

Attachment 2 – Post-audit implementation plan

Post Audit Implementation Plan

Ref / year – section of act	Non-compliance	Action to be taken	By (name / position)	When
01/2021 29	B2 <i>Electricity Industry Customer Transfer Code 2016</i> Clause 4.7 Failure to nominate a transfer date in accordance with the specified timeframes.	Update customer transfer procedure to further highlight timeframes.	Office Manager	31/12/2021
02/2021 89	B2 <i>Electricity Industry Customer Contracts Regulations 2005</i> Regulation 15 A non-standard contract must inform the customer that the provisions of the contract may be amended without the customer's consent and describe the process for amending the contract, including requirements for approval and the way in which the amendment will be published. The non-standard contract must require the retailer to notify the customer of any amendment to the contract.	NSFC has been updated post-audit period to implement compliance (auditor has reviewed and acknowledged this). However further action required includes: Developing a Control Procedure for the update of ESA-SUCs & NSFCs, including creating a master template, applying document control to the both the ESA and the NFSC, tracking changes on the master template and highlighting any compliance related in obligations (i.e contrast font or symbol) to draw attention to the compliance requirement for the user updating the document. Develop control processes for training, internal audit, management review and change management processes to ensure ongoing compliance.	Office Manager / Analyst	31/01/2022
03/2021 90	B2 <i>Electricity Industry Customer Contracts Regulations 2005</i> Regulations 16 & 34 For the duration of the audit period, the Licensee's NSFC did not accurately inform the customer of all obligations as required by the Regulations. Specifically the NSFC did not accurately describe the processes or detail requirements for amending, approval, publishing of amendment and contract amendment notifications. The NSFC did inform the customer that variation to contract without the customers consent could occur.	As for recommendation 02/2021	Office Manager / Analyst	31/01/2022
04/2021 98	B2 <i>Electricity Industry Customer Contracts Regulations 2005</i> Regulations 33(2) & (4) For the duration of the audit period, the	As for recommendation 02/2021	Office Manager / Analyst	31/01/2022

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	<p>Licensee's NSFC did not describe the requirement that a fixed term contract must authorise the customer to terminate the contract at any time by giving notice to the retailer not less than 20 days before the day on which the customer wants the contract to end. Additionally, it did not specify amount the payable by the customer, by way of penalty, in the event that the customer terminated the contract before the expiry of the term of the contract.</p>			
<p>06/2021 124</p>	<p>B2 <i>Electricity Industry Act 2004</i> Section 11 Retail Licence, condition 4.5.1 During the audit period the Licensee complied with the dates for the submission of reporting requirements, however, non-compliance was noted in regards to late payment of prescribed fees and the failure to include the non-compliance in the subsequent annual compliance report. The Control Procedures in relation to the correct collection and handling of data that the Licensee supplies to ERA and/or compliance related activities were not adequate to ensure accurate and timely reporting of information to the ERA.</p>	<p>Improve and update control procedure around collection and handling of data required to be supplied and reported to the ERA. Implement additional training specifically around payment of invoices from the ERA.</p>	<p>Analyst</p>	<p>31/01/2022</p>
<p>07/2021 131</p>	<p>B2 <i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i> Clause 2.2(2) For the duration of the audit period the Licensee did not include a reference to general information on the safe use of electricity in the SFC new contract process. There were 3 occasions where this information was not communicated.</p>	<p>Control procedures were updated post-audit period to implement compliance (auditor has reviewed and acknowledged this). Auditor suggested the Amanda Energy website could be improved by creating a specific compliance page in an effort of "best practice" to enable our customers to find information more easily. – to be taken under consideration by Amanda Energy management.</p>	<p>Office Manager / General Manager</p>	<p>31/01/2022</p>
<p>08/2021 133</p>	<p>B2 <i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i> Clause 2.3(2) For the duration of the audit period the Licensee did not include a reference to general information on the safe use of electricity in the NSFC new contract process. The Licensee used a NSFC and confirmation of inclusion of all information as specified in subclause 2.3(2) with the exception of 2.3(2)(j) was noted</p>	<p>Control procedures were updated post-audit period to implement compliance (auditor has reviewed and acknowledged this). Auditor suggested the Amanda Energy website could be improved by creating a specific compliance page in an effort of "best practice" to enable our customers to find information more easily. – to be taken under consideration by Amanda Energy management.</p>	<p>Office Manager / General Manager</p>	<p>31/01/2022</p>

