



Independent Pricing and Regulatory Tribunal

# Retail Supplier's Reporting Manual

under the *Water Industry Competition Act 2006* (NSW)

**Water — Reporting Manual**  
June 2016





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## Amendment Record

Issue number	Date issued	Reasons for amendment
1	1/7/2009	First release
2	9/6/2010	Additional template for nil returns Aligning Appendix D with ministerially-imposed licence conditions
3	1/6/2016	Amended notification requirements before/after changes in insurance coverage in 2.6.2. Updated signature requirements. Document issued as final, effective from 1 July 2016.

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# 1 Introduction

## 1.1 Legislative framework

Licensees must ensure compliance with all licence conditions and other applicable obligations under the *Water Industry Competition Act 2006* (NSW) (the WIC Act), the *Water Industry Competition (General) Regulation 2008* (NSW) (the WIC (General) Regulation) and any Codes of Conduct.<sup>1</sup> Licence conditions are imposed via the WIC Act, the WIC (General) Regulation and the licence, and may refer to other legislation, statutory instruments or documents.<sup>2</sup> Compliance requirements imposed on a licensee can vary depending on the nature, scale and complexity of its authorised activities.

The Independent Pricing and Regulatory Tribunal (IPART) is responsible for administering the licences and provides advice to the Minister for Lands and Water. To assist the licensees in preparing reporting against licence conditions, we have produced reporting manuals for network operators and retail suppliers licensed under the WIC Act that:

- ▼ consolidate licence obligations for each licence type (in summary form)
- ▼ detail reporting requirements, including the format and the reporting timetable, and
- ▼ detail the range of performance indicators.

The reporting manuals do not reproduce in full the licence obligations for each licence type, and it is still necessary for the licensee to refer to the relevant source document for full details of the obligation.

All compliance reporting under the reporting manuals is exception-based. This means that only licence breaches are required to be reported.

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<sup>1</sup> For example, the Water Industry Code of Conduct, the Marketing Code of Conduct and the Transfer Code of Conduct.

<sup>2</sup> For example, licence conditions require compliance with the Codes of Conduct, infrastructure operating plans, water quality plans and sewage management plans, and with aspects of the *Environmental Planning and Assessment Act 1979* (NSW), *Protection of the Environment Operations Act 1997* (NSW), *Public Health Act 2010* (NSW), Plumbing Code of Australia, Australian Drinking Water Guidelines and Australian Guidelines for Water Recycling.

### IPART's reporting obligation:

On or before 31 October in each year, IPART must provide to the Minister a report on the extent to which licensees have complied, or failed to comply, with the conditions imposed on their licences during the 12 months ending on 30 June in that year.<sup>3</sup> The Minister must lay the report before both Houses of Parliament as soon as practicable after receiving it.<sup>4</sup>

### Licensee's reporting obligation:

IPART issues all licensees with a notice in writing when we inform them that their licences have been granted. This notice directs the licensee to keep any records necessary to report on compliance with the conditions of their licence and to furnish compliance reports to us in accordance with the applicable reporting manual (ie, current Network Operator's Reporting Manual or Retail Supplier's Reporting Manual).<sup>5</sup>

It is also a standard licence condition that the licensee must prepare and submit compliance reports in accordance with the applicable reporting manual.<sup>6</sup>

In addition, a licence may be subject to other conditions that specifically require the licensee to notify, provide documentation or report to IPART in accordance with the applicable reporting manual.<sup>7</sup> It is the licensee's responsibility to be aware of the conditions that apply to its licence.

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<sup>3</sup> *Water Industry Competition Act 2006* (NSW), section 89(1).

<sup>4</sup> *Water Industry Competition Act 2006* (NSW), section 89(2).

<sup>5</sup> The direction is made under section 87 of the *Water Industry Competition Act 2006* (NSW).

<sup>6</sup> See standard licence condition B6 - Schedule B of Retail Suppliers' licences.

<sup>7</sup> These could be special licence conditions in Schedule A of the licence or other standard licence conditions in Schedule B of the licence.

## 2 Compliance reporting requirements

It is the responsibility of the licensees to rectify any licence breach as soon as possible, and report these breaches to IPART in accordance with this reporting manual.

We have classified breaches of licence conditions as either requiring:

- ▼ Immediate reporting (section 2.1), or
- ▼ Annual reporting (section 2.3).

We also have immediate reporting requirements for certain incidents:

- ▼ Immediate incident reporting (section 2.2)

This classification is based on the potential impact of a breach of the licence conditions on water quality, continuity of supply, public health, safety, other licensees and Government's policy objectives. Appendix E sets out the reporting frequency for each licence condition set out in the legislation and standard licence<sup>8</sup>, ie, it lists which licence conditions, if breached, should be reported 'immediately', and which should be reported 'annually'. Licensees should contact IPART if the licensees are not certain of the reporting frequency applicable to their licence conditions.

### 2.1 How to lodge an immediate licence breach report

As soon as the licensee becomes aware that a breach requiring immediate reporting is likely to occur, or has occurred, the licensee should notify IPART, via:

- ▼ (02) 9113 7722 (Director, Water Licensing & Compliance)
- ▼ (02) 9113 7762 (General Manager, Licensing & Compliance)

and, email:

- ▼ [compliance@ipart.nsw.gov.au](mailto:compliance@ipart.nsw.gov.au).

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<sup>8</sup> Based on current standard licence conditions template dated March 2015.

The type of information about a licence breach that should be reported is provided in Appendix D.

- ▼ The licensee should provide follow-up written confirmation to IPART's Chief Executive Officer within five business days, using the template provided in Appendix D.
- ▼ Depending on how long it may take to rectify the breach, periodic reporting may also be required.
- ▼ Once the licence breach has been rectified, the licensee should notify IPART's Director, Water Licensing & Compliance, in writing via [compliance@ipart.nsw.gov.au](mailto:compliance@ipart.nsw.gov.au), of the actual date that full compliance was reached.

## 2.2 Immediate incident reporting

Some incidents require the licensee to notify us and/or other stakeholders immediately.

It is a condition of a retail supplier's licence that any incident in the conduct of the licensee's activities that threatens, or could threaten, water quality, public health or safety must be reported immediately to:

- ▼ the Minister for Health
- ▼ the Minister for Lands and Water
- ▼ IPART, and
- ▼ any licensed network operator by means of whose infrastructure the retailer supplies water or provides sewerage services.<sup>9</sup>

The events or incidents that require immediate notification are not further defined by the WIC (General) Regulation. The licensee is responsible for determining whether an incident falls into this category. The licensee should assess, and keep up to date, the likelihood and consequence of any potential incidents that could impact water quality, public health or safety in its risk assessment for the specific scheme.

Licensees should report such incidents in accordance with the document, "Incident Notification by Network Operators and Retail Suppliers" available from our website.<sup>10</sup> **Both verbal and written notifications to IPART and other agencies are required.**

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<sup>9</sup> *Water Industry Competition (General) Regulation 2008* (NSW), Schedule 2, Part 1, cl 1(2).

<sup>10</sup> [http://www.ipart.nsw.gov.au/Home/Industries/Water/Private\\_Sector\\_Licensing\\_WICA/Licence\\_Compliance\\_Reporting](http://www.ipart.nsw.gov.au/Home/Industries/Water/Private_Sector_Licensing_WICA/Licence_Compliance_Reporting)

### 2.3 Annual compliance reporting

Licensees are required to submit annual compliance reports to us detailing the licensee's compliance with its licence obligations, during the previous financial year ending 30 June. Reporting is exception-based. This means that only licence breaches are required to be reported. This requirement commences as soon as a licensee is granted a licence. A checklist for annual compliance reporting is provided in Appendix A. Where a licensee has already provided an immediate licence breach report in accordance with Appendix D, it is also required to report the licence breach in its annual compliance report in accordance with Appendix B.

Licensees must submit annual compliance reports to IPART by no later than 31 August each year:

- ▼ If the licensee **has engaged in any activities** authorised by their licence, the licensee should use the annual compliance report template provided in Appendix B. The licensee should also include any immediate breaches already reported, any breaches identified by operational audits during the financial year and performance indicators (see section 2.5). When reporting immediate breaches already reported or breaches identified during operational audits, the information provided in Schedule A of Appendix B should include an update of any further actions the licensee has taken with respect to the breach, or
- ▼ If the licensee has **not engaged in any activities** authorised by their licence during the 12 months ending on 30 June, use the annual compliance report template: NIL return in Appendix C.

The annual compliance report must be signed by a person authorised to sign on behalf of the licensee. Where the licensee is a company, it must be signed by either two Directors or a Director and the Company Secretary.

#### Performance Indicators

Licensees are also required to submit performance indicators as part of their annual compliance reports. These are classified as National Water Initiative (NWI) indicators and WICA indicators (see Appendix F).

Where an indicator is not relevant or applicable to a particular licensee's activities, the licensee should indicate in its annual compliance report 'not applicable' in relation to that particular indicator. If an indicator is relevant but the activity has not commenced, a zero should be reported.

## 2.4 How to lodge an annual compliance report

All annual compliance reports should be lodged electronically, with a follow-up hard copy sent by mail. Licensees should provide the name and contact details (phone, email) of a primary contact. An alternate contact should also be provided for when the primary contact is unavailable.

Email addressed to: [compliance@ipart.nsw.gov.au](mailto:compliance@ipart.nsw.gov.au)  
Hard copy addressed to: **The Chief Executive Officer**  
Independent Pricing and Regulatory Tribunal of NSW  
PO Box K35  
Haymarket Post Shop NSW 1240

## 2.5 Information regarding compliance audits

In our report to the Minister, we will include details of all licence breaches and non-compliance information, performance indicators provided by licensees in their annual compliance reports to us. The licensee should include licence breaches identified in operational audits in their annual compliance reports.

For more information related to operational audits, see our relevant Audit Guidelines available on our website.<sup>11</sup>

## 2.6 Other information to IPART

Licensees are required to provide other information or notification to IPART as set out in conditions in Schedules A and B of their licence.

Unless otherwise stated, information or notification provided to IPART should be lodged electronically via [compliance@ipart.nsw.gov.au](mailto:compliance@ipart.nsw.gov.au), and addressed to Director, Water Licensing & Compliance.

In the correspondence, the licensee should provide the name, licence number, contact details (phone and email) of the primary contact and an alternate contact for those times when the primary contact is unavailable.

### 2.6.1 Insurance expert's report

As a standard condition of the licence, licensees are required to provide a report from an insurance expert certifying that in the insurance expert's opinion, the type and level of the insurance obtained by the licensee is appropriate for the size and nature of the activities authorised under the licence.

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<sup>11</sup> <http://www.ipart.nsw.gov.au>

An insurance expert's report template is provided in Appendix I. The report may be formatted to suit the style of the author, provided that all of the content requested is provided. Requirements for the delivery of this report are outlined in Schedule B of the retail supplier licence. We may request an additional insurance expert's report in relation to the insurance held by the licensee at any time in accordance with Schedule B of the retail supplier licence.

## 2.6.2 Change in insurance coverage

### Licence granted, varied or reviewed from March 2015

In March 2015 there was a change to standard licence condition B3.3 in relation to the requirement for licensees to report to IPART if there is to be a change in insurance.

The changes in insurance that licensees must report to IPART on, the deadline for reporting, and the information to be included in the report, are set out in the table below.

Change in insurance coverage includes		Period of notification	Information to provide to IPART where applicable
<ul style="list-style-type: none"> <li>▼ Insurer</li> <li>▼ Underwriting panel</li> </ul>		30 days <b>after the change</b>	<ul style="list-style-type: none"> <li>▼ Name and Australian financial services licence number of new insurer</li> <li>▼ Name and Australian financial services licence number of new underwriting panel</li> <li>▼ New product disclosure statement(s)</li> <li>▼ Reasons for change</li> <li>▼ Revised certificate of currency once finalised</li> </ul>
<ul style="list-style-type: none"> <li>▼ Type</li> <li>▼ Scope</li> <li>▼ Sum insured/ Limit on the amount/ Limit on indemnity</li> </ul>	Increase in coverage	30 days <b>after the change</b>	
	Reduction in coverage	14 days <b>prior to change initiated by the insurer</b>	
45 days <b>prior to change initiated by the licensee</b>			

### 2.6.3 Information in relation to the Register of licences

Under a standard licence condition, licensees must provide written notice within 14 days of changes to any of the following listed in IPART's Register of licences<sup>12</sup>:

- ▼ any licensed network operator or public water utility from whose water industry infrastructure the licensee supplies water to its customers
- ▼ any source from which the water handled by the water industry infrastructure referred to in item above is derived
- ▼ whether or not any of the licensee's customers are small retail customers
- ▼ any order under section 54 of the WIC Act by which the licensee is declared to be a retailer of last resort
- ▼ any licensed network operator or public water utility by means of whose sewerage infrastructure the licensee provides sewerage services to its customers.

We will review this information and update our Register of licences. Please note that in some cases, a licence variation would be required prior to proceeding with the change.

### 2.6.4 Changes to Authorised Person(s)

Licensees must provide written notice to IPART as soon as practicable but no later than 28 days before the date of cessation of the services if an Authorised Person ceases, proposes to cease, or receives notification to cease providing any of the services relating to the activities authorised by the relevant licence.

The written notice must also include details of how the services previously undertaken by the Authorised Person will continue to be undertaken.

### 2.6.5 Commencement of supply of retail services

Licensees must provide to IPART written notice within 10 business days after commencing to supply water or provide sewerage services through any of the specified Water Industry Infrastructure under the retail supplier's licence.

