

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
	D R	<b>Grant of License</b> The audit will check the existence and accuracy of the licence. <b>Person to be interviewed:</b> - Bill Head	M	5	Original Licences sighted, date 15/12/2006.	5		Nil
	D R	<b>Term</b> The audit will check the validity of the licence. <b>Person to be interviewed:</b> - Bill Head	M	5	ERL2 expires 23/03/2036 and EDL2 expires 23/03/2021	5		Nil
		<b>Fees</b>						
85	D R	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. <b>The audit will check for the following documents:</b> - notification of grant or renewal of license - Receipt for payment of license fees. <b>Person to be interviewed:</b> - Bill Head  The process of filing such documents (notifications, receipts etc.) will be audited.	S	5	Tax invoices sighted. 2006 fee invoice dated 6/03/2006 2008fee invoice dated 06/03/2008	4	Paper 2007 fee invoice not found, but SAP records of payment was presented	Within 3 months, NiW to set up a calendar of payment due dates and dates of payment along with filing of paper receipts. Responsible: BH
		<b>Compliance</b>						
72	D	A distributor must attach or connect premises to a distribution system if a retailer or customer takes certain action and the circumstances in regulation 5(1) of the Electricity Industry (Obligation to Connect) Regulations exist. <b>The audit will check for the following documents:</b> - Documents that prove the retailer or customer has taken action necessary for a connection  - Documents that prove the distributor has connected the retailer or customer as per regulation 5(1) of the Electricity Industry (Obligation to Connect) following an action by the retailer or Customer. <b>Person to be interviewed:</b> - Bill Head The audit will look for a process that covers the connection of new customers and try to match the documents against the process.	M	5	Staff were interviewed.	NA	No new applications to connect were received during the audit period.	Nil
73	D	A distributor that is obliged to attach or connect premises to the distribution system under regulation 4 of the Electricity Industry (Obligation to Connect) Regulations must extend the distribution system to a suitable connection point. <b>The audit will check for the following documents:</b> - Documents that prove the distributor has extended the Network to a suitable point necessary for a connection. - Documents that prove the distributor has connected the retailer or customer as per regulation 4 of the Electricity Industry(Obligation to Connect) extending the distribution system to a suitable connection point. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Network planning. - Customer connection. - Asset Management	W	5	Staff were interviewed.	NA	No new applications to connect were received during the audit period.	Nil
74	D	The capacity and standard of an extension must be adequate for the supply required and in accordance with accepted good industry practice as it would be applied by a prudent distributor. <b>The audit will check for the following documents:</b>						

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		<ul style="list-style-type: none"> <li>- Documents that specify the retailer or customer's supply requirements</li> <li>- Documents that show how the customer requirements have been met in accordance with accepted good industry practice as it would be applied by a prudent distributor.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Network planning.</li> <li>- Customer connection.</li> <li>- Asset Management</li> </ul>	M	4	Staff were interviewed.	NA	No new applications to connect were received during the audit period.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
75	D	<p>A distributor that is obliged to attach or connect premises to the distribution system under regulation 4 of the Electricity Industry (Obligation to Connect) Regulations must do so within a defined timeframe.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents that show when the retailer or customer was due for Connection</li> <li>- Documents that show the distributor has connected the retailer or customer as per regulation 4 of the Electricity Industry (Obligation to Connect) within defined timeframe.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Customer connection.</li> </ul>	W	3	Staff were interviewed.	NA	No new applications to connect were received during the audit period.	Nil
76	D	<p>A distributor must energise premises in certain prescribed circumstances.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- SLDs.</li> <li>- Applications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Connection policy.</li> </ul>	M	5	Staff were interviewed and SLDs checked		There were no de-energised premises attached to the network that energisation was requested for.	Nil
77	D	<p>A distributor that is obliged to energise premises must do so within a defined timetable.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Applications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Connection policy.</li> </ul>	W	5	Staff were interviewed and SLDs checked		There were no de-energised premises attached to the network that energisation was requested for.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
86	D R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents in evidence of faults logged at call centre.</li> <li>- Fault records indicating fault repair times and duration</li> <li>- A customer charter(or equivalent commitment by the license to attend to outages within specific time frames).</li> <li>- Documents in evidence of handling procedures for planned interruptions, suspensions or restrictions of the supply of electricity due to an accident, emergency, potential danger or other unavoidable cause.</li> <li>- Redundancy of supply.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Switching procedures</li> <li>- Auto change over schemes</li> </ul>	M	2	PPA sighted is SCE PPA dated 1999. Penalty clause in agreement with TA to minimise outage duration. Sufficient standby generation for critical loads. TransAlta incident .XLS LOG for 2004 to 2008 covering north and south region and calculations for liquidation damages.	3	Protection grading for minimising outages. Contractors on call 24 hours. There are online status indications. All work logged at substation log book. Metering data provided information on fault durations. Fault reports are sent to Perth in email format. There is no immediate accessibility to an after hours emergency vehicle for switching operations at Leinster.	Standard procedure to be implemented using standard forms and all incidents recorded in a central log in Perth. After hours emergency response in the Northern System to be reviewed.
87	D R	<p>A licensee must pay the costs of taking an interest in land or an easement over land.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Evidence of NiW constructing new assets.</li> <li>- Easement acquisition over the area of the new assets.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Easement acquisition is catered for in the planning process.</li> </ul>	M	5	Lease areas and asset maps checked.	5	Existing mining lease covers the entire area. No additional distribution assets have been built.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
429	D	<p>A distributor or transmitter must, as far as reasonably practicable, ensure that electricity supply to a customer's electrical installations complies with prescribed standards.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents in evidence of customer complaints in regard to power supply quality.</li> <li>- Documents in evidence of checks done by the distributor to ensure customer installation safety before energizing.</li> <li>- Documents in evidence of either time-based maintenance or condition based maintenance (Asset Management System).</li> <li>- Documents in evidence of periodic checks done on the system to ensure customer installations comply with prescribed standards ( statutory installation checks)</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Power quality monitoring</li> </ul>	W	1	Staff interviewed and records sought.	1	<p>No permanent monitoring. One audit was done on the Leinster supply slightly prior to March 2006. One mine had under voltages from their open load. There has no formalised logging of power quality complaints.</p>	<p>Testing of supply quality to be done at least bi-annually. Responsible: LD &amp; SL</p>
430	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Protection philosophies.</li> <li>- Priority and emergency customer requirements.</li> <li>- Systems analysis.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Power quality monitoring</li> </ul>	W	3	No supplies have been disconnected and no occurrences have been recorded.	5	Not tested	N/A