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09/2021 137	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i> Clause 2.4(2)</p> <p>The Licensee reported in the 2021 Annual Compliance Report one occasion in which a BDM did not leave sufficient contact information for the customer to contact Amanda Energy and verify a query.</p>	Control Procedures to be updated to specifically identify areas or steps throughout procedures that are compliance related. This change is to be identified in the next quarterly memo sent to BDMs as well as in the Induction Manual.	Analyst	31/01/2022
11/2021 172	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i> Clause 4.16(1)(A)</p> <p>During the audit period Amanda Energy's billing process did not include a reference to the availability of meter testing following bill review.</p>	Control procedures were updated post-audit period to implement compliance (auditor has reviewed and acknowledged this). In order to further improve: Implement an internal audit program to periodically review the effectiveness of current internal compliance control practices (training / memos).	Analyst	31/01/2022
12/2021 229	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i> Clause 7.1(1)</p> <p>The Analyst confirmed that during the audit period, Amanda Energy did not comply with all limitations when arranging for disconnection due to failure to pay a bill. It was noted that 3 out of the 4 of the arranged disconnections were non-compliant with respect to providing warnings in the manner and specified timeframes.</p>	<p>Update Control Procedure to include the following improvements:</p> <ul style="list-style-type: none"> - Clear identification of compliance requirements - A checklist to formally document the decisions and steps taken. <p>Review and if required update XERO parameters in the automated statements to ensure public holidays do not affect compliance.</p> <p>Implement a delegation of authority policy.</p> <p>Incorporate compliance requirements into job descriptions where required.</p> <p>Develop a risk management strategy to mitigate compliance-based risks.</p>	Analyst / General Manager	31/01/2022
13/2021 230	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i> Clause 7.2(1)</p> <p>Amanda Energy did not comply with all limitations when arranging for disconnection due to failure to pay a bill. It was noted that on one occasion 7.2(1)(a) was breached as the Licensee arranged for the disconnection of a customer's supply address for failure to pay a bill within 1 business day after</p>	As for recommendation 12/2021	Analyst / General Manager	31/01/2022

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	the expiry of the period referred to in the disconnection warning.			
14/2021 234	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i></p> <p>Clause 7.2(1)</p> <p>The Licensee failed to differentiate between a query and complaint. As such non-compliance with 7.6(1)(a) as a complaint (as defined by the ERA Customer Complaint Guidelines - 2016) had been made to the retailer directly related to the reason for the proposed disconnection.</p>	<p>Review and Update Complaints Handling Process to include reference to the “Customer Complaint Guideline – October 2016” which differentiates queries from complaints.</p> <p>Implement training program for all applicable staff on the updates to the Complaints Handling process.</p> <p>Ensure the updated disconnection control procedure (12/2021) aligns with the updated complaints handling process.</p>	Analyst / General Manager	31/01/2022
16/2021 299	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i></p> <p>Clause 12.1(2)</p> <p>Amanda Energy’s internal process for handling complaints and resolving disputes did not comply with AS ISO 10002-2014, specifically, the definition of a complaint as detailed in the S3.2 Distinguishing ‘complaints’ from ‘queries’ of the Customer Complaint Guidelines – October 2016 approved by the ERA (Refer 302). Additionally, it was noted the Complaint Handling procedure did not specifically detail how Amanda Energy would handle complaints about the retailer, electricity marketing agents or marketing.</p>	As for recommendation 14/2021	Analyst / General Manager	31/01/2022
17/2021 302	<p>B2</p> <p><i>Code of Conduct for the Supply of Electricity to Small Use Customers 2018</i></p> <p>Clause 12.2</p> <p>The Licensee has not complied with the Customer Complaint Guidelines – October 2016 approved by the ERA. The obligation to comply with the guideline particularly in reference to the requirement for the Licensee to differentiate customer queries from complaints was not evidenced Specifically in relation to the wrongful disconnection, payment of service standard payment and distinguishing between a query and a complaint as</p>	As for recommendation 14/2021	Analyst / General Manager	31/01/2022

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	defined by AS ISO 10002-2014.			