Licensees must ensure that their written notification includes the following details:

- ▼ the relevant licence number
- ▼ the Specified Water Industry Infrastructure through which the licensee is supplying water or sewerage services, including a reference to the relevant table in the retail supplier's licence (if relevant), and
- ▼ the date operation started.

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<sup>12</sup> *Water Industry Competition (General) Regulation 2008* (NSW), clauses 18(1) – 18(5).

## 3 | Process for revision

Appropriate reporting and auditing requirements for each condition may vary over time to reflect licensees' previous compliance performance and evolving regulatory and government policy frameworks.

Changes to the reporting manuals, including amendments to the classification of licence obligations, may be necessary to:

- ▼ include new licence obligations
- ▼ delete redundant licence obligations
- ▼ reflect new government initiatives, and
- ▼ rectify problems identified through compliance monitoring and reporting.

We will consult the relevant licensees and other interested stakeholders before making any significant revisions to the reporting requirements or indicators. We will then notify the stakeholders of the revisions to the reporting manual and the commencement date of any new reporting arrangements. In determining the commencement date for new reporting arrangements, we will allow a reasonable period for licensees to implement the new arrangements.





## **Appendices**



## A Checklist for annual reporting

By no later than 31 August each year, all licensees must lodge a hard and electronic Annual Compliance Report comprising of the following:

- Annual Compliance Report Certification
  - Licence breach schedule
  - Performance Indicators
  - Name and contact details (phone, email) of the main person we can liaise with when assessing the licensee's compliance. Please also nominate an alternate person for those times when the main contact is unavailable.
- } See templates in  
Appendices B & F

A template for annual compliance reporting where a licensee has not engaged in any activities authorised by its licence is provided as Appendix C.

## B Annual compliance report template

Annual Compliance Report *[Insert Year]*

For 20\_\_/\_\_/\_\_

Submitted by [Licensee]

ACN: [ACN]

**To:** The Chief Executive Officer  
Independent Pricing and Regulatory Tribunal of NSW  
PO Box K35  
Haymarket Post Shop NSW 1240

[Licensee] reports as follows:

1. This report documents all non-compliances with the licence conditions to which [Licensee] is subject by virtue of its Retail Supplier's licence during [most recent financial year ending 30 June].
2. This report has been prepared by [Licensee] with all due care and skill in full knowledge of conditions to which it is subject and in compliance with IPART's current Retail Supplier's Reporting Manual under the *Water Industry Competition Act 2006* (NSW).
3. Schedule A provides information on all obligations with which [Licensee] did not fully comply during [financial year].
4. Other than the information provided in Schedule A, [Licensee] has complied with all conditions to which it is subject.
5. Performance Indicators about [Licensee's] operations is provided in Schedule B.

IPART should liaise with [Name of primary contact] when assessing [Licensee]'s compliance. [Name of primary contact] may be contacted at [telephone number], [email address].

If [Name of primary contact] is unavailable at any time, IPART should liaise with [Name of alternate contact]. [Name of alternate contact] may be contacted at [telephone number], [email address].

**Signed** for and on behalf of  
{Insert Licensee's Name}  
ACN "{Insert ACN of Licensee}"

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*[signature of Director/Company Secretary]*

*[signature of Director]*

Name of Director/Company Secretary  
*[Print name]*

Name of Director  
*[Print name]*

*(Strike out any that do not apply)*

## Schedule A Non Compliances<sup>13</sup>

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# <sup>a</sup>	List obligations breached, including a brief description of each obligation <sup>b</sup>	Describe:
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		<ul style="list-style-type: none"><li data-bbox="732 427 1158 450">i Date or period of licence breach</li><li data-bbox="732 456 1203 568">ii Nature and extent of licence breach (including whether and how many customers and/or other licence holders have been affected)</li><li data-bbox="732 575 1102 598">iii Reasons for licence breach</li><li data-bbox="732 604 1038 627">iv Remedial action taken</li><li data-bbox="732 633 1126 680">v Actual/anticipated date of full compliance</li></ul>
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<sup>a</sup> See Appendix E. Licensees should indicate the relevant requirement number in column 1, for example, Retail Supplier #37.

<sup>b</sup> See Appendix E. Licensees should include, for example: WIC (General) Reg cl 13, WIC (General) Reg Schedule 2, cl 1(1) - A retail supplier must provide the Minister or IPART with such information as required in relation to licensee's activities under licence.

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<sup>13</sup> Licensees should report only breaches that were identified during the reporting period.

## Schedule B Performance indicators<sup>14</sup>

NWI Indicator # or WICA Indicator # <sup>a</sup>	Indicator description <sup>b</sup>	Report in relation to indicator <sup>c</sup>
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<sup>a</sup> See Appendix F, last column. Licensees should indicate, for example: NWI W1 or WICA#18.

<sup>b</sup> See Appendix F, middle column. Licensees should enter short description of indicator, for example: Volume of water sourced – Surface Water (ML).

<sup>c</sup> See Appendix G, Definitions. Licensees should report against the relevant indicator in accordance with the Definitions. Values should be reported as indicated, for example, in ML, number of complaints, minutes or other manner indicated in the Definitions. Additional details required under the Definitions should also be reported, for example, WICA#1 requires the nature of the other source or sources to be identified (eg, stormwater, rainwater) and, if there is more than one source, the volume of each source to be specified.

<sup>14</sup> See Appendix F for a full list of Retail Supplier's performance indicators. The Licensee must report against all applicable indicators, as determined by IPART in consultation with the Licensee.

## C Annual compliance report template: NIL return

Annual compliance report: Nil return

For 20\_ \_/ \_ \_

Submitted by [*name of company*]

ACN: [ACN]

**To:** The Chief Executive Officer  
Independent Pricing and Regulatory Tribunal of NSW  
PO Box K35  
Haymarket Post Shop NSW 1240

[Licensee] reports as follows:

1. The company currently holds the following New South Wales WIC Act Licence(s) (strike out any that do not apply):
  - retail supplier
  - network operator
2. During the reporting period, the company did not engage in any activities authorised under the WIC Act Licence/s it holds.

IPART should liaise with [Name of primary contact] when assessing [Licensee]'s compliance. [Name of primary contact] may be contacted at [telephone number], [email address].

If [Name of primary contact] is unavailable at any time, IPART should liaise with [Name of alternate contact]. [Name of alternate contact] may be contacted at [telephone number], [email address].

**Signed** for and on behalf of  
{Insert Licensee's Name}  
ACN "{Insert ACN of Licensee}"

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*[signature of Director/Company Secretary]*    *[signature of Director]*

Name of Director/Company Secretary    Name of Director  
*[Print name]*    *[Print name]*

(Strike out any that do not apply)

## D Immediate licence breach report template

Immediate licence breach report

Time of licence breach [Insert date and time]

Submitted by [Licensee]

ACN: [ACN]

**To:** The Chief Executive Officer  
Independent Pricing and Regulatory Tribunal of NSW  
PO Box K35  
Haymarket Post Shop NSW 1240

[Licensee] reports as follows:

3. The company currently holds the following New South Wales WIC Act Licence(s) (strike out any that do not apply):
  - retail supplier
  - network operator.
4. On [Insert date] and at [insert time], the following licence clause(s) was/were breached:

[Insert licence clauses(s) breached]
5. Schedule A provides information on the licence breach(es) incurred by [Licensee].
6. Once the licence breach(es) have been rectified, [Licensee] will notify IPART of the actual date of full compliance.

**Signed** for and on behalf of  
{Insert Licensee's Name}  
ACN "[Insert ACN of Licensee]"

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*[signature of Director/Company Secretary]*

*[signature of Director]*

Name of Director/Company Secretary

*[Print name]*

Name of Director

*[Print name]*

(Strike out any that do not apply)

## Schedule A Details of licence breach(es)

Details of licence breach	
Date and time that IPART <i>Director, Water Licensing &amp; Compliance</i> was notified of breach	
Extent and nature of breach/ non- compliance (brief description)	
How many customers are affected?	
How many other licensees are affected?	
Reason(s) for licence breach	
Corrective action(s) taken to rectify the breach and preventative actions taken to minimise reoccurrence of the breach	
Contact details for person managing response to event	Name: Telephone number: Email address: Address:
Anticipated date of full compliance	

## E Licence obligations – reporting frequency

This Appendix sets out the reporting frequency allocated to each licence obligation. Each licence obligation has been classified with a reporting frequency of either 'immediate' or 'annual' reporting.

Immediate reporting is limited to those licence obligations where a breach could have serious consequences, for example, the breach could threaten continuity of supply, public health or safety, or have a critical impact on the Government's policy objective(s), or have significant impacts on other licensees.

Annual reporting is required for all other obligations. However, licensees should also include any 'immediate' licence breaches in the Annual Compliance Reports to IPART.

Licensees should read and understand the obligations applicable to them in their specific licences. **As soon as a licensee is aware of any breach, it must rectify the breach as soon as possible.**

The licensee must identify which obligation has been breached, and note whether the reporting requirement is 'immediate' or 'annual' in accordance with this appendix. If 'immediate' reporting is required, refer to section 2.1. If 'annual' reporting is required, refer to section 2.3.

Examples:

- ▼ A retail supplier is considering terminate the supply of water to any of its customers within the area of operations. The licensee has not notified IPART and the Minister in writing at least 14 days in advance. As soon as it realised there is a breach, it should rectify the situation, and identify that it has breached clause 11 of Schedule 2 of the WIC (General) Regulation. The reporting frequency is classified as 'immediate' (see #6 in Appendix E). The licensee should follow the immediate licence breach reporting requirements in section 2.1. The licensee should also report the breach in its annual compliance report, following the reporting requirements in section 2.3.

- ▼ A licensee has not informed its customers of a water restriction that applies to them while the restriction is in force. As soon as it is aware of such breach, it should rectify the situation, and identify that it has breached the licence condition set out in WIC (General) Regulation Schedule 2, clause 12. The reporting frequency is classified as ‘annual’ (see #50 in Appendix E). The licensee should follow annual reporting requirements in section 2.3.

### Retail supplier – general reporting requirements

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
1	WICA section 14(3)	WICA section 14(3)	A retail supplier must pay the annual licence fee determined by the Minister.	Annual
2	WICA section 18(2)	WICA section 18(2)	A retail supplier must comply with any direction of the Minister to take specified action to reduce or eliminate a risk to public health or public safety arising from certain activities.	Immediate
3	WICA section 50(1)	WICA section 50(1)(a)	A retail supplier to small retail customers must be a member of an approved ombudsman scheme.	Annual
4	WICA section 50(1)	WICA section 50(1)(b)	A retail supplier must comply with any decision of the ombudsman relating to a dispute or complaint with a small retail customer.	Annual
5	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(1)	A retail supplier must provide the Minister or IPART with such information as required in relation to Licensee's activities under licence.	Annual
6	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(2)(a)	A retail supplier must immediately notify IPART of any incident in the conduct of its activities that threatens, or could threaten, water quality, public health or safety.	Immediate <sup>15</sup>
7	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(2)(b)	A retail supplier must immediately notify the Minister administering the <i>Public Health Act 2010</i> (NSW) and the <i>Public Health Regulation 2012</i> (NSW) of any incident in the conduct of its activities that threatens, or could threaten, water quality, public health or safety.	Immediate <sup>15</sup>
8	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(2)(c)	A retail supplier must immediately notify the Minister administering Part 2 of the <i>Water Industry Competition Act 2006</i> (NSW) of any incident in the conduct of its activities that threatens, or could threaten, water quality, public health or safety.	Immediate <sup>15</sup>
9	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(2)(d)	A retail supplier must immediately notify any licensed network operator by means of whose infrastructure the retailer supplies water or provides sewerage services of any incident in the conduct of its activities that threatens, or could threaten, water quality, public health or safety.	Immediate <sup>15</sup>
10	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(3)(a)	A retail supplier must permit the publication on IPART's website of matters recorded on the Register of licences.	Annual

<sup>15</sup> Notification of an incident that threatens, or could threaten, water quality, public health or safety must be made in accordance with the document "Incident Notification by Network Operators and Retail Suppliers" available from our website at [www.ipart.nsw.gov.au](http://www.ipart.nsw.gov.au). However, where a Licensee has failed to provide immediate notification of an incident that should have been immediately notified, a breach of this licence obligation has occurred which must be reported immediately in accordance with sections 2.1 and 2.2 of this reporting manual.