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
431	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents in evidence of network performance statistics showing the occurrence and duration of interruptions.</li> <li>- Maintenance records.</li> <li>- Contingency planning.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Maintenance procedures.</li> <li>- Switching procedures.</li> <li>- Emergency supply procedures.</li> <li>- Fault isolation procedures.</li> </ul>	M	2	Staff were interviewed.	3	<p>Culture based. Incentive for management to keep workers morale high to maintain good levels of production. Tests on site show that there is no log of faults. There is no call centre. While outage durations are kept to a minimum there is no recording or documentation.</p>	<p>Outages should be logged and recorded. System to be developed over the next 6 months. Responsible: LD &amp; SL</p>
432	D	<p>A distributor or transmitter must, so far as reasonably practicable, reduce the effect of any interruption on a customer.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Fault and restoration records.</li> <li>- Reliability improvement projects.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Maintenance procedures.</li> <li>- Switching procedures.</li> <li>- Emergency supply procedures.</li> <li>- Fault isolation procedures.</li> </ul>	M	2	Correspondence with customers regarding planned outages sighted.	5	<p>Planned outages are coordinated with the customers around mine shutdown.</p>	N/A

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
433	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents, including drawings, in evidence of alternative supply means in case of essential, major and important customers.</li> <li>- Documents must also show switching procedures that ensure alternative means to a customer who will be affected by a proposed interruption.</li> <li>- Outage notifications.</li> <li>- Outage durations.</li> <li>- Special conditions register.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Maintenance procedures.</li> <li>- Switching procedures.</li> <li>- Emergency supply procedures.</li> <li>- Planned outage procedure.</li> </ul>	M	2	System diagrams were reviewed, staff interviewed, site inspections performed and registers requested.	5	No standby generators are supplied for mines. There is a standby generation for township to supply critical loads. All mines are on radial supplies with no possible switching arrangements. PPA's acknowledge that critical maintenance must be performed and alternate means of supply is outside the agreements. All outages are planned and coordinated with customers and TA. A standby generator is permanently installed at the medical centre.	Nil
435	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Interruption records.</li> <li>- Compliance report.</li> <li>- Maintenance reports.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Network planning procedures.</li> <li>- Risk management.</li> <li>- Quality action procedure.</li> </ul>	W	1	ERA correspondence and report requested.	3	Tracking of outages has not been effectively documented. Some outage information is missing. Upstream network and generation issues, downstream customer issues and network operator issues have not been separated. The impact of the radial and remoteness of the network will limit the ability of NiW to meet the standard. Interruption of Supply Standard (Rest of State) does not appear to have been met.	Improved outage logging and recording system to be set up within 2 months. Responsible: BH
436	D	<p>The average total length of interruptions of supply is to be calculated using the specified method.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Compliance report.</li> <li>- Calculation files.</li> <li>- Outage database.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head.</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Historical and compliance reporting.</li> </ul>	W	3	As per 435	4	Tracking of outages has not been effectively documented. Some outage information is missing. Upstream network and generation issues, downstream customer issues and network operator issues have not been separated. The impact of the radial and remoteness of the network will limit the ability of NiW to meet the standard. Interruption of Supply Standard (Rest of	Improved outage logging and recording system to be set up within 2 months. Responsible: BH
437	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Correspondence register.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul>	W	3	No request has been made.			Nil

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438	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meeting minutes / correspondence.</li> <li>- Power Purchase Agreements (PPA)</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Access planning.</li> </ul>	W	5	No new agreements or amendments were implemented over the audit period. All PPA's pre-date the audit period.	NA	Nil	Nil



No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
439	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Outage records.</li> <li>- Accounting records.</li> <li>- PPA</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Outage management</li> </ul>	W	3	No application received.	NA	Nil	Nil
440	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Outage records.</li> <li>- Accounting records.</li> <li>- PPA</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Outage management.</li> </ul>	W	3	No application received.	NA	Nil	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
441	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>Evidence of notifications 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</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>Bill Head</li> <li>Simon Longhurst</li> <li>Lionel Diprose</li> </ul>	W	5	Customer annual consumption reviewed.	NA	NiW has no eligible customers.	Nil
442	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>PPA</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>Access planning.</li> </ul>	W	5	Customer annual consumption reviewed.	NA	NiW has no eligible customers.	Nil
443	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>Existence of written notifications 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 not less than once in each financial year.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>Bill Head</li> <li>Simon Longhurst</li> <li>Lionel Diprose</li> </ul>	W	3	Customer annual consumption reviewed.	NA	NiW has no eligible customers.	Nil
444	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>Documents in evidence of switching network procedures.</li> <li>Equipment records.</li> <li>Documents in evidence of interruption statistics and what measures are employed to reduce incidence of unplanned interruptions.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>Bill Head</li> <li>Simon Longhurst</li> <li>Lionel Diprose</li> </ul> <p>The audit will focus on processes that are in place to manage the network such as to reduce interruptions and the effect of interruptions on customers.</p>	M	2	Outage database, site records and correspondence was looked for.	2	There is no dedicated control room and not many statistics are stored including outages. Switching records are only recorded on site or in SAP.	Outage reports are to be compiled on a regular basis and sent through weekly to a central process overseer. System to be developed over the next 6 months. Responsible: LD & SL
445	D	<p>A distributor or transmitter must keep records of information regarding its compliance with specific requirements for the period specified.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>Compliance reports.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>Bill Head</li> <li>Simon Longhurst</li> <li>Lionel Diprose</li> </ul>	W	1	A file containing licence information, several databases and records were sighted.	2	There is no central recording system for recording compliance with Code conditions. Not all of the required information was available. Evidence of a system under development was seen.	Initial system to be developed over the next 6 months to show details of future compliance of action items. Responsible: BH

