct clause 14.3		2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5		2	Ditto 313. CSC to be amended to reflect compensation.
316	Electricity section 82	Industry Act	Code of Conduct clause 14.4(1)		2	Min	Probable	Low	Licence Condition. Standard Form Contract. Internal Auditing	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management Systems 	3	Ditto 293. A process for handling customer feedback and complaints has been established and documented, however it is subject to shortcomings as noted at item 293. A Feedback Action Form identified during the audit is part of a separate feedback system.
317	Electricity section 82	Industry Act	Code of Conduct clause 14.4(2)		2	Min	Probable	Low	Licence Condition. Standard Form Contract. Complaint Management Systems	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management process 	2	Ditto 313. CSC to be amended to reflect compensation.
318	Electricity section 82	Industry Act	Code of Conduct clause 14.5(1) Not in Code of Conduct 14.5(1), 7.7(2)(c) applies to customer requiring life support equipment,		2	Mod	Likely	High	Licence Condition. Standard Form Contract. FOU Contract.	Moderate	2	<ul style="list-style-type: none"> Interview. Customer Service Charter. FOU Contract. Operating Procedures 	3	CSC requires a cross the board 3 days notification. Standard Form Contract (Draft) requires 5 days notification. Standard Form Contract will require revision to bring in line.
319	Electricity section 82	Industry Act	Code of Conduct clause 14.5 (2)		2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	2	This requirement is not addressed in RIA documents – eg. Contract and Customer Charter. CSC to be amended to reflect compensation.
320	Electricity section 82	Industry Act	Code of Conduct clause 14.6(1)		2	Min	Probable	Low	Licence Condition. Standard Form Contract Complaint Management Systems	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management process 	3	Ditto 316. Ditto 316.
321	Electricity section 82	Industry Act	Code of Conduct clause 14.6(2)		2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management Systems. 	NA	This is not applicable to RIA being an Integrated Regional Licence holder. Dealt with in item 320.

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
322	Electricity Industry Act section 82	Code of Conduct clause 14.8(1)	A retailer who is required to make a compensation payment for failing to satisfy a service standard, must do so in the manner specified.	2	Min	Probable	Low	Licence Condition. Standard Form Contract. Complaint Management Systems	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Complaint Management process 	This condition is not in the Code of Conduct.	NA	
323	Electricity Industry Act section 82	Code of Conduct clause 14.8(2)	A distributor who is required to make a compensation payment for failing to satisfy a service standard, must do so in the manner specified.	2	Min	Probable	Low	Licence Condition Standard Form Contract Complaint Management Systems	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Complaint Management process 	This condition is not in the Code of Conduct.	NA	
SECTION 13 – ELECTRICITY INDUSTRY (NETWORK QUALITY AND RELIABILITY OF SUPPLY) CODE – LICENCE CONDITIONS AND OBLIGATIONS														
324	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 5(1)	A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer's electrical installations complies with prescribed standards.	NR	Min	Probable	Low	Licence Condition. Standard Form Contract. FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Operating procedures 	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 check compliance with licence.	2	Electricity supply voltage and harmonics to be metered to monitor compliance with licence.
325	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 8	A distributor or transmitter must, so far as reasonably practicable, disconnect the supply of electricity to installations or property in specified circumstances, unless it is in the interest of the customer to maintain the supply.	NR	Min	Unlikely	Low	Licence Condition Standard Form Contract FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview Customer Service Charter Operating procedures 	Procedures for disconnection have been viewed.	4	
326	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 9	A distributor or transmitter must, as far as reasonably practicable, ensure that the supply of electricity is maintained and the occurrence and duration of interruptions is kept to a minimum.	2	Min	Probable	Low	Licence Condition Standard Form Contract. FOU Contract Risk Management Plan	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Network Quality Reliability of Supply reporting Performance reports (KPIs) 	Subject to FOU Contract requirements, responsibility placed on contractor (TG). Performance reporting with KPIs tied up to FOU Contract, current reports: - Network Quality Reliability of Supply Annual Report 2005/06 - Annual Report 2006 / 2007.	4	•
327	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 10(1)	A distributor or transmitter must, so far as reasonably practicable, reduce the effect of any interruption on a customer.	2	Min	Probable	Low	Licence Condition Standard Form Contract FOU Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Operating procedures 	Ditto 326.	4	