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
11	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(3)(b)	A retail supplier must permit disclosure between government agencies of information the licensee has provided to any one of them.	Annual
12	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 1(3)(c)	A retail supplier must permit: disclosure to the general public of information about reported incidents.	Annual
13	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 2(1)(a)	A retail supplier of small retail customers must implement any relevant government policy that applies to it.	Annual
14	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 2(1)(b)	A retail supplier of small retail customers must ensure the details of any relevant government policy are forwarded to each customer at least once a quarter.	Annual
15	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 2(1)(c)	A retail supplier of small retail customers must furnish a report to IPART and the Department Head each quarter relating to the following: (i) the identity of each customer to whom any payment assistance, discount or rebate has been given during that quarter pursuant to any relevant government policy and (ii) the amount of any such payment assistance, discount or rebate.	Annual
16	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 2(1)(d)	A retail supplier of small retail customers must furnish a report to other retail suppliers to which there is a transfer of water supplies or sewerage services in respect of a customer referred to in paragraph 2(1)(d)(i) of Schedule 2 to the WIC (General) Regulation, as soon as practicable after the transfer takes effect as to: (i) the fact that the customer has been receiving any payment assistance, discount or rebate pursuant to any such policy and (ii) the amount of any such payment assistance, discount or rebate.	Annual
17	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 3	Any notice a retail supplier of small retail customers is required to send its customers must include or be accompanied by information (in various languages) about available community translation services.	Annual
18	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 4(1)(a)	A retail supplier of small retail customers must establish and comply with a code of practice for customer complaints whether in relation to: (i) the supply of water or the provision of sewerage services, by the retail supplier or (ii) the operation of the water or sewerage infrastructure from which that water is supplied or those services provided.	Annual
19	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 4(1)(b)	A retail supplier of small retail customers must provide copies of its code of practice for customer complaints to the Minister, IPART and the ombudsman.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
20	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 4(1)(c)	A retail supplier of small retail customers must keep its customers informed as to (i) the provisions of the code of practice for customer complaints and (ii) the existence of and procedure for referring complaints or disputes to the ombudsman.	Annual
21	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 4(1)(d)	A retail supplier of small retail customers must furnish periodic reports to the Minister and IPART in relation to complaints it receives, in such form and containing such information as the Minister or IPART requires.	Annual
22	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 4(2)	A retail supplier of small retail customers' code of practice for customer complaints must conform to the requirements of AS/ISO 10002-2006.	Annual
23	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 5(1)(a)	A retail supplier of small retail customers must establish and comply with a code of practice for debt recovery.	Annual
24	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 5(1)(b)	A retail supplier of small retail customers must provide copies of its code of practice for debt recovery to the Minister, IPART and to the ombudsman.	Annual
25	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 5(1)(c)	A retail supplier of small retail customers must keep its customers informed as to the provisions of the code of practice for debt recovery.	Annual
26	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 5(2)	A retail supplier of small retail customers' code of practice for debt recovery must provide for the deferment, in whole or in part, of payments owed by customers suffering financial hardship.	Annual
27	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 6	A retail supplier must comply with any water industry code of conduct, marketing code of conduct and transfer code of conduct.	Annual
28	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7(1)(a)	In its activities under the licence, a retail supplier must comply with the requirements of the <i>Environmental Planning and Assessment Act 1979</i> (NSW) and any environmental planning instruments under that Act.	Annual
29	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7(1)(b)	In its activities under the licence, a retail supplier must comply with the requirements of the <i>Protection of the Environment Operations Act 1997</i> (NSW) and any regulations under that Act, in relation to the protection of the environment.	Annual
30	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(1)(a)	Before commencing activities under a retail supplier's licence, a retail supplier must prepare and forward to IPART a retail supply management plan that indicates the arrangements the licensee has made, or proposes to make, in relation to the events and circumstances that could adversely affect the licensee's ability to supply water or provide sewerage services (or both), as authorised by the licence.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
31	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(1)(b)	Before commencing activities under a retail supplier's licence, a retail supplier must prepare and forward to IPART a retail supply management plan that indicates the arrangements the licensee has made, or proposes to make, in relation to the probability of the occurrence of any such event or circumstance.	Annual
32	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(1)(c)	Before commencing activities under a retail supplier's licence, a retail supplier must prepare and forward to IPART a retail supply management plan that indicates the arrangements the licensee has made, or proposes to make, in relation to the measures to be taken by the retailer:  (i) to prevent the occurrence, or minimise the effect, or any such event or circumstance and  (ii) to arrange for alternative supplies of water or the provision of sewerage services (or both), as authorised by the licence, in response to any such event or circumstance.	Annual
33	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(1)(d)	Before commencing activities under a retail supplier's licence, a retail supplier must prepare and forward to IPART a retail supply management plan that indicates the arrangements the licensee has made, or proposes to make, in relation to ensure that it complies with  (i) its code of practice for complaints by small retail customers and its code of practice for debt recovery from such customers and  (ii) the marketing code of conduct and transfer code of conduct.	Annual
34	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(2)(a)	The retail supplier must ensure that its retail supply management plan is fully implemented and kept under regular review and, in particular, that all of its activities are carried out in accordance with that plan.	Annual
35	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(2)(b)	The retail supplier must, if the Minister so directs, amend its retail supply management plan in accordance with the Minister's direction.	Annual
36	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(3)(a)	If the Minister or IPART so demands, or if any significant change is made to its retail supply management plan, the retail supplier must provide the Minister or IPART with a report, prepared by an approved auditor in such manner and form as the Minister or IPART may direct, as to the adequacy of the plan.	Annual
37	WIC (General) Reg cl 13	WIC (General) Reg Schedule 2, cl 7A(3)(b)	Alternatively, the retail supplier must pay the Minister's or IPART's costs of conducting an investigation into the adequacy of the amended retail supply management plan.	Annual

## Retail suppliers – water infrastructure – general reporting requirements

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
38	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 7B(1)(a)	The retail supplier must have an internet website on which the following matters are available for inspection by members of the public: (i) the retail supplier's standard water supply contract for small retail customers and (ii) the existence of any water restriction order that is in force in its area of operations.	Annual
39	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 7B(1)(c)	The retail supplier's website must contain the retail supply management plan.	Annual
40	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 7B(1)(d)	The retail supplier's website must contain the retail supplier's code of practice for complaints by small retail customers.	Annual
41	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 7B(1)(e)	The retail supplier's website must contain the retail supplier's code of debt recovery from small retail customers.	Annual
42	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 7B(1)(f)	The retail supplier's website must contain details of any relevant government policy that applies to the retail supplier.	Annual
43	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 7B(1)(g)	The retail supplier's website must contain the most recent auditor's report on the retail supply management plan.	Annual
44	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 10(1)(a)	A retail supplier must not enter into water supply arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to the capacity of the relevant water source to supply water or the volume of water available to the retail supplier from that source.	Annual
45	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 10(1)(b)	A retail supplier must not enter into water supply arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to the quality of the water derived from that water source.	Annual
46	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 10(1)(c)	A retail supplier must not enter into water supply arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to the water infrastructure from which the water is to be supplied.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
47	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 10(1)(d)	A retail supplier must not enter into water supply arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to the conditions on which the retail supplier has access to the infrastructure services provided by that infrastructure, whether pursuant to an access agreement or access determination or otherwise.	Annual
48	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 10(2)	A retail supplier must not enter into a water supply arrangement with a customer unless the premises to which the water is to be supplied are connected to, or readily connectible to, a water main to which the licensee has access.	Annual
49	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 11	A retail supplier must not terminate the supply of water to any of its customers within the whole or any part of its area of operations unless it has given IPART and the Minister at least 14 days' written notice.	Immediate
50	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 12	A retail supplier must ensure its customers are kept informed of any water restriction that applies to them in any bill or other correspondence it sends to them while the restriction is in force.	Annual
51	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(1)	A retail supplier must not supply water to a small retail customer otherwise than under a water supply contract.	Annual
52	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(2)	A retail supplier of small retail customers' water supply contracts must address certain matters set out in the Table in clause 14 of Schedule 2 of the WIC (General) Regulation.	Annual
53	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(3)(a)	The contract to supply water of a retail supplier of small retail customers must provide that the licensee must not disconnect the customer's premises from the licensee's water main as a consequence of a customer's non-payment of a debt.	Annual
54	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(3)(b)	The contract to supply water of a retail supplier of small retail customers must provide that the licensee must not reduce the flow of drinking water from a retail supplier's main below that necessary for basic sustenance and hygiene as a consequence of a customer's non-payment of a debt.	Annual
55	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(4)	A retail supplier that proposes to supply water to a small retail customer on terms that are different from those set out in the licensee's standard water supply contract must notify the customer of the various differences before the customer enters into the contract.	Annual
56	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(a)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the customer's name, and the address of the premises to be supplied.	Annual
57	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(b)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the date on which supply is to commence.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
58	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(c)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the fees and charges that will be payable in respect of the supply.	Annual
59	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(d)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the circumstances in which the customer's premises may be disconnected from the water main.	Annual
60	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(e)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the retail supplier's procedures for handling customer complaints.	Annual
61	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(f)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the existence of any government-funded rebates for which the customer may be eligible.	Annual
62	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 14(5)(g)	Before entering into a contract to supply water to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies where the customer can obtain a copy of the contract.	Annual

### Retail suppliers – supply of non-potable water – reporting requirements

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
63	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 9(1)(a)	A retail supplier of non-potable water must inform any customer to which such water is supplied as to the authorised purposes in relation to that water.	Annual
64	WIC (General) Reg cl 13(1)(a)	WIC (General) Reg Schedule 2, cl 9(1)(b) and cl 9(2)	A retail supplier of non-potable water must not supply such water to any customer for use for an unauthorised purpose unless the water is to be processed by the customer to become water for which that purpose is an authorised purpose.	Annual

**Retail suppliers – provision of sewerage services – reporting requirements**

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
65	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 7B(1)(b)	The retail supplier must have an internet website on which its sewerage service contract for small retail customers is available for inspection by members of the public.	Annual
66	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 7B(1)(c)	The retail supplier's website must contain the retail supply management plan.	Annual
67	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 7B(1)(d)	The retail supplier's website must contain the retail supplier's code of practice for complaints by small retail customers.	Annual
68	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 7B(1)(e)	The retail supplier's website must contain the retail supplier's code of debt recovery from small retail customers.	Annual
69	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 7B(1)(f)	The retail supplier's website must contain details of any relevant government policy that applies to the retail supplier.	Annual
70	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 7B(1)(g)	The retail supplier's website must contain the most recent auditor's report on the retail supply management plan.	Annual
71	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 16(1)(a)	A retail supplier must not enter into sewerage service arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to the sewerage infrastructure from which those services are to be provided.	Annual
72	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 16(1)(b)	A retail supplier must not enter into sewerage service arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to any limitations on the capacity of that infrastructure to dispose of waste.	Annual
73	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 16(1)(c)	A retail supplier must not enter into sewerage service arrangements under which it assumes obligations that it is unable to meet, or advertise that it is willing to enter into such arrangements, having regard to the conditions on which the retail supplier has access to the infrastructure services provided by that infrastructure, whether pursuant to an access arrangement or access determination or otherwise.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
74	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 16(2)	A retail supplier must not enter into a sewerage service arrangement with a customer unless the premises to which the water is to be supplied are connected to, or readily connectible to, a sewer main to which the licensee has access.	Annual
75	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 17	A retail supplier must not terminate the provision of sewerage services to any of its customers within the whole or any part of its area of operations unless it has given IPART and the Minister at least 14 days' written notice.	Immediate
76	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(1)	A retail supplier must not provide a sewerage service to a small retail customer otherwise than under a sewerage service contract.	Annual
77	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(2)	A retail supplier's sewerage service contracts for small retail customers must address certain matters set out in the Table in clause 19 of Schedule 2 of the WIC (General) Regulation.	Annual
78	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(3)(a)	A retail supplier's sewerage contracts for small retail customers must provide that the licensee must not disconnect the customer's premises from the retail supplier's sewer main as a consequence of the customer's non-payment of a debt.	Annual
79	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(3)(b)	A retail supplier's sewerage contracts for small retail customers must provide that the licensee must not reduce the flow of sewage into a retail supplier's sewer main below that necessary for basic hygiene as a consequence of the customer's non-payment of a debt.	Annual
80	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(a)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the customer's name, and the address of the premises to be supplied.	Annual
81	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(b)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the date on which supply is to commence.	Annual
82	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(c)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the fees and charges that will be payable in respect of the supply.	Annual
83	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(d)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the circumstances in which the customer's premises may be disconnected from the sewer main.	Annual
84	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(e)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the retail supplier's procedures for handling customer complaints.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
85	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(f)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies the existence of any government-funded rebates for which the customer may be eligible.	Annual
86	WIC (General) Reg cl 13(1)(b)	WIC (General) Reg Schedule 2, cl 19(4)(g)	Before entering into a contract to supply a sewerage service to a small retail customer, a retail supplier must provide the customer with a disclosure notice that specifies where the customer can obtain a copy of the contract.	Annual

### Retail suppliers – Monopoly suppliers – reporting requirements

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
87	WICA section 52(3)	WICA section 52(3)	A monopoly supplier must comply with any IPART determination in relation to the pricing for any service in respect of which a declaration is in force under section 51.	Annual
88	WICA section 53(1)	WICA section 53	A monopoly supplier must, in accordance with the declaration for that service, supply that service to any eligible premises to which the owner of the premises requests the supplier to provide that service.	Annual

### Retail suppliers – Retailers of Last Resort – reporting requirements

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
89	WICA section 55(4)(a)	WICA section 55(1)	As soon as practicable after becoming a RoLR, a RoLR must, in accordance with the regulations, submit a contingency plan for the Minister's approval.	Annual
90	WICA section 55(4)(b)	WICA section 55(4)(b)	A RoLR must maintain the arrangements set out in its contingency plan.	Annual
91	WICA section 57(2)	WICA section 57(2)	In the case of a declaration of a supply failure, a RoLR must comply with an order of the Minister.	Annual