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446	D	<p>A distributor or transmitter must complete a quality investigation requested by a customer in accordance with specified requirements.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents in evidence of quality investigations as requested by a customer in accordance with specified requirements.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Complaints process.</li> </ul>	W	3	No investigation was requested.	NA	Nil	Nil
447	D	<p>A distributor or transmitter must report the results of an investigation to the customer concerned.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Reports with results of investigations as requested by a customer concerned.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Complaints process.</li> <li>- Document control.</li> </ul>	W	3	No investigation was requested.	NA	Nil	Nil
448	D	<p>A document setting out a distributor's or transmitter's complaint handling process must contain the specified information.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Responses to complaints.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Complaints process.</li> <li>- Document control.</li> </ul>	W	5	PPAs sighted.	5	Each PPA contains specific references to a complaint handling procedure.	Nil
450	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Systems monitoring audits</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul>	M	4	Report sought	2	2006 report was sighted. Dated 15 Nov 2006. No report or letter of exemption for 2007 was found.	Quality filing system for Code compliance issues to be implemented within 6 months. Responsible: BH

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451	D	A distributor or transmitter must prepare and publish a report about its performance in accordance with specified requirements. <b>The audit will check for the following documents:</b> - Performance reports. <b>Person to be interviewed:</b> - Bill Head	M	4	Report sought	2	2006 report was sighted. Dated 15 Nov 2006. No report or letter of exemption for 2007 was found.	Quality filing system for Code compliance issues to be implemented within 6 months. Responsible: BH
452	D	A distributor or transmitter must give a copy of its report about its performance to the Minister and the Authority within the specified period. <b>The audit will check for the following documents:</b> - Ministerial correspondence. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Document control.	M	5	Letter to the ERA was sighted and the letter to the minister is to be provided.	2	Letter to the ERA was sighted. No correspondence with the Minister's office was found.	Quality filing system for Code compliance issues to be implemented within 6 months. Responsible: BH
300	D	A network operator must treat all Code participants that are its associates on an arms-length basis. - Evidence that the distribution and retail sections are distinct from each other. <b>Person to be interviewed:</b> - Bill Head	W	1	The relationship between the Retail and Distribution licences and other relevant businesses was investigated.	N/A	NiW operates as a monopoly business in both retail and distribution.	Nil
301	D	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. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Billing process. - Access process.	W	1	The relationship between the Retail and Distribution licences and other relevant businesses was investigated.	N/A	There is no evidence of any code participant being advantaged or disadvantaged, noting there are no other retailers operating in the area.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
302	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter calibration records.</li> <li>- Meter test records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> <li>- Maintenance policy.</li> </ul>	M	2	No evidence of compliance is available. No current meter calibration methods are available either. A sample PPA sighted contains metrology clauses consistent with the code to be implemented within 12 months.	1	Meters are compliant and were last calibrated during the period between 2000 and 2003. CT / VT details were not available and the overall accuracy is unknown.	Over the next 12 months a full audit and inspection of the metrology system will be made to determine any gaps. Responsible: BH
303	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter specifications.</li> <li>- Purchase records.</li> <li>- Period contracts with suppliers.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> </ul>	W	3	There were no meter specifications to review and no purchase records to comment on. Noting that, no new installation over the last audit period. Sighted records of accumulation meter with 30 minute demands.	5	Accumulation meters seem to comply with all the requirements.	Over the next 12 months a full audit and inspection of the metrology system will be made to determine any gaps.

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
304	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Designs.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- SCADA and communications policy.</li> </ul>	W	3	Downloading sighted and compliant.	5		Nil
305	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Purchase records.</li> <li>- Preferred supplier lists.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> </ul>	W	3	On site Communications network was sighted and the data was displayed at both the site offices and in Perth.	5	Information goes through a data highway across the mine site with water and other information.	Nil
306	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Metering diagrams.</li> <li>- Metering records.</li> <li>- Physical inspection.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Lionel Diprose</li> </ul>	W	1	No drawings were available and the site inspection did not reveal any details apart from the meter brand and model.	4	Complies with functionality but not necessarily with accuracy. However no record to say otherwise.	Nil. The current metering arrangements were installed prior to Code inception & in agreement with the customers. The proposed metering audit in item 302 may improve accuracy. If metering Class & accuracy data can be obtained any equipment predating the existing contract dates can have an accuracy adjustment factored into calculations.
307	D	<p>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).</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents in evidence of meter tests and recalibrations.</li> <li>- Manufacturers' user guides.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Metering maintenance procedures.</li> </ul>	M	2	Calibration records and testing records were checked.	1	Meters were not checked or calibrated during the audit period.	Meters to be maintained and checked in accordance with Australian standards. Initial testing to start within 6 months. Responsible: LD & SL
308	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design drawings.</li> <li>- Physical inspection.</li> </ul> <p><b>Person to be interviewed:</b></p>	W	3	Metering locations were checked.	NA	Metering was sometimes located further upstream. This is a legacy situation and therefore exempt. Customers are aware of the meter location and associated	None.

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Access procedure.</li> <li>- Network planning. procedure.</li> </ul>					<p>location and associated losses. No new meters were installed since the Metering Code 2005 was introduced.</p>	

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
309	D  R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Invoices.</li> <li>- PPA</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing process.</li> </ul>	W	5	Invoices and PPAs sighted	5	Customers are only charged for electricity consumption.	Nil
310	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Metering inspection sheets.</li> <li>- Asset records.</li> <li>- Correspondence.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Metering maintenance procedures.</li> </ul>	W	5	Not tested.	NA	It is not possible to determine whether the metering is compliant.	Establish Metering Code Compliance procedures and determine level of compliance within 12 months. Responsible: BH



No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
311	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Product specifications.</li> <li>- Purchase records.</li> <li>- Asset register.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> </ul>	W	5	Site inspection of random communication links.	5	Communication links were functional and used standard communication equipment.	Nil
312	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Designs specifications.</li> <li>- Physical inspection.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design process.</li> </ul>	W	5	Site inspection.	1	Metering installations that are installed on the customers premises have no locks. Other meters are inside locked switchrooms. No meters were sealed.	Lock and seal all meters including test blocks within 4 months. Responsible: LD & SL
313	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design specifications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Metering procedures.</li> </ul>	W	5	There is no standard for metering installations and it is uncertain whether the installations meet the requirements of the Code. PPAs state the metering accuracy requirement (which has been met), but CT / VT details were unavailable.	3	Most meters were replaced between 2000 and 2002 to a GE PQM meter with 0.2% accuracy. The audit was unable to access any CT or VT details to determine if an overall level of accuracy was reached.	NiW is to document the current installations, determine the overall accuracy and develop a plan to achieve compliance within the next 12 months. Responsible: BH
315	D	<p>If compensation is carried out within the meter then the resultant metering system error must be as close as practicable to zero.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Metering test data.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design process.</li> </ul>	W	5	Metering calibration and testing records were sought.	3	No evidence was found that any compensation is performed within the metering units.	NiW is to document the current installations, determine the overall accuracy and develop a plan to achieve compliance within the next 12 months. Responsible: BH
316	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design specifications.</li> <li>- Purchase records.</li> <li>- Asset register.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul>	W	1	Records of meter installation were checked.	5	Meters were calibrated and tested by certified technicians	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<ul style="list-style-type: none"> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> <li>- Design process.</li> </ul>						