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
328	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 10(2)	A distributor or transmitter must consider whether, in specified circumstances, it should supply electricity by alternative means to a customer who will be affected by a proposed interruption.	2	Min	Probable	Low	Licence Condition Standard Form Contract. FOU Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Operating procedures 	Process in place to use emergency generators to supply customers where required (Kennards). Additional emergency generator sought in Capital Works Budget for 2007-08 (Sep 2007) - Transfield Services.	4	
329	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 12(3)	A distributor must take prescribed action in the event of a significant interruption to a small use customer.	2	Mod	Probable	Med	Licence Condition Standard Form Contract FOU Contract	Strong	4	<ul style="list-style-type: none"> Interview Customer Service Charter Operating Procedures 	Ditto 328.	4	
330	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 13(2)	A distributor or transmitter must, so far as reasonably practicable, ensure that customers in specified areas do not have average total lengths of interruptions of supply greater than specified durations.	NR	Min	Probable	Low	Licence Condition Standard Form Contract FOU Contract O&M Meetings (RIA & TG)	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Performance Report (KPIs) Network Quality Reliability of Supply reporting 	Performance reporting with KPIs tied up to FOU Contract, current reports: - Network Quality Reliability of Supply Annual Report 2005/06 - Annual Report 2006 / 2007.	4	
331	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 13(3)	The average total length of interruptions of supply is to be calculated using the specified method.	2	Min	Probable	Low	Licence Condition Standard Form Contract FOU Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Review of compliance process 	Calculated as per requirements.	4	
332	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 14(8)	A distributor or transmitter must, on request, provide to an affected customer a free copy of an instrument issued by the Minister and of any notice given under section 14(7) of the Electricity Industry (Network Quality and Reliability of Supply) Code 2005.	2	Min	Probable	Low	Licence Condition Standard Form Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter 	The Standard Form Contract (section 14) and Customer Charter (section 3) have provisions to meet this requirement.	4	
333	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 15(2)	A distributor or transmitter that agrees with a customer to exclude or modify certain provisions must set out the advantages and disadvantages to the customer of doing so in their agreement.	2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. 	Ditto 333.	4	
334	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 18	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.	2	Min	Probable	Low	Licence Condition. Standard Form Contract. FOU Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. 	Ditto 313.	2	CSC will need to be amended.

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
335	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 19	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.	2	Min	Unlikely	Low	Licence Condition. Standard Form Contract FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter Performance Report (KPIs) Network Quality Reliability of Supply reporting 	Ditto 313.	2	CSC will need to be amended.
336	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 21(1)	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.	2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	Ditto 313.	2	CSC will need to be amended.
337	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 21(2)	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.	2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	Ditto 313.	2	CSC will need to be amended.
338	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 21(3)	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.	2	Min	Probable	Low	Licence Condition. Standard Form Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Service Agreement Contract. 	Ditto 313. Not performed.	2	Action will need to be performed.
339	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 23(1)	A distributor or transmitter must take all such steps as are reasonably necessary to monitor the operation of its network to ensure compliance with specified requirements.	NR	Min	Probable	Low	Licence Condition. Standard Form Contract. FOU Contract Performance Reporting	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Risk Management Performance Reports (KPIs) 	Performance reporting is in place. FOU Contract sets the responsibility for performance monitoring and reporting. Reports issued: - Network Quality Reliability of Supply Annual Report 2005/06 - Annual Report 2006 / 2007.	4	
340	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 23(2)	A distributor or transmitter must keep records of information regarding its compliance with specific requirements for the period specified.	2	Min	Probable	Low	Licence Condition Standard Form Contract FOU Contract	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Risk Management Records Management Procedure 	Records maintained supporting reports.	4	

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Wweak	1-High 5-Low				
341	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 24(3)	A distributor or transmitter must complete a quality investigation requested by a customer in accordance with specified requirements.	2	Min	Probable	Low	Licence Condition Standard Form Contract FOU Contract Senior Team Meetings Monthly O & M Meetings Complaint Management Systems	Strong	5	<ul style="list-style-type: none"> Interview Customer Service Charter Risk Management Minutes of Senior Team Meetings Monthly O & M Reports 	The Standard Form Contract (section 14) and Customer Charter (section 3) have provisions to meet this requirement.	4	
342	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 24(4)	A distributor or transmitter must report the results of an investigation to the customer concerned.	2	Min	Probable	Low	Licence Condition Standard Form Contract Complaint Management Systems	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Risk Management Complaint Management process 	Ditto 341.	4	
343	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 25(2)	A distributor or transmitter must make available, at no cost, a copy of a document setting out its complaint handling processes to a small customer who makes a complaint to the distributor or transmitter or who asks to be given such information.	2	Min	Probable	Low	Licence Condition. Standard Form Contract. Complaint Management Systems	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Risk Management Complaint Management process 	The Standard Form Contract (section 14) and Customer Charter (section 3) have provisions to meet this requirement. There are no instances of customer complaints in the audit period.	4	
344	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 25(3)	A document setting out a distributor's or transmitter's complaint handling process must contain the specified information.	2	Min	Unlikely	Low	Licence Condition. Standard Form Contract. Complaint Management Systems	Strong	5	<ul style="list-style-type: none"> Interview. Customer Service Charter. Risk Management 	Contained in the CSC.	4	
345	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 26	A distributor or transmitter must arrange for an independent audit and report on its systems for monitoring, and its compliance with specific requirements. This is to be carried out in respect of the operation of such systems during each year ending on 30 June.	2	Min	Probable	Low	Licence Condition Exec. Management Meetings Senior Team Meetings FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview. Risk Management Network Quality Reliability of Supply reporting 	Audit was carried out for 2006-07 for the period ending 30 June 2007.	3	
346	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 27(1)	A distributor or transmitter must prepare and publish a report about its performance in accordance with specified requirements.	2	Min	Probable	Low	Licence Condition Exec. Management Meetings Senior Team Meetings	Strong	5	<ul style="list-style-type: none"> Interview. Risk Management Network Quality Reliability of Supply reporting 	Ditto 345. Reports have been prepared and published: - Network Quality Reliability of Supply Annual Report 2005/06 - Annual Report 2006 / 2007.	3	