**Retail suppliers - reporting requirements under Schedule A of the licence**

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
92	Licence, Schedule A - Ministerially-imposed licence conditions	Schedule A, cl A1.1, Table 1.1, A2.1, Table 2.1, A3.1 Table 3.1	The retail supplier and the authorised third parties have supplied water or provided sewerage services by means of the water industry infrastructure.	Immediate
93	Licence, Schedule A - Ministerially-imposed licence conditions	Schedule A, cl A1.1, Table 1.2, A2.1, Table 2.2, A3.1 Table 3.2	The retail supplier and the authorised third parties have supplied water or provided sewerage services by means of the water industry infrastructure specified in the licence.	Immediate
94	Licence, Schedule A - Ministerially-imposed licence conditions	Schedule A, cl A1.1, Table 1.3, A2.1, Table 2.3, A3.1 Table 3.3	The retail supplier and the authorised third parties have supplied water or provided sewerage services by means of the water industry infrastructure for the authorised purposes.	Immediate
95	Licence, Schedule A - Ministerially-imposed licence conditions	Schedule A, cl A1.1, Table 1.4, A2.1, Table 2.4, A3.1 Table 3.4	The retail supplier and the authorised third parties have supplied water or provided sewerage services within the area of operations specified in the licence.	Immediate

**Retail suppliers - reporting requirements under Schedule B of licence**

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
96	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B1	The licensee must have the technical capacity to carry out the activities authorised by the licence. If the licensee ceases to have this capacity, it must report this to IPART immediately.	Immediate
97	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B1	The licensee must have the financial capacity to carry out the activities authorised by the licence. If the licensee ceases to have this capacity, it must report this to IPART immediately.	Immediate

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
98	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B1	The licensee must have the organisational capacity to carry out the activities authorised by the licence. If the licensee ceases to have this capacity, it must report this to IPART immediately.	Immediate
99	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B2.1(a), B2.2(a)(i), B2.3(a), B2.4(a)(i), B2.5(a), B2.6(a)(i)	Before commencing to supply water and/or provide sewerage services through the <i>Specified Water Industry Infrastructure</i> under the licence, the retail supplier must obtain insurance that is appropriate for the size and nature of the activities authorised under the licence.	Immediate
100	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B2.1(b), B2.2(a)(ii), B2.3(b), B2.4(a)(ii), B2.5(b), B2.6(a)(ii)	Before commencing to supply water and/or provide sewerage services through the <i>Specified Water Industry Infrastructure</i> under the licence, the retail supplier must provide a copy of each certificate of currency of the insurance obtained to IPART.	Immediate
101	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B2.1(c), B2.2(b), B2.3(c), B2.4(b), B2.5(c), B2.6(b)	Before commencing to supply water and/or provide sewerage services through the <i>Specified Water Industry Infrastructure</i> under the licence/Within 6 months of the date on which the licence is granted or by a later date specified by IPART (if any), the licensee must demonstrate that the insurance obtained is appropriate for the size and nature of the activities authorised under the Licence by providing a report to IPART from an insurance expert that:  (i) certifies that in the insurance expert's opinion, the type and level of the insurance obtained by the licensee is appropriate for the size and nature of the activities authorised by the licence  (ii) is in the form prescribed by the reporting manual (see Appendix I).	Immediate
102	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B3.1	The retail supplier must maintain insurance that is appropriate for the size and nature of the activities authorised under the licence.	Annual
103	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B3.2	The retail supplier must provide a copy of each certificate of currency of the insurance maintained by the licensee to IPART in accordance with the reporting manual.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
104	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B3.3	If there is to be a change in: a) the insurer or underwriting panel in respect of an insurance policy held by the licensee; or b) the type, scope or limit on the amount of insurance held by the licensee, in relation to the activities authorised under the licence, the licensee must provide a report to IPART in accordance with the reporting manual.	Annual
105	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B3.4	When requested in writing by IPART, the retail supplier must provide a report to IPART, in the manner, form and time specified by IPART, from an insurance expert, certifying that in the insurance expert's opinion, the type and level of insurance held by the licensee is appropriate for the size and nature of the activities authorised under the licence.	Annual
106	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B4	The retail supplier must carry out activities authorised by the licence in compliance with any requirements of NSW Health that IPART has agreed to and are notified from time to time to the licensee by IPART in writing.	Immediate
107	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B5	The retail supplier must comply with any Audit Guidelines issued by IPART.	Annual
108	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B6	The retail supplier must prepare and submit reports in accordance with the reporting manual.	Annual
109	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(a)	Within 14 days of any change to any licensed network operator or public water utility from whose the <i>Specified Water Industry Infrastructure</i> the licensee supplies water to its customers, the retail supplier must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate
110	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(b)	Within 14 days of any change to any source from which the water handled by the <i>Specified Water Industry Infrastructure</i> is derived, the retail supplier must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate
111	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(c)	Within 14 days of any change to whether or not any of the retail supplier's (water supply) customers are small retail customers, the licensee must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate
112	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(d)	Within 14 days of any change to any order under section 54 of the Act by which the retail supplier is declared to be a retailer of last resort (for water supply services), the licensee must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
113	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(e)	Within 14 days of any change to any licensed network operator or public water utility by means of whose sewerage infrastructure the retail supplier provides sewerage services to its customers, the licensee must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate
114	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(f)	Within 14 days of any change to whether or not any of the licensee's (sewerage services) customers are small retail customers, the retail supplier must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate
115	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B7.1(g)	Within 14 days of any change to any order under section 54 of the Act by which the retail supplier is declared to be a retailer of last resort (for sewerage services), the licensee must notify IPART, and provide details, of the change in accordance with the reporting manual.	Immediate
116	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B8.1	Whenever the retail supplier makes a significant amendment to a Plan, the licensee must provide a copy of the amended Plan to IPART at the same time that it provides a copy to the approved auditor engaged to prepare a report as to the adequacy of the amended Plan, as required under the WIC (General) Regulation.	Immediate
117	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.1	Delineating responsibility – interconnections If a code of conduct has not been established under cl. 25 of the WIC (General) Regulation, the retail supplier must establish its own code of conduct by the date specified by IPART.	Annual
118	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(a)	The retail supplier's Code of Conduct must set out the respective responsibilities of the Licensee.	Annual
119	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(b),(c)	The retail supplier's <i>Code of Conduct</i> must set out the respective responsibilities of each licensed network operator, licensed retail supplier and/or public water utility that: <ul style="list-style-type: none"> <li>- supplies water, provides sewerage services by means of; or</li> <li>- constructs, maintains or operates</li> </ul> any water industry infrastructure that is connected to <i>Specified Water Industry Infrastructure</i> ; by, at a minimum, providing for who is responsible for repairing, replacing or maintaining any pipes, pumps, valves, storages or other infrastructure connecting the <i>Specified Water Industry Infrastructure</i> to the other water industry infrastructure.	Annual
120	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(d)	The retail supplier's <i>Code of Conduct</i> must set out of the respective responsibilities of who is responsible for water quality.	Annual

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
121	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(e)	The retail supplier's <i>Code of Conduct</i> must set out who is liable in the event of unavailability of water.	Annual
122	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(f)	The retail supplier's <i>Code of Conduct</i> must set out who is liable in the event of failure of the <i>Specified Water Industry Infrastructure</i> .	Annual
123	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(g)	The retail supplier's <i>Code of Conduct</i> must set out the fees and charges payable in respect of the use of the <i>Specified Water Industry Infrastructure</i> .	Annual
124	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.2(h)	The retail supplier's <i>Code of Conduct</i> must set out who is responsible for handling customer complaints.	Annual
125	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.3 or B9.4	<ul style="list-style-type: none"> <li>- Greenfield schemes: Before commencing commercial operation through the <i>Specified Water Industry Infrastructure</i> under the licence or by a later date specified by IPART (if any);</li> <li>- Brownfield schemes: Within 6 months of the date on which the licence is granted or by a later date specified by IPART (if any);</li> </ul> <p>the retail supplier's <i>Code of Conduct</i> must be agreed in writing between the Licensee and other licensed network operators, licensed retail suppliers and/or public water utilities.</p>	Annual
126	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B9.5	The retail supplier must not contravene the Licensee's <i>Code of Conduct</i> to the extent that it makes the Licensee responsible or liable for the matters set out in it.	Annual
127	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B10.1	If an Authorised Person ceases, proposes to cease, or receives notification to cease providing any of the services relating to the activities authorised by the licence, the retail supplier must provide IPART with written notice as soon as practicable but no later than 28 days before the date of cessation of the services. The written notice must include details of how the services previously undertaken by the Authorised Person will continue to be undertaken.	Immediate
128	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B11.1 and/or B11.2	The retail supplier must only source and supply water, or provide sewerage services, by means of water industry infrastructure maintained and operated by a licenced network operator or public water utility.	Immediate

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
129	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B12.2(a)	The retail supplier must notify IPART in accordance with the reporting manual that it has commenced to supply water through the relevant <i>Specified Water Industry Infrastructure</i> under the licence.	Immediate
130	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B12.2(b)	The retail supplier must provide such notification within 10 days after such commencement.	Immediate
131	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B12.3(a)	The retail supplier must notify IPART in accordance with the reporting manual that it has commenced to provide sewerage services through the relevant <i>Specified Water Industry Infrastructure</i> under the licence.	Immediate
132	Licence, Schedule B - Ministerially-imposed licence conditions	Schedule B, cl B12.3(b)	The retail supplier must provide such notification within 10 days after such commencement.	Immediate

#### Retail suppliers – specified Licensees only<sup>16</sup>

#	Licence Condition	Obligations under condition	Brief description of obligation	Reporting
#	[Licensee's name], Licence number #	Schedule A, cl A#	[Brief description]	[Immediate/ Annual]
#	[Licensee's name], Licence number #	Schedule A, cl A#	[Brief description]	[Immediate/ Annual]

<sup>16</sup> Some Licensees will be subject to non-standard Ministerially-imposed licence conditions specific to their licensed activities. At this point in time, IPART anticipates that non-standard Ministerially-imposed licence conditions will be the exception, rather than the rule. Please contact IPART if this applies to your licence.

## F Retail Supplier's performance indicators

### Important note:

The majority of the following retail supplier performance indicators and their corresponding definitions were developed by the National Water Commission (NWC) as part of the "National Benchmarking Framework for Rural and Urban Water Utilities". These indicators are notated as "NWI Indicators" below. Where necessary, we have made minor modifications to some of the NWI Indicators and their corresponding definitions to adapt them to the regulatory regime provided under the WIC Act. In particular, given the scale of activities licensed under the WIC Act (many of which are anticipated to be small scale), NWI Indicators that use a measure of 'per 1,000 properties' are to be reported in actual numbers *or* per 1,000 properties (where possible). NWI Indicators in relation to service interruptions have been modified to apply to 'connection points' instead of 'customers'.

We have also developed a small number of indicators and corresponding definitions required in relation to the WIC Act and WIC (General) Regulation. These are notated as "WICA Indicators" below. We have endeavoured to define the WICA Indicators in a manner consistent with definitions used for the NWI Indicators, and to build on existing NWI Indicators where possible.

Indicator Set	Indicator	NWI Indicator #. or WICA Indicator #
Sources of water	Volume of water sourced from public water utility (ML)	WICA#17
	Volume of water sourced from (ML):	
	– Surface Water (ML)	NWI W1
	– Groundwater (ML)	NWI W2
	– Desalination (ML)	NWI W3
	– Recycling (ML)	NWI W4
	– Other (ML)(please specify)	WICA#1
	Total volume of water sourced (ML)	NWI W7
Sewage collected	Volume of sewage collected – residential sewage, non-residential sewage and non-trade waste (ML)	NWI W16
	Volume of sewage collected – trade waste (ML)	NWI W17
	Total volume of sewage collected (ML)	NWI W18
Uses of water supplied	Volume of water supplied - residential (ML)	NWI W8
	Volume of water supplied - commercial/municipal/industrial (ML)	NWI W9
	Volume of water supplied - other (ML)	NWI W10
	Volume of water supplied - environmental flows (ML)	NWI W13
	Volume of bulk water exports (ML)	NWI W14
	Total volume of water supplied (ML)	WICA#18
Uses of recycled water	Volume of recycled water supplied - residential (ML)	NWI W20
	Volume of recycled water supplied - commercial, municipal, industrial (ML)	NWI W21
	Volume of recycled water supplied - agriculture (ML)	NWI W22
	Volume of recycled water supplied - environmental flows (ML)	NWI W23
	Volume of recycled water supplied - on-site	NWI W24
	Volume of recycled water supplied - other (ML)	NWI W25

Indicator Set	Indicator	NWI Indicator #. or WICA Indicator #
	Volume of bulk recycled water exports (ML)	NWI W15
	Total of recycled water supplied (ML)	NWI W26
Customers - water	Number of connected residential properties – water supply	NWI C2
	Number of connected non residential properties – water supply	NWI C3
	Total number of connected properties – water supply	NWI C4
Customers - sewerage	Number of connected residential properties - sewerage	NWI C6
	Number of connected non residential properties - sewerage	NWI C7
	Number of connected non-residential properties - trade waste	WICA#19
	Total number of connected properties - sewerage	NWI C8
Small customers	Number of small retail customers in relation to water supply	WICA#20
	Number of small retail customers in relation to the provision of sewerage services	WICA#21
Complaints	Number of water quality complaints	NWI C9
	Number of water service complaints	NWI C10
	Number of sewerage service complaints	NWI C11
	Number of billing and account complaints – water and sewerage	NWI C12
	Number of other complaints – water and sewerage	WICA#22
	Total water and sewerage complaints	NWI C13
Restrictions	Number of customers to which restrictions applied for non-payment of water bills	NWI C18
	Number of customers to which disconnections applied	WICA#23
	Number of customers to which legal actions applied for non-payment of water bills	NWI C19

Indicator Set	Indicator	NWI Indicator #. or WICA Indicator #
Service Interruptions	Average duration of unplanned interruption – water (minutes)	NWI C15
	Average duration of planned interruption – water (minutes)	WICA#6
	Average duration of unplanned interruption – potable water (minutes)	WICA#7
	Average duration of planned interruption – potable water (minutes)	WICA#8
	Average duration of unplanned interruption – non-potable water (minutes)	WICA#9
	Average duration of planned interruption – non-potable water (minutes)	WICA#10
	Average sewerage interruptions (minutes)	NWI C16
	Average frequency of unplanned interruption – water	NWI C17
	Average frequency of planned interruption –water	WICA#11
	Average frequency of unplanned interruption – potable water	WICA#12
	Average frequency of planned interruption – potable water	WICA#13
	Average frequency of unplanned interruption – non-potable water	WICA#14
	Average frequency of planned interruption – non-potable water	WICA#15
	Average frequency of unplanned interruption – sewerage	WICA#16

Please refer to the applicable “Definitions” in Appendix G.