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
317	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design specifications.</li> <li>- Purchase records.</li> <li>- Asset registers.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> <li>- Design process.</li> </ul>	W	1	The updating of interval metering was checked and field staff were interviewed for the collection of accumulation data.	5	Data is collected on a 30 minute interval via telemetry and is also downloaded directly on site every month.	Nil
318	D	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.	M	5	Not tested.			
320	D	<p>A network operator must ensure that each metering installation complies with, at least, the prescribed design requirements.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Commissioning checks.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Construction and commissioning procedures.</li> </ul>	M	5	Details of wiring and CT / VT classes was looked for.	2	No details of wiring configuration or CT / VT details were available.	Drawing register to be updated and CT / VT details be made available before next audit. Responsible: BH

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
321	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design specifications.</li> <li>- Purchase records.</li> <li>- Asset registers.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Procurement policy.</li> <li>- Design process.</li> </ul>	W	3	Details of wiring and CT / VT classes was looked for.	2	No details of wiring configuration or CT / VT details were available.	Drawing register to be updated and CT / VT details be made available before next audit. Responsible: BH
322	D	<p>A network operator must provide isolation facilities, to the standard of good electricity industry practice, to facilitate testing and calibration of the metering installation.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design drawings.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	S	4	Random metering installation were checked.	3	Isolation facilities are provided on the terminal blocks inside the panels.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
323	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design drawings.</li> <li>- Drawing register.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> </ul>	M	5	Drawings of metering installations were looked for.	1	Records of meter installation and testing were available. No other information or drawings could be found.	Drawings and data to be collated over the next 12 months. Responsible: BH
324	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	W	5	Online monitoring system and random metering sites were checked.	NA	NiW has no partial or full check metering installed. The system is exempt from this clause as all meters fall under clause 3.14 (2) of the Code.	Nil
325	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	M	5	There is no check metering installed. PPA's do not specify any requirement for check metering.	NA	NiW has no partial or full check metering installed. The system is exempt from this clause as all meters fall under clause 3.14 (2) of the Code. Upstream metering provides some validation for downstream data.	Nil
326	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	W	5	NA	NA	NiW has no partial or full check metering installed. The system is exempt from this clause as all meters fall under clause 3.14 (2) of the Code.	Nil
327	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p>	W	5	Details of wiring and CT / VT classes was looked for.	2	No details of wiring configuration or CT / VT details were available.	Drawing register to be updated and CT / VT details be made available before next audit. Responsible: BH

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		- Design standards.						
328	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design drawings.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	M	5	System is not connected to the WEM.	NA	Nil	Nil
329	D	<p>A network operator must ensure that a Type 1 metering installation to Type 4 metering installation on the network includes a communications link.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design drawings.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	W	5	System is not connected to the WEM.	NA	Nil	Nil
330	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Data records.</li> <li>- PPAs</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing process.</li> </ul>	W	3	System is not connected to the WEM.	NA	Nil	Nil
331	D R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Meeting minutes and correspondence.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Negotiation process.</li> </ul>	W	5	System is not connected to the WEM.	NA	Nil	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
332	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing process.</li> </ul>	W	5	System is not connected to the WEM.	NA	Nil	Nil
334	D	<p>A network operator must, if reasonably requested by a Code participant, provide enhanced technology features in a metering installation.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Correspondences.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Asset planning process.</li> </ul>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil
335	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Correspondences.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing process.</li> </ul>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
336	D	<p>Meters containing an internal real time clock must maintain time accuracy as prescribed. Time drift must be measured over a period of 1 month.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing process.</li> </ul>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil
337	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Metering data.</li> <li>- Design drawings</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil
338	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Software licenses.</li> <li>- Training records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT policy.</li> </ul>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil
339	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Design drawings.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Design standards.</li> </ul>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil
340	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Software licenses.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p>	W	5	No requests for the use of enhanced technology meters were made.	NA	Nil	Nil



No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		- IT policy.						
341	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Invoices.</li> <li>- PPAs</li> <li>- Meter data.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	W	3	No prepayment meters.	N/A	Nil	Nil
342	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter installation and commissioning records.</li> <li>- Staff lists and permits.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter installation procedure.</li> </ul>	S	5	No new meters were installed during the audit period.	N/A	Nil	Nil
343	D	<p>A network operator must publish a list of registered metering installation providers, including the prescribed details, and at least annually, update the list.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Database or list of registered metering installation service providers.</li> <li>- Evidence of an update at least annually.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Metering installation contracting policy.</li> </ul>	W	3	A list of installation service providers was looked for.	5	NiW maintains a list of contractors which includes those available for metering. The list is published in-house as there is no other retailer in the area.	Nil
344	D	<p>A network operator must establish, maintain and administer a metering database containing standing data and energy data for each metering point on its network.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Database for the meters will be checked.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p>The metering data storage processes will be audited.</p>	M	4	Database sighted.	5	Metering data for both current and historical loads were available.	Nil
345	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Password and log in requirements.</li> <li>- Data modification records.</li> </ul> <p><b>Person to be interviewed:</b></p>	M	5	Access to the database was witnessed.	5	Access is by login and password with security levels.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT security procedures</li> </ul>						
346	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Back up databases verified.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT security policy.</li> </ul>	W	3	Staff interviewed about the IT system.	4	<p>There was on site data logging and main servers with backup. The 2 days compliance criteria was untested.</p>	<p>Recovery systems to have a testing schedule developed within 4 months and be tested at least annually. Responsible: BH</p>
347	D	<p>A network operator must ensure that its registry complies with the Code and the prescribed clause of the market rules.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Metering registry will be checked for compliance with codes.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul>	W	5	Metering registry checked and staff interviewed.	2	<p>The standing data does not contain all of the information specified.</p>	<p>Metering registry should be brought up to Code within 3 months. Responsible: BH</p>