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

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					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
347	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry (Network Quality and Reliability of Supply) Code 2005 clause 27(3)	A distributor or transmitter must give a copy of its report about its performance to the Minister and the Authority within the specified period.	2	Min	Unlikely	Low	Licence Condition. Exec. Management Meetings Senior Team Meetings	Strong	5	<ul style="list-style-type: none"> Interview. Risk Management Network Quality Reliability of Supply reporting 	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.
SECTION 14 – ELECTRICITY INDUSTRY METERING CODE – LICENCE CONDITIONS AND OBLIGATIONS														
348	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 2.2(1)(a)	A network operator must treat all Code participants that are its associates on an arms-length basis.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
349	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 2.2(1)(b)	A network operator must ensure that no Code participant that is its associate receives a benefit in respect of the Code unless the benefit is attributable to an arm's length application of the Code or is also made available to all other Code participants on the same terms and conditions.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
350	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.1	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.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Register	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract O & M Procedures Risk Management 	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. Meters are scheduled for yearly calibration.	2	Verify categories of all metering and investigate if they comply with the applicable procedure.
351	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.2(1)	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.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Register	Moderate	5	<ul style="list-style-type: none"> Interview. FOU Contract. Asset records 	FOU Contract includes responsibilities for compliance to all electricity licence requirements – metering included. TG confirms that accumulation meters are installed. RIA 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 of code requirements.
352	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.3(1)	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.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Register	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Asset records 	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 of code requirements in future works.

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
353	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.3(3)	If a metering installation is required to include a communications link, the link must (where necessary), include a modem and isolation device approved under the relevant telecommunications regulations, to allow the interval energy data to be downloaded in the manner prescribed.	2	Min	Unlikely	Low	Licence Condition FOU Contract Asset Management Plan Asset Register	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management Asset records O & M Procedures 	Not applicable. RIA customers' meters do not require communication links.	NA	
354	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.5(1) and (2)	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.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Register	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management Asset records O & M Procedures 	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	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.5(3)	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).	2	Min	Likely	Med	Licence Condition FOU Contract Operation & Maintenance Plans	Moderate	4	<ul style="list-style-type: none"> Interview FOU Contract Risk Management O & M Procedures O & M Manuals 	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.
356	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.5(4)	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.	2	Min	Unlikely	Low	Licence Condition FOU Contract O & M Manuals O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview Asset records O & M Procedures O & M records 	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.
357	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.5(6)	A network operator may only impose a charge for providing, installing, operating or maintaining a metering installation in accordance with the applicable service level agreement between it and the user.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
358	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.5(9)	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.	2	Min	Probable	Low	Licence Condition. FOU Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. Risk Management. Corrective action procedures 	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.

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Mod/High		Strong/Mod/Weak	1-High 5-Low				
359	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.7	All devices that may be connected to a telecommunications network must be compatible with the telecommunications network and comply with all applicable State and Commonwealth enactments.	2	Min	Unlikely	Low	Licence Condition. FOU Contract Asset Management Plan Works Approval procedure (TG)	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management Works approval process 	Not applicable. RIA customers' meters do not require communication links.	NA	
360	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.8	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.	2	Min	Unlikely	Low	Licence Condition FOU Contract Risk Management Plan	Moderate	5	<ul style="list-style-type: none"> Interview Risk Management O & M procedures 	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	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.9(3)	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.	2	Min	Unlikely	Low	Licence Condition. FOU Contract.	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management O & M procedures 	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.
362	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.9(7)	For a metering installation used to supply a customer with requirements above 1000 volts that require a VT and whose annual consumption is below 750MWh, the metering installation must meet the relevant accuracy requirements of Type 3 metering installation for active energy only.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System	Moderate	5	<ul style="list-style-type: none"> Interview. FOU Contract. Risk Management Asset Management records O & M procedures 	FOU Contract is in place to install and maintain metering installations to the requirements of the Licence. TG confirms that there are no customers in this category.	NA	
363	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.9(9)	If compensation is carried out within the meter then the resultant metering system error must be as close as practicable to zero.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Asset Management records O & M procedures 	Ditto 361.	3	RIA to document.