## G Definitions of performance indicators

### G.1 Sources of water

Reported indicators	Indicator number
Volume of water sourced from surface water (ML)	W1
Volume of water sourced from groundwater (ML)	W2
Volume of water sourced from desalination (ML)	W3
Volume of water sourced from recycling (ML)	W4
Volume of water received from bulk supplier (ML)	W5
Volume of bulk recycled water purchased (ML)	W6
Volume of water sourced from other sources (ML)	WICA#1
Total sourced water (ML)	W7

#### Raw data collected

7. Volume of water sourced from surface water (ML). (W1)
8. Volume of water sourced from groundwater (ML). (W2)
9. Volume of water sourced from desalination (ML). (W3)
10. Volume of water sourced from recycling (ML). (W4)
11. Volume of water received from bulk supplier (ML). (W5)
12. Volume of bulk water purchased (ML). (W6)
13. Volume of water sourced from other sources (ML). (WICA#1)
14. Total sourced water (ML). (W7)

#### Purpose

To report the volumes of water abstracted from various water sources to supply the utility's customers in the reporting period. It may also provide an indication of the diversity of supply sources, potential environmental issues, water treatment issues and a partial explanation for the relative operating and total cost of water of the utility compared to other utilities (eg, a utility supplied mostly by desalination may have a higher cost structure than one relying mostly on gravity fed water from dams).

## Definitions

### W1 - Volume of water sourced from surface water

The total volume of water (potable and non-potable) abstracted by the utility from surface water sources such as dams, rivers or irrigation channels during the reporting period.

### W2 - Volume of water sourced from groundwater

The total volume of water (potable and non-potable) abstracted from groundwater during the reporting period.

To avoid double counting this excludes volumes sourced from groundwater supplies that have been artificially recharged using sources of water that have been counted elsewhere ie:

- ▼ rivers
- ▼ desalination plants, and
- ▼ sewerage treatment plants (recycling).

Other forms of artificial recharge (ie, storm water) not counted elsewhere are to be included.

### W3 - Volume of water sourced from desalination

The total volume of water (potable and non-potable) sourced from desalination plants during the reporting period.

### W4 - Volume of water sourced from recycling

The total volume of water supplied by the water utility sourced from recycled water during the reporting period including recycled water from direct or indirect reuse. This should be the sum of residential, industrial/commercial, municipal irrigation and on-site substitution (where it replaces potable water). Water supplied for agribusiness by the utility should also be included where potable water (or raw supply to the potable system) would normally be used.

**Note:** This differs from Indicator W26; Total recycled water supplied (ML) where any agricultural and on-site uses are counted.

### W5 - Volume of water received from bulk supplier

The total volume of water (potable and non-potable) purchased from another utility or entity outside this utility's geographic area of responsibility. The volume of water will include water which is subsequently exported (sold) to another utility.

### W6 - Volume of bulk recycled water purchased

The total volume of recycled water purchased from another utility or another entity outside this utility's geographic area of responsibility.

### WICA#1 - Volume of water sourced from other sources

The total volume of water sourced from any other source not listed above. The nature of the source or sources should be identified (eg, stormwater, rainwater) and, if there is more than one source, the volume of each source should also be specified.

### W7 - Total sourced water

This is the sum of the volumes reported above as supplied from dams, river extraction, groundwater, desalination, recycling, bulk supplier, stormwater and rainwater.

### Units

Megalitres (ML).

## G.2 Uses of water supplied

Reported indicators	Indicator number
Volume of water supplied - Residential (ML)	W8
Volume of water supplied - Commercial, municipal and industrial (ML)	W9
Volume of water supplied - Other (ML)	W10
Volume of water supplied - Environmental flows (ML)	W13
Volume of bulk water exports (ML)	W14
Volume of bulk recycled water exports (ML)	W15
Total volume of water supplied (ML)	WICA#18

### Raw data collected

15. Volume of water supplied to residential properties (ML). (W8)
16. Volume of water supplied to commercial, municipal and industrial properties (ML). (W9)
17. Volume of other components of water supplied (ML). (W10)
18. Volume of water supplied - environmental flows (ML). (W13)
19. Volume of bulk water exports (ML). (W14)
20. Volume of bulk recycled water exports (ML). (W15)

### Purpose

To report the total urban water supplied (potable and non-potable) by the water utility from all water sources, including any recycled water.

It may also be used to report the distribution of total water supplied.

### Definitions

#### W8 - Volume of water supplied - residential

Total metered and estimated non-metered, potable and non-potable water supplied to residential properties for the reporting period. (If some volumes are estimated, this should be noted on the data).

#### W9 - Volume of water supplied – commercial, municipal and industrial

Total metered and estimated non-metered, potable and non-potable water supplied to commercial, municipal and industrial properties for the reporting period. (If some volumes are estimated, this should be noted on the data).

#### W10 - Volume of water supplied - other

Total metered and estimated non-metered water (potable and non-potable) supplied to other users. This would include, but may not be limited to, an estimate of water used for fire fighting, mains flushing, losses due to customer meter errors, leakage or contractors and any other consumption due to operations.

### W13 - Volume of water supplied – environmental flows

Wholesale flow allocations to the environment, generally upstream of the master meter, for the reporting period as specified in the environmental flow management regime generally required by the relevant natural resource management agency. Accidental or unintentional releases should not be included unless they can be incorporated into the environmental flow management regime.

### W14 - Volume of bulk water exports

The total volume of water (potable and non-potable) sold to another utility or another entity outside this utility's geographic area of responsibility. The volume of water will include water originated from another source (see example).

### W15 - Volume of bulk recycled water exports

The total volume of recycled water sold to another utility or another entity outside this utility's geographic area of responsibility.

### WICA#18 – Total volume of water supplied

The total volume of water supplied as determined above.

### Units

Megalitres (ML).

### Example

Utility A Bulk supplier sells 100 ML water sourced from surface water to Utility B Retailer who then treats the total volume. Utility B Retailer then sells 60 ML to Utility C Retailer who in turn sells a proportion of this to Utility D Retailer. In this example, Utility A Bulk supplier would include 100 ML water as bulk water exports and would report this water as sourced from surface water. Utility B Retailer would include 100 ML water as bulk of water purchased from a bulk supplier but would not report the water as sourced from surface water.

## G.3 Sewage collected

Reported indicators	Indicator number
Volume of sewage collected - Residential sewage, non-residential sewage and non-trade waste (ML)	W16
Volume of sewage collected -Trade waste (ML)	W17
Total sewage collected (ML)	W18

### Raw data collected

21. Residential sewage, non-residential sewage and non-trade waste collected (ML). (W16)
22. Trade waste collected (ML). (W17)
23. Total sewage collected (ML). (W18)

### Purpose

To provide an overview of the volume of sewage collected by the utility.

### Definitions

#### W16 - Volume of sewage collected - Residential sewage, non-residential sewage and non-trade waste

Sewage received from residential, non-residential and non-trade waste sources. This also includes any volumes collected in the sewage system due to stormwater, illegal connection inflow and infiltration to the sewerage system. Residential (domestic) sewage is the water borne waste derived from human origin comprising of faecal matter, urine and liquid household waste from water closet pans, sinks, baths, basins and similar fixtures designed for use in private dwellings.

#### W17 - Volume of sewage collected - Trade waste

Total volume of estimated and metered trade waste collected and treated by the water utility, or on behalf of the water utility. This includes any volumes of stormwater collected in the trade waste system. Trade waste (industrial waste) is the liquid waste generated from any industry, business, trade, or manufacturing process. It does not include domestic sewage.

#### W18 – Total sewage collected

Total volume of sewage collected by the utility, measured as treatment plant inflow, plus sewage treated by another business on behalf of the water utility eg, wholesaler. Where only treatment plant outflow is measured, record this value and comment appropriately. This measure should equal the sum of volumes reported for residential, non-residential and non-trade sewage collected and trade sewage collected.

**Note:** Residential and non-residential sewage and trade waste are defined as per either *The National Water Management Strategy Guidelines for Sewerage Systems 1994* or state-based legislation.

## Units

Megalitres (ML).

## G.4 Uses of recycled water

Reported indicators	Indicator number
Volume of recycled water supplied - Residential (ML)	W20
Volume of recycled water supplied - Commercial, municipal and industrial (ML)	W21
Volume of recycled water supplied - Agricultural (ML)	W22
Volume of recycled water supplied - Environmental (ML)	W23
Volume of recycled water supplied - On-site (ML)	W24
Volume of recycled water supplied - Other (ML)	W25
Total recycled water supplied (ML)	W26

### Raw data collected

- 24. Residential recycled water supplied (ML). (W20)
- 25. Commercial, municipal and industrial recycled water supplied (). (W21)
- 26. Agricultural recycled water supplied (ML). (W22)
- 27. Environmental recycled water supplied (ML). (W23)
- 28. On-site recycled water supplied (ML). (W24)
- 29. Other recycled water supplied (ML). (W25)

### Purpose

To report the volume of recycled water supplied. It may also be used to report the distribution of recycled water in the business.

### Definitions

#### W20 - Volume of recycled water supplied - residential

Total metered and estimated non-metered consumption of recycled water by residential properties for the reporting period. (If some volumes are estimated, this should be noted on the data). This would generally occur via a third pipe system.

#### W21 - Volume of recycled water supplied - commercial, municipal and industrial

Total metered and estimated non-metered consumption of recycled water by commercial, municipal and industrial properties for the reporting period. (If some volumes are estimated, this should be noted on the data) ie, recycled water supplied to golf courses, heavy industry and commercial areas.

#### W22 - Volume of recycled water supplied - agricultural

Total metered and estimated non-metered consumption of recycled water supplied for agricultural purposes. (If some volumes are estimated, this should be noted on the data ie, irrigation of crops, recycled water supplied to forestry, agricultural products including livestock.)

#### W23 - Volume of recycled water supplied - environmental

Recycled water discharged to a waterway for environmental purposes as prescribed by the environmental regulator. There must be a quality characteristic that is a net benefit to the environment as determined by the relevant regulator. (If some volumes are estimated, this should be noted on the data) ie, water discharged to rivers, the sea, natural wet lands. This may exclude non harvestable forests and bushland if the regulator determines there is 'disposal' rather than 'beneficial use'.

#### W24 - Volume of recycled water supplied – on site

Recycled water used on-site external to the treatment process. (If some volumes are estimated, this should be noted on the data). Total volumes of recycled water supplied within the period ie, volumes must capture total water supplied in a continuous process irrespective of whether it is re-used within a cycle (eg, on-site irrigation of gardens or wash down - 50 ML).

#### W25 - Volume of recycled water supplied - other

Total estimated non-metered recycled water supplied to other users. This would include, but may not be limited to, an estimate of water used for fire fighting, mains flushing, losses due to customer meter errors, leakage or contractors and any other consumption due to operations.

#### W26 - Total recycled water supplied

The sum of all treated effluent that is used by either the water utility itself, a business supplied by the water utility, or supplied through a third pipe system for urban reuse. Evaporation is excluded. The parameters are the total sewage collected and the volume of effluent recycled (see examples 1, 2, 3 and 4).

Recycled water can be provided for onsite re-use, agriculture, irrigation, industry, potable or other use external to the treatment process.

**Note:**

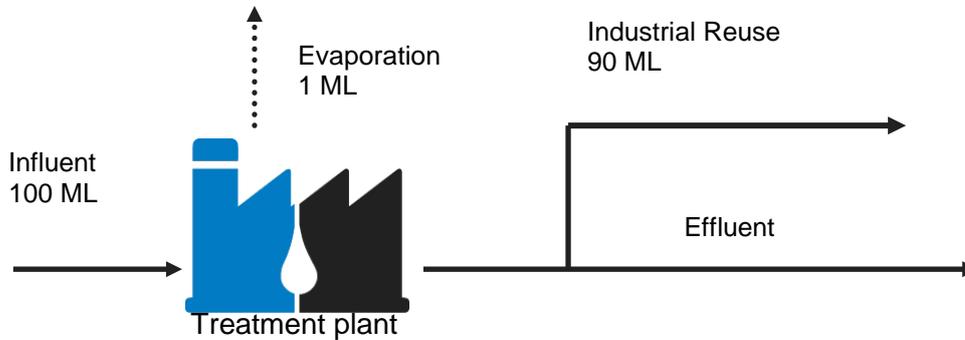
1. Recycled water supplied to clubs, sporting fields, or other businesses is included.
2. Environmental flows are included if they are approved by the EPA and substitute raw water abstraction or are recognised as an environmental flow by regulator/authority.
3. Sewer mining extracted from the utility's mains is an accepted form of recycling.