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
348	D	<p>The standing data for a metering point must comprise at least the items specified.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Metering data will be checked.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul>	W	5	Metering registry checked and staff interviewed.	1	The standing data does not contain all of the information specified.	Metering registry should be brought up to Code within 3 months. Responsible: BH
349	D R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Communications regarding metering disputes.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Dispute resolution procedure.</li> </ul>	W	3	PPAs sighted.	5	Dispute resolution and procedure is defined in the PPA's. There were no disputes over the audit period.	Nil
350	D R	<p>A Code participant must not knowingly permit the registry to be materially inaccurate.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Data base accuracy will be verified.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p>The metering data handling process will be checked.</p>	W	3	The real time data reading and accumulation spreadsheet was sighted.	4	Downstream meter readings are compared with those upstream to look for errors.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
351	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Works orders.</li> <li>- Database logs.</li> <li>- Correspondence.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> <li>- Meter maintenance procedure.</li> <li>- Accounting procedure.</li> </ul>	S	4	Staff were interviewed and meter testing records checked.	3	No meters were tested over the period. If staff become aware of any problems on the meters they contact TA directly and no record is kept of the notification.	Error log to be implemented within the next 3 months. Responsible: LD & SL
352	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Communications.</li> <li>- Registry updates records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT policy.</li> </ul>	W	5	No notifications were received.	NA	Nil	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
353	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Data base accuracy investigation files.</li> <li>- Communications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT policy.</li> </ul>	W	5	No notifications were received.	NA	Nil	Nil
354	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Evidence of notification of customers in cases of updated standing data.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul>	M	5	As per 353	NA	Nil	Nil
355	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Database access records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT security policy.</li> </ul>	W	3	Staff interviewed	5	Local access is available by appointment to hazardous areas. No dial up facilities exist and no request for remote access was found.	Nil
356	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Database access records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT security policy.</li> </ul>	W	3	Staff interviewed	5	Data is stored on a secure BHPBilliton intranet with multiple security levels.	Nil
357	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Database access records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT security policy.</li> </ul>	M	5	Staff interviewed and logon viewed.	5	Every person has their own logon and passwords. Access is controlled by BHPBilliton IT dept.	Nil
358	D	<p>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.</p>						

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Database access records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- IT security policy.</li> </ul>	M	5	Old data was looked for.	5	The metrology IT system stores all historical data.	Nil
359	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul>	W	5	PPAs were checked.	5	Metrology clauses are included in all PPAs. No additional requests were received over the audit period.	Nil
360	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul>	W	5	PPAs were checked.	5	Metrology clauses are included in all PPAs. No additional requests were received over the audit period.	Nil
361	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter readings.</li> <li>- Works orders.</li> <li>- Database logs.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter reading procedure.</li> <li>- Billing procedure.</li> </ul>	M	2	Online database was checked and field staff interviewed.	5	Data is downloaded in 30 minute intervals and field staff routinely take manual reading to validate the telemetry data.	Nil
362	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Evidence of least one meter reading in a 12 month period.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul>	M	4	Sample meter reading inputs checked.	5	Field meter readings are done on a 3 monthly basis and are scheduled by SAP.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
363	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Correspondence files.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter maintenance procedure.</li> </ul>	S	4	Correspondence from TA was looked for.	NA	TA made no requests for metering assistance over the audit period.	Nil
364	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs.</li> <li>- Invoicing.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	W	5	Charges on invoices were checked against Code requirements and conditions of the PPAs.	5	Customers were only invoiced for kWhrs consumed.	Nil
365	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs.</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	W	5	Charges on invoices were checked against Code requirements and conditions of the PPAs.	5	Customers were only invoiced for kWhrs consumed.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
366	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Data calculations.</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	M	2	Invoices were checked.	5	Invoices include consumption data. The network is not part of the SWIS and no data was provided to the IMO.	Nil
367	D	<p>A network operator must provide replacement energy data to the user for the metering point and the IMO within the timeframes prescribed.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Correspondences.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> </ul>	W	3	The NiW network is not a part of the WEM.	NA	No replacement data was entered during the audit period.	Nil
368	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Evidence of information dissemination to the customer will be checked.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p>The process of information dissemination will be audited.</p>	W	3	Staff were interviewed.	NA	No requests for information were made by any customer.	Nil



No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
369	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Time data provision will be checked.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p>Data management process will be checked.</p>	W	5	Staff were interviewed.	NA	No requests for information were made by any customer.	Nil
373	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Quality action records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Quality action procedure.</li> </ul>	W	5	Staff were interviewed.	NA	No requests for information were made by any customer.	Nil
372	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Quality action records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Quality action procedure.</li> </ul>	W	5	Staff were interviewed.	NA	No requests for information were made by any customer.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
374	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Quality action records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Quality action procedure.</li> </ul>	W	5	Staff were interviewed.	NA	No requests for information were made by any customer.	Nil
375	D	<p>A network operator that provides energy data to a user or the IMO must also provide the date of the meter reading.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- IMO data advices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Reporting procedures.</li> </ul>	W	3	Invoices were checked.	5	Meter reading dates are included on the invoices.	Nil
376	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter readings.</li> <li>- Works orders.</li> <li>- Database entry logs.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter reading procedure.</li> </ul>	S	5	Meter readings and transmittals were checked.	5	NiW shares meters with TA and the data is uploaded directly. Standing data is sent monthly.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
377	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Invoices.</li> <li>- Customer correspondence files.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	W	5	Invoices were checked.	5	Standing data is provided on the invoices.	Nil
378	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer database.</li> <li>- Customer correspondence files.</li> <li>- Meter maintenance records.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- Metering procedure.</li> </ul>	M	4	System diagrams were analysed and staff interviewed.	NA	No change in energisation status of any connection points occurred during the audit period.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
379	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer database.</li> <li>- Customer correspondence files.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- Customer registration.</li> </ul>	W	5	Staff were interviewed.	NA	No requests were made by TA.	Nil
380	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer database.</li> <li>- Correspondence files.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- Customer registration.</li> </ul>	M	4	PPAs were checked for points of contact.	2	Points of contact were found to be out of date. This has already been identified by NIW as an issue.	Points of contact to be updated within 2 months. Responsible: BH
381	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer database.</li> <li>- Customer correspondence files.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- Customer registration.</li> </ul>	M	4	Staff were interviewed.	NA	No changes to users attributes occurred during the audit period.	Nil
382	R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer database.</li> <li>- Customer correspondence files.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- Customer registration.</li> </ul>	M	4	Staff were interviewed.	NA	No additional sensitive loads came online during the audit period.	Nil
383	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Communications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> </ul>	W	5	Staff were interviewed.	NA	No notifications were received.	Nil
385	D	<p>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.</p>						An Energy Data Verification