OPERATIONAL / PERFORMANCE AUDIT AUDIT CHECKLIST AND SUMMARY

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
364	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 3.10	A network operator must ensure that any programmable settings within any of its metering installations, data loggers or peripheral devices, that may affect the resolution of displayed or stored data, meet the relevant requirements specified in the applicable metrology procedure and comply with any applicable specifications or guidelines specified by the National Measurement Institute under the National Measurement Act.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System	Moderate	5	<ul style="list-style-type: none"> Interview Asset Management records O & M procedures 	TG has confirmed that RIA's metering installations do not have programmable settings.	NA	
365	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 3.11(1)	A network operator must ensure that a metering installation on its network permits collection of data within the timeframes and to the level of availability specified.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System	Moderate	5	<ul style="list-style-type: none"> Interview Asset Management records O & M procedures 	TG has confirmed that availability of RIA's metering installations is 100%.	4	
366	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 3.11(2)	A network operator must make repairs to the metering installation in accordance with the applicable service level agreement if an outage or malfunction occurs to a metering installation.	2	Min	Probable	Low	Licence Condition FOU Contract O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview. Asset Management records O & M records 	FOU Contract is in place to install and maintain metering installations to the requirements of the Licence.	4	
367	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
368	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 3.12(1)	A network operator must ensure that each metering installation complies with, at least, the prescribed design requirements.	2	Min	Unlikely	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System Design standards O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview Asset Management records O & M records 	FOU Contract is in place to install, operate and maintain metering installations to the requirements of the Licence. TG advised that each metering installation complies with design requirements.	3	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
369	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.12(2)	A network operator must ensure that instrument transformers in its metering installations comply with the relevant requirements of any applicable specifications or guidelines (including any transitional arrangements) specified by the National Measurement Institute under the National Measurement Act and any requirements specified in the applicable metrology procedure.	2	Min	Unlikely	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview. Asset Management records O & M records 	Ditto 368.	3	
370	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.12(3)	A network operator must provide isolation facilities, to the standard of good electricity industry practice, to facilitate testing and calibration of the metering installation.	2	Min	Unlikely	Low	Licence Condition FOU Contract Design standards (TG)	Moderate	5	<ul style="list-style-type: none"> Interview. Design records (TG) Maintenance records (TG) 	Ditto 368.	3	
371	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.12(4)	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.	2	Min	Unlikely	Low	Licence Condition. FOU Contract Records Management Procedure Asset Management Plan	Moderate	5	<ul style="list-style-type: none"> Interview Asset Register Design records (TG) 	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 (Opportunity for improvement). <u>Post Audit Action:</u> Drawings were viewed and found satisfactory, (refer to opportunities for improvement for additional (refer to opportunities for improvement for additional recommendation).	3	Refer to opportunities for improvement for additional recommendation
372	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.13(1)	A network operator must procure the user or the user's customer to install (or arrange for the installation of) a full check metering installation or partial check metering installation in accordance with the prescribed requirements.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other supplier on the island.	NA	
373	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.13(c)	A partial check metering installation must be physically arranged in a manner determined by the network operator, acting in accordance with good electricity industry practice.	2	Min	Probable	Low	Licence Condition FOU Contract Design standards (TG) O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview Asset Register Maintenance records (TG) 	TG confirms that no partial check metering installations are present.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
374	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.13(4)	A check metering installation for a metering point must not exceed twice the error level permitted under clause 3.9 for the revenue metering installation for the metering point, and must be connected in such a way that it measures the same load conditions as the revenue metering installation for the metering point, and must be otherwise consistent with the prescribed requirements.	2	Min	Probable	Low	Licence Condition FOU Contract Design standards (TG) O & M Procedures	Moderate	5	<ul style="list-style-type: none"> • Interview • Asset Register • Design records (TG) 	Ditto 373.	NA	
375	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.14(3)	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.	2	Min	Probable	Low	Licence Condition. FOU Contract Asset Management System O & M Procedures	Moderate	5	<ul style="list-style-type: none"> • Interview • Asset Register • O & M records (TG) 	Validation of meter accuracy was not available during the audit.	2	Verification of meter accuracy is required.
376	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.16(1)	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.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management System O & M Procedures	Moderate	5	<ul style="list-style-type: none"> • Interview • Asset Register • O & M records (TG) 	Ditto Not applicable as no Type 1 to 5 metering installation was present on Rottneest Island prior to Code application. Future installations will require check of compliance.	3	Future meter installations will require check of compliance.
377	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.16(2)	A network operator must ensure that a Type 1 metering installation to Type 4 metering installation on the network includes a communications link.	2	Min	Probable	Low	Licence Condition FOU Contract Design standards (TG) O & M Procedures	Moderate	5	<ul style="list-style-type: none"> • Interview • Asset Register • O & M records (TG) 	Ditto 376.	3	
378	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.16(3)	If a device is used as a data logger, the energy data for a metering point on the network must be collated in trading intervals within the metering installation unless it has been agreed between the network operator and the Code participant that energy data may be recorded in sub-multiples of a trading interval.	2	Min	Probable	Low	• Not Applicable				No other supplier on the Island.	NA	
379	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.16(5)	A network operator or a user may require the other to negotiate and enter into a written service level agreement in respect of the matters in the metrology procedure dealt with under clause 3.16(4) of the Code.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	



REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
380	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.16(6)	A network operator may only impose a charge for the matters dealt with in the metrology procedure in accordance with the applicable service level agreement between it and the user.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
381	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.18(1)	If the Electricity Retail Corporation supplies electricity to a contestable customer at a connection point under a non-regulated contract, and in circumstances where immediately before entering into the contract, the electricity retail corporation supplied electricity to the contestable customer under a regulated contract, then the metering installation for the connection point must comply with the prescribed wholesale market metering installation requirements.	2	Min	Probable	Low	• Not Applicable				All customers on the Island are non-contestable.	NA	
382	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.20(1)	A network operator must, if reasonably requested by a Code participant, provide enhanced technology features in a metering installation.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
383	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.20(3)	A network operator may only impose a charge for the provision of metering installations with enhanced technology features in accordance with the applicable service level agreement between it and the user.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
384	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.21(1)	Meters containing an internal real time clock must maintain time accuracy as prescribed. Time drift must be measured over a period of 1 month.	2	Min	Likely	Medium	Licence Condition. Design Standards (TG) O & M Procedures	Moderate	4	• Interview • Asset Register • O & M records (TG)	FOU Contract 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.
385	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.21(2)	If a metering installation includes measurement elements and an internal data logger at the same site, it must include facilities on site for storing the interval energy data for the periods prescribed.	2	Min	Probable	Low	Licence Condition. FOU Contract Design Standards (TG) O & M Procedures	Moderate	5	• Interview. • Asset Register • O & M records (TG)	Ditto 384.	3	
386	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.22	A network operator providing one or more metering installations with enhanced technology features must be licensed to use and access the metering software applicable to all devices being installed and be able to program the devices and set parameters.	2	Min	Probable	Low	Licence Condition. FOU Contract Design Standards (TG) O & M Procedures	Moderate	5	• Interview • Asset Register • O & M records (TG)	Ditto 384.	3	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
387	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.23(a)	Where signals are provided from the meter for the user or the user's customer use, a network operator must ensure that signals are isolated by relays or electronic buffers to prevent accidental or malicious damage to the meter.	2	Min	Probable	Low	FOU Contract Design Standards (TG) O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview Asset Register O & M records (TG) 	Ditto 359. Not applicable. RIA customers' meters do not require communication links.	NA	
388	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.23(b)	Where signals are provided from the meter for the user or the user's customer use, a network operator must provide the user or the user's customer with sufficient details of the signal specification to enable compliance with clause 3.23(c) of the Code.	2	Min	Unlikely	Low	FOU Contract Design Standards (TG) O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview Asset Register O & M records (TG) 	Ditto 387.	NA	
389	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.25	A network operator that operates and maintains a pre-payment meter on its network must operate and maintain the pre-payment meter in accordance with good electricity industry practice and, as far as reasonably practicable, minimise any departure from what the requirements of the Code would have been in respect of the pre-payment meter if clause 3.24 were deleted.	2	Min	Probable	Low	Licence Condition. FOU Contract.	Moderate	5	<ul style="list-style-type: none"> Interview. FOU Contract. Risk Management. 	Not in use by RIA.	NA	
390	Generation Licence condition 5.1 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.	2	Min	Probable	Low	Licence Condition FOU Contract Staff Competency List	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management Competency review 	FOU Contract is in place to install metering installations to the requirements of the Licence. RIA Operation Manager has confirmed that a list of operator competencies has been provided by the Operation and Utilities Contractor.	3	
391	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 3.29	A network operator must publish a list of registered metering installation providers, including the prescribed details, and at least annually, update the list.	2	Min	Probable	Low	Licence Condition Senior Team Meetings Monthly O & M Reports & Meetings FOU Contract Staff Competency List	Moderate	5	<ul style="list-style-type: none"> Interview Minutes of O & M Meetings 	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 provided.
392	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.1(1)	A network operator must establish, maintain and administer a metering database containing standing data and energy data for each metering point on its network.	2	Min	Probable	Low	Licence Condition FOU Contract Asset Management Plan Asset Management System	Moderate	5	<ul style="list-style-type: none"> Interview Asset Registers O & M records 	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.

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
393	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.1(2)	A network operator must ensure that its metering database and associated links, circuits, information storage and processing systems are 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.	2	Min	Probable	Low	Licence Condition FOU Contract Security Procedures IT Access Procedure	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management 	Security of database is in compliance.	3	
394	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.1(3)	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.	2	Min	Probable	Low	Risk Management Plan Emergency Response Procedure	Moderate	2	<ul style="list-style-type: none"> Interview FOU Contract Risk Management 	RIA has Integrated Regional Licence on Island. There is no other user on the island. Full application of requirement is not strictly correct for an Integrated Licence. There are no other Code Participant on the island that would request energy data in case of disaster. However part of the requirement ie. disaster recovery is a necessary outcome. 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	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.2(1)	A network operator must ensure that its registry complies with the Code and the prescribed clause of the market rules.	2	Min	Probable	Low	Licence Condition. FOU Contract.	Moderate	5	<ul style="list-style-type: none"> Interview FOU Contract Risk Management 	Ditto 392.	2	Ditto 392.
396	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.3(1)	The standing data for a metering point must comprise at least the items specified.	2	Min	Probable	Low	Licence Condition FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview 	Ditto 392.	2	Ditto 392.
397	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.4(1)	A network operator and affected Code participants must liaise together to determine the most appropriate way to resolve a discrepancy between energy data held in a metering installation and data held in the metering database.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
398	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission 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.	NR	Min	Probable	Low	Licence Condition. FOU Contract.	Moderate	5	• Interview	Ditto 392.	2	Ditto 392.
399	Generation Licence condition 5.1 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
400	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.6(1)	If a network operator is notified of a change to or inaccuracy in an item of standing data by a Code participant which is the designated source for the item of standing data, then the network operator must update the registry.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
401	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.6(2)	If a network operator is notified of a change to or inaccuracy in an item of standing data by a Code participant which is not the designated source for the item of standing data, or otherwise becomes aware of a change to or inaccuracy in an item of standing data, then the network operator must undertake investigations to the standard of good electricity industry practice to determine whether the registry should be updated, and update the registry as required.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
402	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.7	A network operator must notify any affected user for a metering point of the updated standing data within the timeframes prescribed, where that user would otherwise be entitled to the updated standing data.	2	Min	Likely	Medium	FOU Contract Operating Procedures				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
403	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.8(3)	A network operator must allow a user who supplies, purchases or generates electricity to have local and (where a suitable communications link is installed) remote access to the energy data for metering points at its associated connection points, using a 'read only' password provided by the network operator.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
404	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.8(4)	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.	2	Min	Probable	Low	Licence condition FOU Contract Security Procedures IT Access Procedure	Moderate	5	<ul style="list-style-type: none"> • Interview • Risk Management • Security access process 	Ditto 392.	2	Ditto 392.
405	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.8(5)	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.	2	Min	Probable	Low	Licence condition FOU Contract Security Procedures IT Access Procedure	Moderate	5	<ul style="list-style-type: none"> • Interview • Risk Management • Security access process 	Ditto 404. Security access procedures are in place requiring account login and password to be authorised.	3	Ditto 404.
406	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 4.9	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.	2	Min	Probable	Low	Licence condition FOU Contract Security Procedures IT Access Procedure	Moderate	5	<ul style="list-style-type: none"> • Interview • Risk Management • Security access process 	Ditto 392.	2	Ditto 392.
407	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.1 (1)	A network operator must use all reasonable endeavours to accommodate another Code participant's requirement to obtain a metering service and requirements in connection with the negotiation of a service level agreement.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
408	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.1(2)	A network operator must expeditiously and diligently process all requests for a service level agreement and negotiate its terms in good faith. A network operator must, to the extent reasonably practicable in accordance with good electricity industry practice, permit a Code participant to acquire a metering service containing only those elements of the metering service which the Code participant wishes to acquire.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
409	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.3	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.	2	Min	Likely	Medium	Licence condition FOU Contract Operating Procedures	Moderate	4	<ul style="list-style-type: none"> • Interview • FOU Contract • Metering records 	Ditto 392.	2	Ditto 392.
410	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.4(1)	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.	NR	Min	Probable	Low	Licence condition FOU Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • FOU Contract • Metering records 	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.