**Units**

Megalitres (ML).

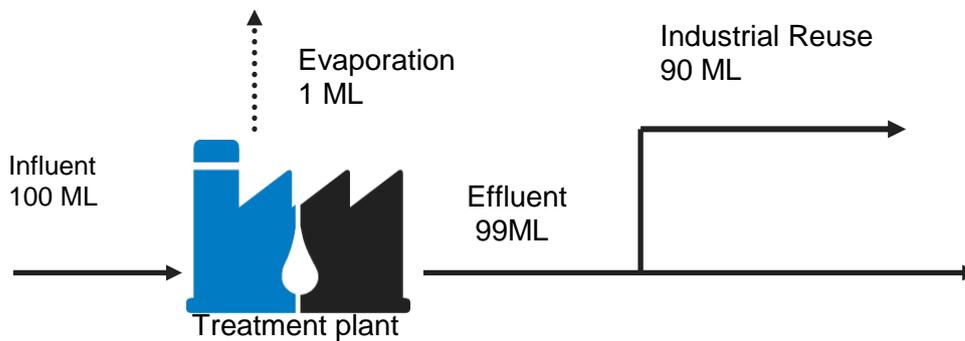
Examples

30. Recycled water is supplied to industry for use. No onsite reuse occurs.



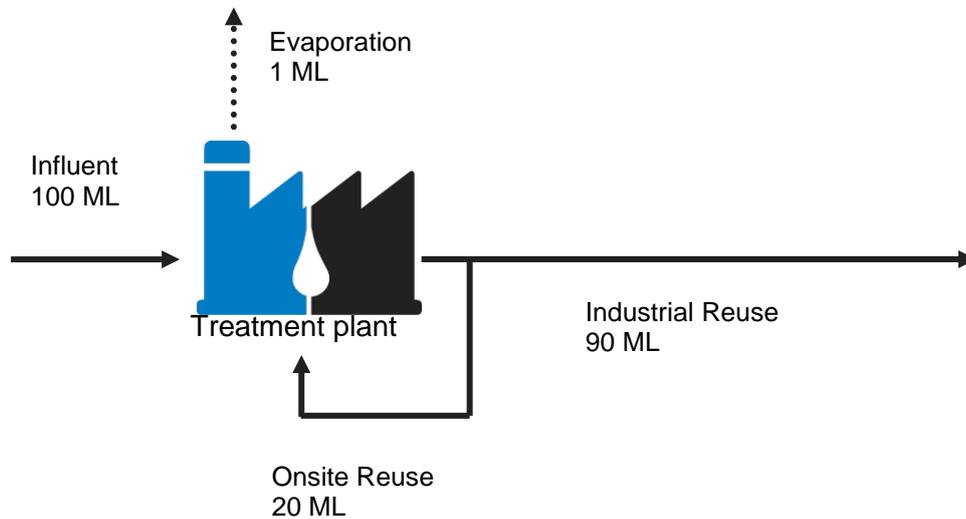
$$\text{Per cent of Water Recycled} = \frac{\text{Vol. of Water Recycled}}{\text{Vol. of Influent} - \text{Net Evaporation}} = \frac{90}{100 - 1} = 90.9\%$$

31. Recycled water is supplied to industry for use. No onsite reuse occurs.



$$\text{Per cent of Water Recycled} = \frac{\text{Vol. of Water Recycled}}{\text{Vol. of Effluent}} = \frac{90}{99} = 90.9\%$$

32. Recycled water is used on site and supplied to industry for use.

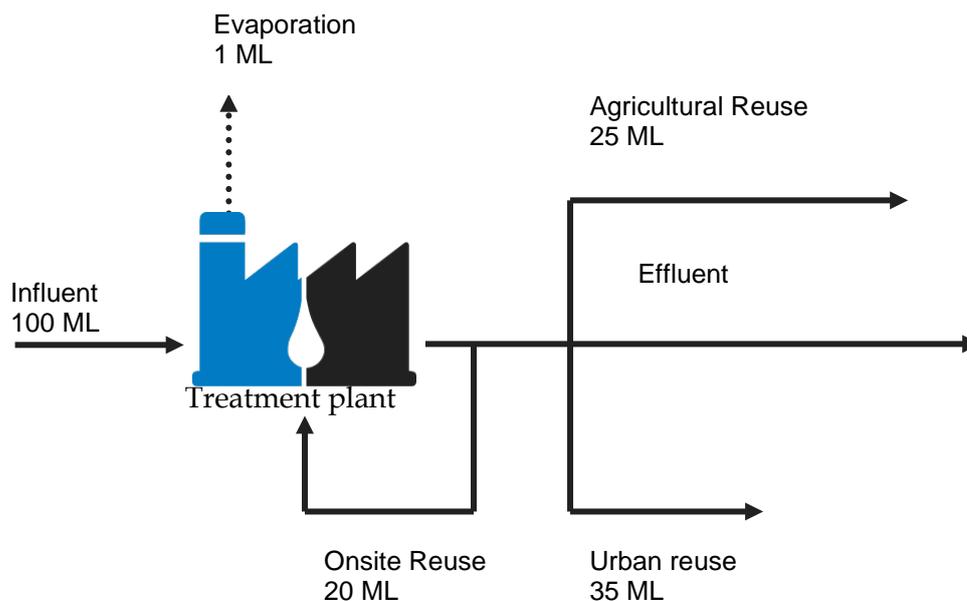


$$\text{Per cent of Water Recycled} = \frac{\text{Vol of Water Recycled}}{\text{Vol of Influent} - \text{Net Evaporation}} = \frac{(20+90)}{(100-1)} = 111.1\%$$

**Note:**

Where a percentage greater than 100% is achieved please provide a footnote to explain the figure and aid reader understanding of the process.

33. Recycled water is used on site, supplied for agricultural reuse and supplied for urban reuse through a third pipe system to urban households for toilet flushing and garden watering and for irrigation of open space community facilities.



$$\text{Per cent of Water Recycled} = \frac{\text{Vol of Water Recycled}}{\text{Vol. of Influent} - \text{Net Evaporation}} = \frac{(20+25+35)}{(100-1)} = 80.8\%$$

34. A market garden historically abstracts 40 ML of river water per year for irrigation purposes. In the reporting period, the water utility supplies 30 ML of recycled water to the market garden, which subsequently abstracts only 10 ML of river water. The volume of recycled water substituting raw water abstraction is 30 ML.
35. Water supplied per residential property within a water utility's service area is 220 kL/a (W12). The water utility supplies 30,000 kL of recycled water to 1000 properties via a third pipe system for toilet flushing and garden watering. Whilst the total water supplied per property remains unchanged, potable water consumption for properties also supplied with recycled water decreases by 30 kL per year (ie, 190 potable + 30 recycled = 220 kL residential water supplied per property). The 30,000 kL of recycled water supplied therefore is included as **BOTH** residential water supplied and total recycled water supplied.

## G.5 Connected properties

Reported indicators	Indicator number
Connected Residential properties – water supply	C2
Connected Non-residential properties – water supply	C3
Total connected properties – water supply	C4
Connected Residential properties – sewerage	C6
Connected Non-residential properties – sewerage	C7
Connected Non-residential properties – trade waste	WICA#19
Total connected properties – sewerage	C8

### Raw data collected

- 36.Connected Residential properties - water supply. (C2)
- 37.Connected non-residential properties - water supply. (C3)
- 38.Connected residential properties - sewerage. (C6)
- 39.Connected non-residential properties - sewerage. (C7)
- 40.Connected non-residential properties - trade waste. (WICA#19)

### Purpose

To report on the scale and composition of the water business. Connected property numbers are also used as a normaliser for many indicators.

### Definitions

#### Water/sewerage properties

(See Figure 1 below)

A connected water/sewerage property is:

- ▼ connected to the Licensee’s water/sewerage system
- ▼ the subject of billing for water supply/sewerage collection - fixed and /or consumption (see examples 1, 2 and 3), and
- ▼ any property which, at the end of the reporting period, is connected to the water/sewerage system and is separately billed for the water/sewerage services - fixed and/or consumption (see examples 1, 2 and 3)
- ▼ state-wide water utilities can also report the number of connected properties for their state-wide operations as a footnote.

This includes:

- ▼ a connected non-rateable property, and
- ▼ a connected but non-metered property.

It does NOT include:

- ▼ a body corporate
- ▼ a rated but unconnected property, or
- ▼ a non-real property or strata garages ie, a master meter for a block separately metered strata title flats.

### Non strata title flats or units

Where a utility has no more than 10% of its properties as non strata title flats or units, it is acceptable to report each such block of flats or units as one property.

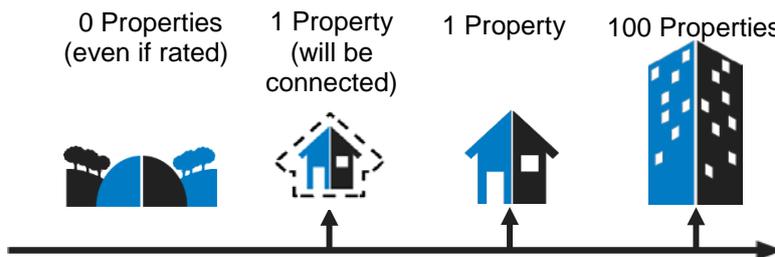


Figure 1

### Notes:

- ▼ The owner and tenant of a rented property are NOT counted as separate properties.
- ▼ A sewerage property which is also a trade sewerage property counts as one non-residential connected property.

### Units

Per number of properties or per thousands (000s), if possible.

### Calculations

C4 & C8 - Total connected properties receiving water/sewerage services =  
*(Residential connected properties) + (Non-residential connected properties)*

## Examples

41. A block of 30 units with a single meter = 30 connected properties.
42. A factory building housing five partitioned companies, all with separate water bills = five non-residential connected properties.
43. Properties are classified according to their main purpose. For example, a hotel which has a few permanent residential tenants (short term, long term or strata titled apartments) is classed as one non-residential connected property, likewise a shopping centre, or a serviced apartment/hotel complex = one non-residential connected property.
44. A TAFE property which extends over two blocks and has six separate connections = one non-residential connected property. Similarly, a school or hospital is also counted as one non-residential connected property.
45. A high-rise apartment residence which has individual connections for each apartment. Each apartment is a separate residential connected property. This also applies to department of housing units/flats.
46. A shopping centre where each shop within the complex has a separate connection = one non-residential connected property.
47. A property which is not connected (ie, no mains to meter connection), but is on a street with a main running along it, is not counted as a connected property. Similarly, if a vacant lot is being charged/rated, but is not physically connected, it is not to be counted as a connected property.
48. A nursing home/retirement home is counted as one non-residential connected property.
49. With respect to retirement villages, communal buildings count as one non-residential property, whereas stand-alone buildings for residents are each counted as residential properties. For example, 20 stand-alone buildings for residents and a communal building are counted as 20 residential connected properties and one non-residential connected property.
50. Residential apartment buildings where individual residents are shareholders in a company owning the entire building rather than holding individual apartment titles should be counted as individual flats/units. For example, 20 residential units in a building with 20 associated shares = 20 residential connected properties.
51. Where combined commercial/residential dwellings exist, the property should be classified according to its primary purpose where one bill is issued. If two separate bills are issued for the commercial and residential parts of the property, then the property is counted as one residential connected property and one non-residential connected property.

## G.6 Small retail customers

Reported indicators	Indicator number
Number of small retail customers in relation to water supply	WICA#20
Number of small retail customers in relation to the provision of sewerage services	WICA#21

### Raw data collected

52.Number of small retail customers in relation to water supply. (WICA#20)

53.Number of small retail customers in relation to the provision of sewerage services. (WICA#21)

### Purpose

To report on the number of small retail customers a utility supplies water or provides sewerage services to.

### Definitions

#### Small retail customer in relation to water supply

A person is a small retail customer in relation to water supply if the maximum rate at which water is supplied, pursuant to one or more water supply contracts, to all premises that the person owns, leases or occupies is less than 15 megalitres per year: clause 5(1) of the *Water Industry Competition (General) Regulation 2008*.

#### Small retail customer in relation to the provision of sewerage services

A person is a small retail customer in relation to the provision of sewerage services if the maximum rate at which sewage is discharged, pursuant to one or more sewerage service contracts, from all premises that the person owns, leases or occupies is less than 10.5 megalitres per year, as determined in accordance with guidelines issued by IPART: clause 5(2) of the *Water Industry Competition (General) Regulation 2008*.

### Units

Per number of customers or per thousands (000s), where possible.

## Calculations

*Total number of small retail customers receiving water services.*

*Total number of small retail customers receiving sewerage services.*

## G.7 Water quality complaints

Reported indicator	Indicator number
Water quality complaints	C9

### Raw data collected

54. Total number of water quality complaints.

### Purpose

To report customer satisfaction with the quality of water provided. It may also be used as an indicator of the suitability of the water treatment process.

Only complaints need to be classified, collected and reported. If dissatisfaction has not been expressed or if the customer has not sought resolution, the matter should not be classified and recorded as a complaint.

### Definitions

#### Complaint

Australian Standards define a complaint as an “expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.” (AS ISO 10002-2006)

A complaint can be a written or verbal expression of dissatisfaction about an action, proposed action or failure to act by the water utility, its employees or contractors.