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<p>The audit will check for the following documents:</p> <ul style="list-style-type: none"> <li>- Communications.</li> </ul> <p>Person to be interviewed:</p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p>The following processes are targeted:</p> <ul style="list-style-type: none"> <li>- Document control.</li> </ul>	W	5	An Energy Data Verification Request Form was requested.	1	No form was available.	Request Form is to be developed and copies distributed to customers within 3 months. Responsible: BH

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
386	D	<p>An Energy Data Verification Request Form must require a Code participant to provide the information prescribed.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Communications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> </ul>	W	5	An Energy Data Verification Request Form was requested.	NA	No form was available.	The Energy Data Verification Request Form to request the prescribed information. Responsible: BH
387	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer correspondence files.</li> <li>- Work orders.</li> <li>- Investigation results.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- Billing procedure.</li> </ul>	W	5	Staff were interviewed.	NA	No requests were received during the audit period.	Nil
388	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Customer requests.</li> <li>- Work orders.</li> <li>- Test results.</li> <li>- Reply communications.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter testing procedure.</li> </ul>	W	5	Staff were interviewed.	NA	No requests were received during the audit period.	Nil
389	D	<p>A test or audit is to be conducted in accordance with the metrology procedure and the applicable service level agreement.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs.</li> <li>- Test sheets.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter testing procedure.</li> </ul>	W	3	Staff were interviewed.	NA	No requests were received during the audit period.	Nil
392	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter testing procedures.</li> </ul>	W	3	Invoices were checked.	5	No charges were made for any meter testing.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
393	D	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. <b>The audit will check for the following documents:</b> - PPAs. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Access negotiation process.	W	5	PPA metrology clauses were checked.	2	The metrology clauses do include information about the requirements to check the meters, but do not indicate whether this will be a chargeable item. In practice, NiW does not charge for any meter testing.	PPAs to be amended by addendum to include this item within 6 months. Responsible: Commercial Manager
394	D	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. <b>The audit will check for the following documents:</b> - Test results. - Metering investigation reports. - Advice communications. - Work orders. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Maintenance procedures. - Metering test procedures.	W	5	Meter testing and calibration record were checked.	NA	No testing of meters were performed during the audit period.	Nil
395	D	The original stored error correction data in a meter must not be altered except during accuracy testing and calibration of a metering installation. <b>Person to be interviewed:</b> - Bill Head - Lionel Diprose <b>The following processes are targeted:</b> - Meter reading procedure. - Meter testing procedure.	W	3	Meter installation data was checked.	5	Initial installation and testing data is available on site.	Nil
396	D	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. <b>The audit will check for the following documents:</b> - Meter reading database. - Invoices. - PPAs. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Billing procedure.	W	3	Online metering system checked and validation procedure followed.	3	Checks are done at the end of the feeder and at the connection point. The data values undergo a visual inspection. There is no set procedure for identifying invalid data. NiW have not used substitute or estimated data.	Nil
397	D	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. <b>The audit will check for the following documents:</b> - Commissioning tests. - Maintenance tests. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Meter testing procedure.	M	5	Metering system was reviewed.	NA	No check metering installed.	Nil
398	D	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.						

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter reading database.</li> <li>- Estimation calculations.</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	M	4	Data logging procedures were reviewed as well as staff interviewed about meter outages.	NA	<p>NiW does not charge for null data and the only times that null data has occurred is on smaller meters. Facilities exist for data recovery in the case of telemetry failure and upstream meters can be used for data estimation.</p>	Nil
399	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter reading database.</li> <li>- Correspondence.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Document control.</li> <li>- IT policy.</li> </ul>	W	5	Evidence of correspondence was looked for and procedure checked.	4	<p>TA have access to the same meter data and therefore should have the information on hand. No evidence was found of any correspondence between NiW and TA.</p>	Nil
400	D	<p>Substitution or estimation of energy data is to be required when energy data is missing, unavailable or corrupted, including in the circumstances described.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter reading database.</li> <li>- Estimation calculations.</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	M	5	Staff interviewed and historical metering data checked.	NA	<p>Data is estimated to be zero in all cases.</p>	Nil
401	D	<p>A network operator must review all validation failures before undertaking any substitution.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Substitution calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing policy.</li> </ul>	W	3	Staff interviewed.	NA	<p>Data is estimated to be zero in all cases.</p>	Nil
402	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Substitution calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing policy.</li> </ul>	W	5	Staff interviewed.	NA	<p>Data is estimated to be zero in all cases.</p>	Nil



No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
403	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Works orders.</li> <li>- Commissioning tests</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing policy.</li> <li>- Maintenance policy.</li> </ul>	W	5	Staff interviewed.	NA	No recorded instances of equipment failure.	Nil
404	D	<p>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</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter readings.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter reading procedure.</li> <li>- Billing policy.</li> </ul>	W	3	Staff interviewed.	NA	No instances have occurred.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
405	D	<p>A network operator that uses a deemed 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</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Meter readings.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Meter reading procedure.</li> <li>- Billing policy.</li> </ul>	W	3	Staff interviewed.	NA	No instances have occurred.	Nil
406	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Quality action request.</li> <li>- Invoices.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Quality action procedure.</li> </ul>	W	3	Staff interviewed.	NA	Data is estimated to be zero in all cases.	Nil
407	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Quality action request.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Quality action procedure.</li> </ul>	W	3	No requests received.	NA	Data is estimated to be zero in all cases.	Nil
408	D	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Estimation calculations.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Billing procedure.</li> </ul>	W	5	Staff interviewed.	NA	Data is estimated to be zero in all cases.	Nil
415		<p>A network operator must, in relation to its network, comply with the agreements, rules, procedures, criteria and processes prescribed.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- PPAs</li> <li>- Compliance reports.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul>	W	3	Audit results and procedures have been compared to the terms of the PPAs	2	With the exception of metering, there is no evidence of any excursion from the terms of the PPAs.	PPAs to be amended by addendum within 6 months. Responsible: BH
417	D	A network operator must amend any document in accordance with the Authority's final findings.						