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
411	Generation Licence condition 5.1 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.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
412	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.5(2)	A network operator may only impose a charge for the provision of data under this Code in accordance with the applicable service level agreement between it and the user and must not impose a charge for the provision of data if another enactment prohibits it from doing so.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
413	Generation Licence condition 5.1 Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.5(3)	A user must not impose any charge for the provision of the data under this Code unless it is permitted to do so under another enactment.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
414	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.6(1)	A network operator must provide validated, and where necessary, substituted or estimated energy data for a metering point to the user for the metering point and the IMO within the timeframes prescribed.	2	Min	Probable	Low	Licence condition FOU Contract Code of conduct	Moderate	5	• Interview • Customer Service Charter • Service Agreement Contract	This code refers to arrangement between the Network Operator and another code participant (a Retailer) – therefore not applicable to RIA as the Integrated Regional Licence holder. There is no IMO (independent market operator) on the island.	NA	
415	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.7	A network operator must provide replacement energy data to the user for the metering point and the IMO within the timeframes prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
416	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.8	A network operator must provide a user with whatever information the network operator has that is necessary to enable the user to comply with its obligations under the Code of Conduct, within the time necessary for the user to comply with the obligations.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
417	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.9	A network operator must provide standing data, provided to or obtained by it under this Code, to users where required to do so under any enactment.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
418	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.10	A network operator must provide a subset of the standing data to a retailer in accordance with the provisions of Annex 4 of the Customer Transfer Code.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
419	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.11	If a transfer occurs at a connection point, a network operator must provide an incoming retailer with a copy of the standing data for each metering point associated with the connection point within the timeframes prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
420	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.12(1)	If a network operator is given a request in accordance with the communication rules and the energy data request relates only to a time or times for which the user was the current user at the metering point, a network operator must provide a user with a complete set of energy data for a metering point within the timeframes prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
421	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.13	A network operator must provide a current user with a complete current set of standing data for a metering point and advise whether there is a communications link for the metering point, within the timeframes prescribed, if it is given a request in accordance with the communication rules.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
422	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.14(3)	A network operator must acknowledge receipt of a bulk standing data request from a user and provide the requested standing data within the timeframes prescribed in accordance with the communication rules.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
423	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.15	A network operator that provides energy data to a user or the IMO must also provide the date of the meter reading.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
424	Generation Licence condition 5.1 Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.16	A user that collects or receives energy data from a metering installation must provide the network operator with the energy data (in accordance with the communication rules) within the timeframes prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
425	Generation Licence condition 5.1 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 or for the purpose of providing metering services to the customer.	2	Min	Probable	Low	Licence condition FOU Contract	Moderate	5	<ul style="list-style-type: none"> • Interview • FOU Contract • Risk Management 	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.



REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
426	Generation Licence condition 5.1 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
427	Generation Licence condition 5.1 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.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
428	Generation Licence condition 5.1 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.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
429	Generation Licence condition 5.1 Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(3)	A user must, after becoming aware of any change in a site's prescribed attributes, notify the network operator of the change within the timeframes prescribed.	2	Min	Likely	Medium	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
430	Generation Licence condition 5.1 Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(4)	A user that becomes aware that there is a sensitive load at a customer's site must immediately notify the network operator's Network Operations Control Centre of the fact.	2	Min	Likely	Medium	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
431	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.19(5)	A network operator must give notice to a user, or (if there is a different current user) the current user, acknowledging receipt of any customer, site or address attributes from the user within the timeframes prescribed.	2	Min	Likely	Medium	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
432	Generation Licence condition 5.1 Retail Licence condition 5.1	Electricity Industry Metering Code clause 5.19(6)	A user must use reasonable endeavours to ensure that it does notify the network operator of a change in an attribute that results from the provision of standing data by the network operator to the user.	NR	Min	Likely	Medium	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
433	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.20(1)	A network operator must, within 6 months from the date this Code applies to the network operator, develop, in accordance with the communication rules, an energy data verification request form.	2	Min	Probable	Low	Licence condition FOU Contract				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
434	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.20(2)	An Energy Data Verification Request Form must require a Code participant to provide the information prescribed.	2	Min	Probable	Low	Licence condition FOU Contract				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low /Med/High		Strong/Mod/Weak	1-High 5-Low				
435	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.20(4)	If a Code participant requests verification of energy data, a network operator must, in accordance with the metrology procedure, use reasonable endeavours to verify energy data and inform the requesting Code participant of the result of the verification and provide the verified energy data within the timeframes prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
436	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.21(2)	A network operator must comply with any reasonable request by a Code participant to undertake either a test or an audit of the accuracy of the metering installation or the energy or standing data of the metering installation.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
437	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.21(4)	A test or audit is to be conducted in accordance with the metrology procedure and the applicable service level agreement.	2	Min	Probable	Low	• Not Applicable				Not applicable. Code clause 5.21(4) requires audit where requested by a code participant. As RIA has an integrated licence there are no other code participants.	NA	
438	Generation Licence condition 5.1 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
439	Generation Licence condition 5.1 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
440	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.21(8)	A network operator may only impose a charge for the testing of the metering installations, or auditing of information from the meters associated with the metering installations, or both, in accordance with the applicable service level agreement between it and the user.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
441	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.21(9)	Any written service level agreement in respect of the testing of the metering installations, or the auditing of information from the meters associated with the metering installations, must include a provision that no charge is to be imposed if the test or audit reveals a non-compliance with this Code which results in energy data errors in the network operator's favour.	2	Min	Probable	Low	Licence condition Code of conduct O & M Procedures	Moderate	5	<ul style="list-style-type: none"> • Interview • Customer Service Charter • Accounting Procedures 	This code applies where a Code Participant requires the service from the Network Operator. Since RIA has Integrated Regional Licence, this code does not apply to RIA. However, where the code is applicable to RIA's customers on the island it is adequately covered by 2.4 & 2.5 in the Customer Service Charter and 8.4 in the Standard Form Contract.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
442	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.21(11)	A network operator must advise the affected parties as soon as practicable of errors detected under a test or audit, the possible duration of the errors, and must restore the accuracy of the metering installation in accordance with the applicable service level agreement.	2	Min	Likely	Medium	Licence condition Code of conduct O & M Procedures	Moderate	4	<ul style="list-style-type: none"> Interview Customer Service Charter Accounting Procedures 	Ditto 441.	NA	
443	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.21(12)	The original stored error correction data in a meter must not be altered except during accuracy testing and calibration of a metering installation.	2	Min	Probable	Low	Licence condition FOU Contract O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview 	Ditto 441.	NA	
444	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.22(1)	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.	2	Min	Likely	Medium	Licence condition FOU Contract O & M Procedures Customer Service Charter	Moderate	4	<ul style="list-style-type: none"> Interview O & M Test records 	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.
445	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.22(2)	The network operator must use check metering data, where available, to validate energy data provided that the check metering data has been appropriately adjusted for differences in metering installation accuracy.	2	Min	Likely	Medium	Licence condition FOU Contract O & M Test records Customer Service Charter	Moderate	4	<ul style="list-style-type: none"> Interview O & M Test records 	Not applicable as no check metering is in place at Rottneest.	NA	
446	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.22(3)	A network operator must prepare substitute values using the prescribed method if a check meter is not available or energy data cannot be recovered from the metering installation within the time required.	2	Min	Likely	Medium	Licence condition FOU Contract O & M Test records Customer Service Charter	Moderate	4	<ul style="list-style-type: none"> Interview O & M Test records 	Ditto 441.	NA	
447	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.22(4)	A network operator that detects a loss of energy data or incorrect energy data from a metering installation must notify each affected Code participant of the loss or error within 24 hours after detection.	2	Min	Likely	Medium	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
448	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code clause 5.22(5)	Substitution or estimation of energy data is to be required when energy data is missing, unavailable or corrupted, including in the circumstances described.	2	Min	Probable	Low	Licence condition FOU Contract Operating Procedures	Moderate	5	<ul style="list-style-type: none"> Interview 	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.