#### Note:

Whilst complaints about third parties over which the utility has no control should not be counted as complaints, complaints about third parties where the water utility does have control (ie, contractors) should be included.

Complaints from separate customers arising from the same cause count as separate complaints, as do multiple complaints from one customer.

Includes complaints received by the water utility in person, by mail, fax, phone, email, text messaging.

**Note:**

A water utility must be able to differentiate a 'query' versus a 'complaint' in order to be materially compliant for this indicator.

A query can be defined as "A request by a customer for information about a product or service provided by the service provider that does not reflect dissatisfaction."

### Water quality complaints

The total number of complaints received by the water business that relate to water quality, including water quality complaints resulting from operational practices. With respect to water quality, this is any complaint regarding:

- ▼ discolouration
- ▼ taste
- ▼ odour
- ▼ stained washing
- ▼ illness, or
- ▼ cloudy water (eg, caused by oxygenation), etc.

It excludes complaints relating to:

- ▼ service interruption
- ▼ adequacy of service
- ▼ restrictions, or
- ▼ pressure, etc.

**Note:** It excludes complaints related to these issues, however, a complaint where this issue is one component that leads to another issue may be included as a complaint in this or another complaint category.

**Note:** This definition has been changed to exclude "any contact that results in a water quality issue is counted as a complaint".

### Examples

55.If a customer complains about milky water and it is found to be caused by mains flushing then this is still counted as a complaint.

56.If a customer rings to ask about the health standards that apply for water quality, this is counted as a query.

57.If a customer rings to complain about the Premier’s media comments on water quality, this is not counted as a complaint as the complaint is about a third party over whom the water utility has no control.

58.If a customer rings to complain about the Premier’s media comments on water quality because they have suffered poor water quality this is counted as a complaint.

### Calculations

C9 - Water quality complaints (per number of properties or per 1000 properties, if possible) =

*Total number of water quality complaints / Total water connected properties (actual number or per 000s, if possible)*

## G.8 Water service complaints

Reported indicator	Indicator number
Water service complaints	C10

### Purpose

To report customer satisfaction with the water supply service and provide a partial indicator of service reliability.

Only complaints need to be classified, collected and reported. If dissatisfaction has not been expressed or if the customer has not sought resolution, the matter should not be classified and recorded as a complaint.

### Definitions

#### Complaint

Australian Standards define a complaint as an “expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.” (AS ISO 10002-2006)

A complaint can be a written or verbal expression of dissatisfaction about an action, proposed action or failure to act by the water utility, its employees or contractors.

**Note:**

Whilst complaints about third parties over which the utility has no control should not be counted as complaints, complaints about third parties where the water utility does have control (ie, contractors) should be included.

Complaints from separate customers arising from the same cause count as separate complaints, as do multiple complaints from one customer.

Includes complaints received by the water utility in person, by mail, fax, phone, email, text messaging.

**Note:**

A water utility must be able to differentiate a 'query' versus a 'complaint' in order to be materially compliant for this indicator.

A query can be defined as "A request by a customer for information about a product or service provided by the service provider that does not reflect dissatisfaction."

### Water service complaints

The total number of water service complaints received by the water utility. This includes all complaints concerning:

- ▼ bursts
- ▼ leaks
- ▼ service interruptions
- ▼ adequacy of service
- ▼ water pressure, and
- ▼ water reliability.

When a customer reports a service interruption, this is not counted as a complaint unless the customer expresses dissatisfaction about the interruption.

It **excludes** complaints relating only to:

- ▼ water quality
- ▼ billing and accounts
- ▼ government pricing policy, or
- ▼ tariff structures.

**Note:** It excludes complaints related to these issues, however, a complaint where this issue is one component that leads to another issue may be included as a complaint in this or another complaint category.

### Examples

- 59.If a customer complains about water pressure and it is found to be caused by a leak in the network this is counted as a complaint.
- 60.If a customer rings to ask about the relevant standard for water pressure in their town this is counted as an enquiry.
- 61.If a customer rings to ask about the relevant standard for water pressure because they are unhappy about their pressure, this is counted as a complaint.
- 62.If a customer rings to report a burst pipe due to a contractor working on the utility's assets this is counted as a complaint.
- 63.If a customer rings to complain about government pricing policy this is not a complaint. However, if the price has created an affordability issue for the customer who is now unable to meet the payment plan previously negotiated and has been refused renegotiation this is a complaint but should be recorded as a billing and account complaint not a service complaint.

### Calculations

C10 - Water service complaints (per number of properties or per 1000 properties, if possible) =

*Total number of water service complaints / Total number of water connected properties (actual number or per 000s, if possible)*

## G.9 Sewerage service complaints

Reported indicator	Indicator number
Sewerage service complaints	C11

### Purpose

To report customer satisfaction with sewerage service and provide a partial indicator of service quality and reliability.

Only complaints need to be classified, collected and reported. If dissatisfaction has not been expressed or if the customer has not sought resolution, the matter should not be classified and recorded as a complaint.

## Definitions

### Complaint

Australian Standards define a complaint as an “expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.” (AS ISO 10002-2006)

A complaint can be a written or verbal expression of dissatisfaction about an action, proposed action or failure to act by the water utility, its employees or contractors.

#### Note:

Whilst complaints about third parties over which the utility has no control should not be counted as complaints, complaints about third parties where the water utility does have control (ie, contractors) should be included.

Complaints from separate customers arising from the same cause count as separate complaints, as do multiple complaints from one customer.

Includes complaints received by the water utility in person, by mail, fax, phone, email, text messaging.

#### Note:

A water utility must be able to differentiate a ‘query’ versus a ‘complaint’ in order to be materially compliant for this indicator.

A query can be defined as “A request by a customer for information about a product or service provided by the service provider that does not reflect dissatisfaction.”

### Sewage service complaints

The total number of complaints received by the sewerage utility that relate to sewerage service quality and reliability. Includes all complaints concerning:

- ▼ sewer blockages and spills
- ▼ trade waste services
- ▼ sewage odours
- ▼ sewerage system reliability, and
- ▼ all other sewerage issues.

If an operator is doubtful whether the customer is making an enquiry or wishing to lodge a complaint they should ask the customer if they want a complaint to be recorded.

It **excludes** complaints relating only to:

- ▼ government pricing policy, or
- ▼ tariff structures, or
- ▼ other non-applicable areas of the business.

**Note:** It excludes complaints related to these issues, however, a complaint where this issue is one component that leads to another issue may be included as a complaint in this or another complaint category.

### Examples

64.If a customer rings to report a sewage odour this is a complaint.

65.If a customer rings to enquire about the conversion of a septic tank to the mains sewerage system this is an enquiry.

66.If a customer rings to complain about the way sewerage service bills are calculated, and the bill has been calculated according to government pricing policy, this is not a complaint.

### Calculations

C11 - Sewage service complaints (per number of properties or per 1000 properties, if possible) =

*Total number of sewage service complaints / Total number of connected properties - sewerage (actual number or per 000s, if possible)*

## G.10 Billing and account complaints

Reported indicator	Indicator number
Billing and account complaints	C12

### Purpose

To report the level of billing and account complaints received for the utility's water supply and sewerage services.

Only complaints need to be classified, collected and reported.If dissatisfaction has not been expressed or if the customer has not sought resolution, the matter should not be classified and recorded as a complaint.

## Definitions

### Complaint

Australian Standards define a complaint as an “expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.” (AS ISO 10002-2006)

A complaint can be a written or verbal expression of dissatisfaction about an action, proposed action or failure to act by the water utility, its employees or contractors.

#### **Note:**

Whilst complaints about third parties over which the utility has no control should not be counted as complaints, complaints about third parties where the water utility does have control (ie, contractors) should be included.

Complaints from separate customers arising from the same cause count as separate complaints, as do multiple complaints from one customer.

Includes complaints received by the water utility in person, by mail, fax, phone, email, text messaging.

#### **Note:**

A water utility must be able to differentiate a ‘query’ versus a ‘complaint’ in order to be materially compliant for this indicator.

A query can be defined as “A request by a customer for information about a product or service provided by the service provider that does not reflect dissatisfaction.”

### Billing and account complaints

This includes all complaints concerning:

- ▼ account payment
- ▼ financial loss or overcharging
- ▼ billing errors and
- ▼ affordability.

Where a customer rings to query an account (eg, “could you please explain how the variable sewerage component of my bill is calculated, or could you explain how my bill is calculated”) this is not to be recorded as a complaint unless the customer identifies that they have rung to make a complaint. If the customer rings to make an enquiry but remains dissatisfied or the enquiry identifies an error in the bill this should be recorded as a complaint.

If a customer makes repeated contact on the same billing issue this should be recorded as a complaint.

If an operator is doubtful whether the customer is making an enquiry or a complaint they should ask the customer if they want a complaint to be recorded.

It **does not include** complaints relating only to:

- ▼ government pricing policy
- ▼ tariff structures, or
- ▼ a correctly calculated bill is too high.

**Note:** It excludes complaints related to these issues, however, a complaint where this issue is one component that leads to another issue may be included as a complaint in this or another complaint category.

### Examples

67.If a customer rings to query the meter reading because they believe the bill is too high this is a complaint.

68.If a customer rings to enquire about how the tariff structure is set this is an enquiry.

69.If a customer rings to complain about tariff structures this is not a complaint (where the tariff is set by an external body). If the tariff is set by the utility then it is a complaint.

### Calculations

C12 - Billing and account complaints (per number of properties or per 1000 properties, if possible) =

*Total number of billing and account complaints / Total number of water connected properties (actual number or per 000s, if possible)*

## G.11 Other complaints

Reported indicator	Indicator number
Number of other complaints – water and sewerage	WICA#22

### Purpose

To report any complaints that do not fall within any of the complaint categories above (ie, C9 - C12 above) received for the utility’s water supply and sewerage services.

### Definitions

#### Complaint

Australian Standards define a complaint as an “expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected.” (AS ISO 10002-2006)

A complaint can be a written or verbal expression of dissatisfaction about an action, proposed action or failure to act by the water utility, its employees or contractors.

#### Note:

Whilst complaints about third parties over which the utility has no control should not be counted as complaints, complaints about third parties where the water utility does have control (ie, contractors) should be included.

Complaints from separate customers arising from the same cause count as separate complaints, as do multiple complaints from one customer.

Includes complaints received by the water utility in person, by mail, fax, phone, email, text messaging.

#### Note:

A water utility must be able to differentiate a ‘query’ versus a ‘complaint’ in order to be materially compliant for this indicator.

A query can be defined as “A request by a customer for information about a product or service provided by the service provider that does not reflect dissatisfaction.”

### Other complaints

Any complaints that do not fall within any of the complaint categories above (ie, C9 - C12 above) received for the utility's water supply and sewerage services

### Calculations

WICA#22 - Other complaints (per number of properties or per 1000 properties, if possible) =

*Total number of other complaints / Total number of water connected properties (actual number or per 000s, if possible)*

## G.12 Total water and sewerage complaints

Reported indicator	Indicator number
Total water and sewerage complaints	C13

### Purpose

To report customer satisfaction with the water and sewerage services and provide an indicator of service quality and reliability.

Only complaints need to be classified, collected and reported. If dissatisfaction has not been expressed or if the customer has not sought resolution, the matter should not be classified and recorded as a complaint.

**Note:** This may be greater than the total of C9 - C12 as it includes "other" complaints.

### Definitions

#### Complaint

Australian Standards define a complaint as an "expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected." (AS ISO 10002-2006)

A complaint can be a written or verbal expression of dissatisfaction about an action, proposed action or failure to act by the water utility, its employees or contractors.

**Note:**

Whilst complaints about third parties over which the utility has no control should not be counted as complaints, complaints about third parties where the water utility does have control (ie, contractors) should be included.

Complaints from separate customers arising from the same cause count as separate complaints, as do multiple complaints from one customer.

Includes complaints received by the water utility in person, by mail, fax, phone, email, text messaging.

**Note:**

A water utility must be able to differentiate a 'query' versus a 'complaint' in order to be materially compliant for this indicator.

A query can be defined as "A request by a customer for information about a product or service provided by the service provider that does not reflect dissatisfaction."

### Total water and sewerage complaints

The total number of complaints received by the water utility that relate to water or sewerage services. This includes all complaints concerning:

- ▼ bursts
- ▼ leaks
- ▼ service interruptions
- ▼ adequacy of service
- ▼ water pressure
- ▼ water quality or reliability
- ▼ sewerage service complaints
- ▼ sewage odours
- ▼ affordability
- ▼ billings, and
- ▼ behaviour of staff or agents.

When a customer reports a service interruption, this is not counted as a complaint unless the customer expresses dissatisfaction about the interruption.

It **excludes** complaints relating only to:

- ▼ government pricing policy, or
- ▼ tariff structures.

**Note:** It excludes complaints related to these issues, however, a complaint where this issue is one component that leads to another issue may be included as a complaint in this or another complaint category.