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<p>The audit will check for the following documents:</p> <ul style="list-style-type: none"> <li>- Not applicable first audit.</li> </ul> <p>Person to be interviewed:</p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p>The following processes are targeted:</p> <ul style="list-style-type: none"> <li>- Not applicable first audit.</li> </ul>	W	3	NA - This is the first audit.	NA	Nil	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
418	D  R	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.  <b>The audit will check for the following documents:</b> - Customer database. - Customer correspondence files. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Document control. - Customer registration.	W	5	Correspondence sighted.	5	One letter was sighted showing a change in contact details.	Nil
419	D	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.  <b>The audit will check for the following documents:</b> - Change of address notifications. - Change of address. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Document control.	M	5	Correspondence between NiW and it customers was sought following the Change in Licence details. Staff were interviewed.	2	No formal communication took place.	Quality filing system for Code compliance issues to be implemented within 6 months. Responsible: BH
422	R	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.  <b>The audit will check for the following documents:</b> - Correspondence requesting confidential information. - Responses. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Filing procedures. - Confidential document disposal procedures. - Security.	M	5	Security procedures were analysed	5	IT systems have login and passwords and the building has security with pass access on the doors. No evidence of a leak of confidential information was found.	Nil
423	R	A Code participant must disclose or permit the disclosure of confidential information that is required to be disclosed by the Code.  <b>The audit will check for the following documents:</b> - Correspondence requesting confidential information. - Responses. <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Correspondence protocols.	M	5	Staff were interviewed.	5	No evidence was found that any information has been withheld in regards to the audit / regulatory bodies or code participants.	Nil
424	D  R	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.  <b>The audit will check for the following documents:</b> - Documents of disputes ( if any). <b>Person to be interviewed:</b> - Bill Head <b>The following processes are targeted:</b> - Dispute resolution procedure.	S	5	Evidence of any disputes was sought.	NA	No disputes occurred during the audit period. Each PPA has a section detailing the dispute resolution procedure.	Nil
425	D	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.						

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
	R	<p>The audit will check for the following documents:</p> <ul style="list-style-type: none"> <li>- Documents of disputes (if any).</li> </ul> <p>Person to be interviewed:</p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p>The following processes are targeted:</p> <ul style="list-style-type: none"> <li>- Dispute resolution procedure.</li> </ul>	S	4	Evidence of any disputes was sought.	NA	No disputes occurred during the audit period. Each PPA has a section detailing the dispute resolution procedure.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
426	D  R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents of disputes (if any).</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Dispute resolution procedure.</li> </ul>	S	4	Evidence of any disputes was sought.	NA	No disputes occurred during the audit period. Each PPA has a section detailing the dispute resolution procedure.	Nil
427	D  R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents of disputes (if any).</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Dispute resolution procedure.</li> </ul>	S	4	Evidence of any disputes was sought.	NA	No disputes occurred during the audit period. Each PPA has a section detailing the dispute resolution procedure.	Nil
428	D  R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Documents of disputes (if any).</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Dispute resolution procedure.</li> </ul>	S	4	Evidence of any disputes was sought.	NA	No disputes occurred during the audit period. Each PPA has a section detailing the dispute resolution procedure.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
	D R	<b>Transfer of License</b> <b>The audit will check for the following documents as appropriate:</b> <ul style="list-style-type: none"> <li>- License for current validity</li> <li>- Correspondence</li> <li>- ERA records.</li> </ul> <b>Person to be interviewed:</b> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <b>The following process will be targeted:</b> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	W	5	Licence details and history was checked.	NA	No transfer of licence occurred during the audit period.	Nil
	D R	<b>Cancellation of License</b> <b>The audit will check for the following documents as appropriate :</b> <ul style="list-style-type: none"> <li>- License for current validity</li> <li>- Correspondence</li> <li>- ERA records</li> </ul> <b>Person to be interviewed:</b> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <b>The following process will be targeted:</b> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	W	5	ERA correspondence was checked	5	No evidence showed the licence to be cancelled and the ERA requested the audit as per the valid licence.	Nil
	D R	<b>Surrender of License</b> <b>The audit will check for the following documents as appropriate:</b> <ul style="list-style-type: none"> <li>- Correspondence</li> <li>- ERA records.</li> <li>- Notices published in the Gazette.</li> </ul> <b>Person to be interviewed:</b> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <b>The following process will be targeted:</b> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	W	5	Licence details and history was checked.	NA	Licence was not surrendered.	Nil

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
	D R	<b>Renewal of License</b> <b>The audit will check for the following documents:</b> <ul style="list-style-type: none"> <li>- License documentation of renewal demonstrating compliance.</li> </ul> <b>Person to be interviewed:</b> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <b>The following process will be targeted:</b> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	W	5	Licence details and history was checked.	NA	Licence did not come up for renewal during the audit period.	Nil
	D R	<b>Amendment of License on Application of Licensee</b> <b>The audit will check for the following documents:</b> <ul style="list-style-type: none"> <li>- License documentation</li> <li>- Written notices for proposed amendments from the Authority.</li> </ul> <b>Person to be interviewed:</b> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <b>The following process will be targeted:</b> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	W	5	Evidence of licence amendments were sought.	5	Letter sighted requesting name change from WMC to NiW. Licence was amended accordingly.	Nil
	D R	<b>Amendment of the License by the Authority</b> <b>The audit will check for the following documents:</b> <ul style="list-style-type: none"> <li>- Documents that prove that the Authority has amended the license.</li> <li>- Written notices to the licensee about the proposed amendments.</li> </ul> <b>Person to be interviewed:</b> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <b>The following process will be targeted:</b> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	W	5	Licence details and history was checked.	NA	No evidence of amendment to licence at the request of the Authority was found.	Nil



No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
	D R	<p><b>Approved Scheme</b></p> <p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Register of small use customers.</li> <li>- Proof of membership of approved scheme ( if any)</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following process will be targeted:</b></p> <ul style="list-style-type: none"> <li>- ERA process as applicable</li> </ul>	M	4	Customer data was checked.	NA	No Small Use Customers.	Nil
104 103	D D	<p><b>Expansion or Reduction of Distribution Systems</b></p> <p>A licensee must amend the asset management system before an expansion or reduction in generating works, distribution systems and transmission systems and notify the Authority in the manner prescribed, if the expansion or reduction is not provided for in the asset management system.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Network layout drawings</li> <li>- Network maintenance plans</li> <li>- Network equipment records</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Asset management processes</li> <li>- Network operating procedures</li> </ul>	M	4	Asset register and planning procedures were checked.	3	Asset registers are kept on site in excel spreadsheets and hard copies. There is no formal procedure for entering the information and the registers are only kept locally. It is uncertain when the assets are entered into SAP.	NiW to produce an AMS and notify the ERA within 6 months.