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
449	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.22(6)	A network operator must review all validation failures before undertaking any substitution.	2	Min	Probable	Low	Licence condition Operating Procedures	Moderate	5	• Interview	Ditto 448.	2	Ditto 448.
450	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.23(1)	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.	2	Min	Probable	Low	Licence condition FOU Contract Customer Service Charter	Moderate	5	• Interview • Standard Form Contract	Ditto 448.	2	Ditto 448.
451	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.23(3)	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.	2	Min	Unlikely	Low	Licence condition FOU Contract O & M Procedures	Moderate	5	• Interview	Ditto 448.	2	Ditto 448.
452	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.24(1)	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.	2	Min	Probable	Low	Licence condition FOU Contract Customer Service Charter	Moderate	5	• Interview • Standard Form Contract	Ditto 448.	2	Ditto 448.
453	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.24(2)	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.	2	Min	Probable	Low	Licence condition FOU Contract Customer Service Charter	Moderate	5	• Interview • Standard Form Contract	Ditto 448.	2	Ditto 448.
454	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.24(3)	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.	2	Min	Probable	Low	Licence condition FOU Contract Customer Service Charter	Moderate	5	• Interview • O & M meter reading process	Ditto 448.	2	Ditto 448.
455	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.24(4)	A network operator (acting in accordance with good electricity industry practice) must consider any reasonable request from a Code participant for an estimated or substituted value to be replaced.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
456	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.25	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.	2	Min	Probable	Low	Licence condition FOU Contract O & M Procedures	Moderate	5	<ul style="list-style-type: none"> Interview O & M meter reading process O & M meter testing procedures 	Ditto 444.	2	Ditto 444.
457	Generation Licence condition 5.1 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	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
458	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.29	If a network operator makes an election for the electricity networks corporation to be its metering data agent in relation to a network, then, except to the extent that the metering data agency agreement provides otherwise, the parties must undertake the activities prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
459	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.30(1)	If a network operator makes an election for the electricity networks corporation to be its metering data agent in relation to a network, then the electing network operator and the electricity networks corporation must enter into a metering data agency agreement in relation to the network, which must deal with at least the matters prescribed.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
460	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.31(1)	If a network operator makes an election for the electricity networks corporation to be its metering data agent in relation to a network, the electricity networks corporation must assess the compliance of each metering installation in the network with this Code and notify the electing network operator of each non-compliant metering installation.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
461	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.31(2)	An electing network operator may, by notice to the electricity networks corporation, require the electricity networks corporation to upgrade a non-compliant metering installation, in which case the electricity networks corporation must undertake the upgrade in accordance with the metering data agency agreement and good electricity industry practice.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
462	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry Metering Code clause 5.34(2)	Except to the extent that the metering data agency agreement provides otherwise, the costs which may be recovered by the electricity networks corporation for acting as the network operator's metering data agent must not exceed the amounts prescribed.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Complete Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
463	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code 6.1(1)	A network operator must, in relation to its network, comply with the agreements, rules, procedures, criteria and processes prescribed.	2	Min	Probable	Low	Licence condition Statement of Corporate Intent Exec. Management Meetings FOU Contract	Moderate	5	<ul style="list-style-type: none"> Interview Minutes of Exec. Management & Senior Team Meetings O & M Meeting Minutes 	Intent of compliance demonstrated in Management Meetings, FOU Contract and interviews with CEO and various managers. FOU Contract includes responsibility for compliance with all electricity licence requirements. TG is aware of responsibility. 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.
464	Generation Licence condition 5.1 Retail Licence condition 5.1	Electricity Industry clause Metering Code 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
465	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code 6.20(4)	A network operator must amend any document in accordance with the Authority's final findings.	NR	Min	Probable	Low	Licence condition Statement of Corporate Intent Exec. Management Meetings Senior Team Meetings	Strong	5	<ul style="list-style-type: none"> Interview Minutes of Exec. Management & Senior Team Meetings FOU Contract 	FOU contract sets responsibilities for compliance with Authority's requirements.	3	
466	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code 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.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
467	Distribution Licence condition 5.1 Integrated Regional Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code 7.2(2)	A network operator must notify each Code participant of its initial contact details and of any change to its contact details at least 3 business days before the change takes effect.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
468	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause Metering Code 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Wweak	1-High 5-Low				
469	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
470	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
471	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause 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.	2	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
472	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause 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 Electricity Industry Metering Code by negotiations in good faith.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
473	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission Licence condition 5.1	Electricity Industry clause 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.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	



REF NO	LICENCE CONDITIONS REF	OBLIGATIONS UNDER CONDITIONS	REQUIREMENT	Risk Type	Risk Conseq. Rating	Likelihood Rating	Inherent Risk Rating	EXISTING CONTROLS	Adequacy of Existing Controls	Audit Priority	TESTS TO ASSESS COMPLIANCE / EFFECTIVENESS	FINDINGS	Compliance Rating	RECOMMENDATIONS / CORRECTIVE ACTIONS
					Min/Mod/Maj	Likely/Prob/Unlikely	Low/Med/High		Strong/Mod/Weak	1-High 5-Low				
474	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission 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.	NR	Min	Probable	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
475	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission 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.	2	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	
476	Distribution Licence condition 5.1 Generation Licence condition 5.1 Integrated Regional Licence condition 5.1 Retail Licence condition 5.1 Transmission 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.	NR	Min	Unlikely	Low	• Not Applicable				RIA has Integrated Regional Licence on Island. There is no other user on the island.	NA	

ABBREVIATIONS

AMP = Draft Asset Management Plan, March 2008
AMS = Asset Management System
CCC = Community Consultative Committee
CEO = Chief Executive Officer
ERC = Expenditure Review Committee
FOU = Facility, Operation and Utility
FOU Contract = Facility, Operation and Utility Management Agreement 2007
O & M = Operation & Maintenance
O U = Operation and Utility
PMS = Programmed Maintenance Services
RI = Rottnest Island

RIA = Rottnest Island Authority
RIMP = Rottnest Island Management Plan 2004
RMP = Risk Management Plan
TG = Tungsten Group

Table 1.