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
105	D R	<p><b>Accounting Records</b></p> <p>A licensee and any related body corporate must maintain accounting records that comply with the Australian Accounting Standards Board Standards or equivalent International Accounting Standards.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Audited accounting records</li> <li>- Certification of an approved Auditor.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes are targeted:</b></p> <ul style="list-style-type: none"> <li>- Accounting processes</li> </ul>	S	2	BHPBilliton website checked and staff interviewed.	5	External audits are performed at a high level of BHPBilliton. NiW only undergoes internal audits. No audits have been performed of the billing or distribution businesses. The annual reports designate that the business follows Australian Accounting Standards Board Standards and this was confirmed by the external auditor KPMG.	Nil
106	D R	<p><b>Individual Performance Standards</b></p> <p>A licensee must comply with any individual performance standards prescribed by the Authority.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- License submission documentation</li> <li>- License showing specified Performance Standards</li> <li>- Licensee documentation demonstrating compliance with the Standards.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- ERA- official</li> </ul>	M	2	Licences checked.	NA	No individual performance standards are included in the licence.	Nil
<b>Performance Audit</b>								
107  81	D R D R	<p>A licensee must comply, and require its auditor to comply, with the Authority's standard audit guidelines dealing with the performance audit.</p> <p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Register of audit history for license</li> <li>- Previous compliance audits completed</li> <li>- Certification documents for independent auditor.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul>	W	3	Documentation regarding performance audits between NiW, the auditor and the ERA was sighted.	5	NiW engage SKM to perform this (the first) audit in compliance with the licence condition. Letters for extensions of time were also sighted, as well as auditor approval by the ERA.	Nil
82  83  84  108	D  D  D  D	<p><b>Asset Management Systems</b></p> <p>A licensee must provide for an asset management system.</p> <p>A licensee must notify details of the asset management system and any substantial changes to it to the Authority.</p> <p>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.</p> <p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Asset management plans</li> <li>- Maintenance plans</li> <li>- Operational drawings</li> <li>- Switching guidelines</li> <li>- Operational plans</li> <li>- Equipment records</li> <li>- Interruption records</li> <li>- Risk plans</li> <li>- Notices ( in relation network changes and asset management system changes)</li> </ul>	M	2	The audit looked at the asset planning procedures, register and evidence of licence compliance.	2	Asset planning is done both on a local level and by the projects group as part of mining operations. No formal asset management system exists for the electrical assets and as such, nothing has been submitted to the ERAfor approval.	Within 12 months NiW will develop an asset management system and submit to the ERA. Responsible: BH

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
		<p><b>Person to be interviewed</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> <li>- Simon Longhurst</li> <li>- Lionel Diprose</li> </ul> <p><b>The following process are targeted:</b></p> <ul style="list-style-type: none"> <li>- Asset management process</li> </ul>						

No.	Type	Condition	Adequacy of existing controls	Audit Priority	Verification/Tests	Compliance Rating	Findings	Corrective Action
<b>Reporting</b>								
109	D R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Correspondence between the Authority and Licensee.</li> <li>- Minutes of meeting, file notes etc</li> <li>- Documentation that might indicate a change in circumstances.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following process will be targeted:</b></p> <ul style="list-style-type: none"> <li>- Reporting and compliance processes.</li> </ul>	W	3	Staff interviewed and annual reports reviewed.	NA	No events occurred during the audit period that would inhibit NiW from fulfilling its licence obligations.	Nil
<b>Provision of Information</b>								
110	D R	<p>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.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Correspondence between the Authority and Licensee.</li> <li>- Minutes of meeting, file notes etc</li> <li>- ERA records requesting information.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following process will be targeted:</b></p> <ul style="list-style-type: none"> <li>- reporting and compliance processes</li> </ul>	W	5	Staff interviewed.	NA	No evidence was found of the ERA requesting any such information.	Nil
<b>Publishing Information</b>								
111	D R	<p>A licensee must publish any information it is directed by the Authority to publish, within the timeframes specified.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Evidence of publication on ERA and Licensee websites and newspapers as appropriate.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following processes will be targeted:</b></p> <ul style="list-style-type: none"> <li>- reporting and compliance processes</li> </ul>	W	5	Staff interviewed.	5	No evidence was found of any request to publish information, however, the ERA and BHPBilliton websites both contain a report by NiW publicising its compliance with the NQ&RS Code 2005 requirements for 2006.	Nil
<b>Notices</b>								
112	D R	<p>Unless otherwise specified, all notices must be in writing.</p> <p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Notices with delivery dates and addresses(in written form)</li> <li>- Facsimiles</li> <li>- emails</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following process will be targeted:</b></p> <ul style="list-style-type: none"> <li>- reporting and compliance processes</li> </ul>	W	5	Samples of correspondence relating to licence conditions was sought.	5	Emails and letters to/from the ERA and SKM were sighted relating to licence conditions.	Nil
<b>Review of the Authorities Decisions</b>								
	D R	<p><b>The audit will check for the following documents:</b></p> <ul style="list-style-type: none"> <li>- Correspondence between the Authority and Licensee.</li> </ul> <p><b>Person to be interviewed:</b></p> <ul style="list-style-type: none"> <li>- Bill Head</li> </ul> <p><b>The following process will be targeted:</b></p> <ul style="list-style-type: none"> <li>- The review of reviewable decisions by the Authority will be audited.</li> </ul>	W	3	Staff interviewed	NA	No review of the Authorities conditions were requested by the licensee.	Nil