### Calculations

Total water and sewage service complaints (per number of properties or per 1000 properties, if possible) =

*Total number of water and sewerage complaints / Total number of water connected properties (actual number or per 000s, if possible)*

### G.13 Average duration of unplanned water supply interruptions

Reported indicators	Indicator number
Average duration of an unplanned interruption - water (minutes)	C15
Average duration of planned interruption – water (minutes)	WICA#6
Average duration of unplanned interruption – potable water (minutes)	WICA#7
Average duration of planned interruption – potable water (minutes)	WICA#8
Average duration of unplanned interruption – non-potable water (minutes)	WICA#9
Average duration of planned interruption – non-potable water (minutes)	WICA#10

#### Raw data collected

70. Average duration of an unplanned water supply interruption (min). (C15)
71. Average duration of a planned water supply interruption (min). (WICA#6)
72. Average duration of unplanned potable water supply interruption (min). (WICA#7)
73. Average duration of planned potable water supply interruption (min). (WICA#8)
74. Average duration of unplanned non-potable water supply interruption (min). (WICA#9)
75. Average duration of planned non-potable water supply interruption (min). (WICA#10)

## Purpose

To report average duration a customer is without a water supply for the reporting period. It is a partial indicator of customer service and the condition of the water network, and how effectively the operation of the network is being managed (eg, whether operating pressures are too high).

## Definitions

### Water supply interruption (customer service)

A water supply interruption is any event causing a total loss of water supply due to any cause. Interruptions **do not include**:

- ▼ Those caused by bursts or leaks in the property service (mains to meter connection), unless the property connections are owned or maintained by the water utility or the burst or leak requires the mains to be shut down for repair.
- ▼ In the case of a utility that has contracted with the customer to provide an interrupted service (eg, at peak demand periods), those interruptions that are in accordance with the levels of service specified in the contract.

### Unplanned water supply interruptions

This is when the customer has NOT received at least 24 hours notification (or as otherwise prescribed by regulatory requirements) of the interruption. It also includes situations where the duration of a planned interruption exceeds that which was originally notified. In this circumstance, the length of the entire interruption is counted (see example 1). All un-notified interruptions caused by third parties should be included.

### Unplanned potable water supply interruption

As above, but in relation to potable water only.

### Unplanned non-potable water supply interruption

As above, but in relation to non-potable water only.

### Planned water supply interruption

This is when the customer has received at least 24 hours notification (or as otherwise prescribed by regulatory requirements) of the interruption and the duration of the planned interruption does not exceed that which was originally notified.

### Planned potable water supply interruption

As above, but in relation to potable water only.

### Planned non-potable water supply interruption

As above, but in relation to non-potable water only.

### Duration of an unplanned water supply interruption

An interruption commences when the water utility is aware that 'water is no longer available at the customer's first cold water tap' and ceases 'when "normal" service is restored' ie, when the last valve has been opened (see examples 2 and 3).

Where the utility is aware of a water supply interruption via internal systems alarms, the duration commences when the alarm is raised.

If a customer notifies the water utility they are without water, the duration commences at the time of notification. If the water utility is responding to a notification of a broken main, unless this notification also indicates a loss of supply, the duration commences once the break is isolated (if repairs are not being done under pressure).

### Duration of an unplanned potable water supply interruption

Same as above, but in relation to potable water only.

### Duration of an unplanned non-potable water supply interruption

Same as above, but in relation to non-potable water only.

### Duration of a planned water supply interruption

An interruption commences when the water utility ceases to supply water to the customer in accordance with its notification, and ceases 'when "normal" service is restored' ie, when the last valve has been opened, on or before the period which was originally notified.

### Duration of a planned potable water supply interruption

Same as above, but in relation to potable water only.

### Duration of a planned non-potable water supply interruption

Same as above, but in relation to non-potable water only.

#### Average duration of an unplanned water supply interruption

The average duration for which a customer is without supply due to an unplanned interruption.

#### Average duration of an unplanned potable water supply interruption

The average duration for which a connection point is without supply due to an unplanned interruption.

#### Average duration of an unplanned non-potable water supply interruption

The average duration for which a connection point is without supply due to an unplanned interruption.

#### Average duration of a planned water supply interruption

The average duration for which a customer is without supply due to a planned interruption.

#### Average duration of a planned potable water supply interruption

The average duration for which a connection point is without supply due to a planned interruption.

#### Average duration of a planned non-potable water supply interruption

The average duration for which a connection point is without supply due to a planned interruption.

#### Units

Minutes (min).

#### Calculations

C15 - Average duration of an unplanned water supply interruption =

*Total minutes off water supply / total number of customers affected*

WICA#6 - Average duration of an unplanned potable water supply interruption

*Total minutes off potable water supply / total number of potable water customers affected*

WICA#7 - Average duration of an unplanned non-potable water supply interruption =

*Total minutes off non-potable water supply / total number of non-potable water customers affected*

WICA#8 - Average duration of a planned water supply interruption =

*Total minutes off water supply / total number of customers affected*

WICA#9 - Average duration of a planned potable water supply interruption =

*Total minutes off potable water supply / total number of potable water customers affected*

WICA#10 - Average duration of a planned non-potable water supply interruption =

*Total minutes off non-potable water supply / total number of non-potable water customers affected*

*(see example table below)*

### Examples

76.A customer calls the water utility advising that they have no water. The interruption commences at the time the call is received.

77.A customer calls the water utility advising of a broken main. The interruption commences when staff arrive at the main and isolate the main break.

78.Mains are shut down due to fire fighting requirements. This interruption is included and commences at the time the mains are shut down.

79.See table below for example of calculation

Interruption	Minutes of interruption	Number of customers affected	Minutes off supply (ie, minutes interruption x number of customers affected)	Average duration of an unplanned interruption (minutes)
A	240	20	4,800	(ie, Total Minutes off supply / Number of Customers affected)
B	300	1,000	300,000	
C	120	400	48,000	
D	60	2	120	
E	410	35	14,350	
Total		1,457	367,270	252.1

## G.14 Average sewerage interruptions

Reported indicator	Indicator number
Average sewerage interruptions (minutes)	C16

### Raw data collected

80.Average sewerage interruption (min). (C16)

### Purpose

To report for how long, on average, a customer is without sewerage services for the reporting period. It is a partial indicator of customer service and the condition of the sewerage network.

### Definitions

#### Sewerage interruption

A sewerage interruption is any event causing a significant reduction of sewerage service due to any cause. Interruptions **exclude** those caused by breaks or chokes in the property connection sewer.

#### Unplanned sewerage service interruption

This is when the customer has NOT received at least 24 hours notification of the interruption (or as otherwise prescribed by regulatory requirements). It also includes situations where the duration of a planned interruption exceeds that which was originally notified. In this circumstance, the length of the entire interruption is counted. All un-notified interruptions caused by third parties should be included.

#### Duration of an unplanned sewerage service interruption

An interruption commences when the water utility is aware that sewerage services are no longer available and ceases when 'normal' service is restored.

#### Average sewerage interruption

The average duration for which a customer is without a sewerage service due to unplanned work.

### Choke

A confirmed partial or total blockage that may or may not result in a spill to the external environment from the sewer system.

### Breaks of leaks

A break or leak is a failure of the sewer main which results in an interruption to the sewerage service.

### Units

Minutes (min).

### Calculations

C16 - Average sewerage interruption (minutes) =

$$\text{Total minutes of interruptions} / \text{total number of interruptions}$$

### Example

Interruption	Minutes of interruption
A	240
B	300
C	50
D	70
E	90
Total interruptions = 5	Total minutes of interruptions = 750

Average sewerage interruption = 150 minutes

## G.15 Customer interruption frequency

Reported indicators	Indicator number
Average frequency of unplanned interruptions – water	C17
Average frequency of planned interruptions – water	WICA#11
Average frequency of unplanned interruptions – potable water	WICA#12
Average frequency of planned interruptions – potable water	WICA#13
Average frequency of unplanned interruptions – non-potable water	WICA#14
Average frequency of planned interruptions – non-potable water	WICA#15

### Purpose

To report how frequently customers are without access to the water supply service. It is a partial indicator of service quality, reliability and customer satisfaction.

**Note:** Title change only, no material definition change.

### Definitions

#### Average frequency of unplanned interruptions

#### Average customer-interruption frequency

A water supply customer-interruption is a loss of water supply to an individual customer due to an unplanned water supply interruption. For example, a water supply interruption which causes loss of supply to 100 customers is 100 customer-interruptions.

Includes:

- ▼ Each occurrence of unplanned interruptions to supply.

**Excludes:**

- ▼ mains to meter interruptions unless the burst or leak requires the mains to be shut down for repair
- ▼ some reduction to the level of service but where normal activities (shower, washing machine, toilet flushing etc.) are still possible, breaks in house connection branches or planned interruptions.

### Interruption

Where the property is without a service due to any cause.

**Unplanned Interruption:**

An interruption caused by a fault in the utility's system.

**Planned Interruption:**

An interruption for which the utility has provided at least 24 hours' advanced notification (or as otherwise prescribed by regulatory requirements or in accordance with the levels of service specified in the contract with the customer).

**Units**

Megalitres (ML), per cent (%).

**Calculations**

C17 - Average frequency of unplanned interruptions (per number of properties or per 1000 properties, if possible) =

*Total number of unplanned interruptions / Total number of water connected properties (actual number or per 000s, if possible)*

WICA#11 - Average frequency of planned interruptions (per number of properties or per 1000 properties, if possible) =

*Total number of planned interruptions / Total number of water connected properties (actual number or per 000s, if possible)*

WICA#12 - Average frequency of unplanned interruptions – potable water (per number of properties or per 1000 properties, if possible) =

*Total number of unplanned interruptions – potable water only / Total number of potable water connected properties (actual number or per 000s, if possible)*

WICA#13 - Average frequency of planned interruptions – potable water (per number of properties or per 1000 properties, if possible) =

*Total number of planned interruptions – potable water only / Total number of potable water connected properties (actual number or per 000s, if possible)*

WICA#14 - Average frequency of unplanned interruptions – non-potable water (per number of properties or per 1000 properties, if possible) =

*Total number of unplanned interruptions – non-potable water only / Total number of non-potable water connected properties (actual number or per 000s, if possible)*

WICA#15 - Average frequency of planned interruptions – non-potable water (per number of properties or per 1000 properties, if possible) =

*Total number of planned interruptions – non-potable water only / Total number of non-potable water connected properties (actual number or per 000s, if possible)*

## G.16 Customer interruption frequency – sewerage

Reported indicators	Indicator number
Average frequency of unplanned interruptions – sewerage	WICA#16

### Purpose

To report how frequently customers are without access to the sewerage service. It is a partial indicator of service quality, reliability and customer satisfaction.

### Definitions

Average frequency of unplanned interruptions

Average customer-interruption frequency

A sewerage services customer-interruption is a loss of sewerage services to an individual customer due to an unplanned sewerage service interruption. For example, a sewerage service interruption which causes loss of services to 100 customers is 100 customer-interruptions.

Includes:

- ▼ Each occurrence of unplanned interruptions to the service.

**Excludes:**

- ▼ Some reduction to the level of service but where normal activities (toilet flushing etc.) are still possible, breaks in house connection branches or planned interruptions.

### Interruption

Where the property is without a service due to any cause.

### Unplanned Interruption

An interruption caused by a fault in the utility's system.

### Planned Interruption

An interruption for which the utility has provided at least 24 hours' advanced notification (or as otherwise prescribed by regulatory requirements).

### Calculations

Average frequency of unplanned interruptions (per number of properties or per 1000 properties, if possible) =

*Total number of unplanned interruptions / Total number of sewer connected properties (actual number or per 000s, if possible)*

## G.17 Restrictions and legal action for non-payment of water bill

Reported indicators	Indicator number
Number of restrictions applied for non-payment of water bill	C18
Number of disconnections	WICA#23
Number of legal actions applied for non-payment of water bill	C19

### Purpose

To report on the incidence of water restrictions or legal action applied for non-payment of a water bill, and the incidence of disconnections.

**Note:** Indicator name change in 2007-08, no material change. This indicator was changed in the 2006-07 definitions and was divided into two indicators, one for restrictions (C18) and one for legal action (C19). This does not constitute a material change and historical data may be published if separated out.

### Definitions

#### C18 - Number of customers to which restrictions applied for non-payment of water bill

The total number of restrictions (including disconnections) applied for non-payment of water bills in the reporting period.

Includes all cases where restriction devices are fitted to reduce water flows to a customer due to non-payment of accounts.

If a water business disconnects rather uses a restriction device this is also counted.

Includes restrictions taken against both residential and non-residential customers.

**It does not include:**

- ▼ were a business threatens to restrict a supply, but does not undertake the fitting of a restrictor
- ▼ disconnections carried out due to unsafe infrastructure connected to the water utility's system, and
- ▼ customers who choose to disconnect from the water utilities supply (eg, due to preference for a tank water supply).

**WICA#23 - Number of customers to which disconnections applied**

A small retail customer cannot be disconnected for non-payment of water bills.

Includes all cases where a water business disconnects a residential or non-residential customer for any reason.

**It does not include:**

- ▼ disconnections carried out due to unsafe infrastructure connected to the water utility's system, and
- ▼ customers who choose to disconnect from the water utilities supply (eg, a due to preference for a tank water supply).

**C19 - Number of customers to which legal action applied for non-payment of water bill**

The total number of legal actions applied for non-payment of water bills in the reporting period.

Includes legal actions taken against both residential and non-residential customers.

Legal action commences from issue of summons. It does not include were a utility threatens to take legal action, but does not proceed

**Note:** Multiple restrictions, disconnections/legal actions for one customer should be counted as separate occasions.

## H Illustrative examples – applicable performance indicators

As noted earlier in this reporting manual, IPART will determine the indicators that are applicable to a particular Licensee, in consultation with the Licensee. The Licensee will be notified by IPART of the applicable performance indicators at the time of being granted the licence (and subsequently, if there are any significant changes to the activities undertaken).

The following are illustrative examples to assist Licensees to understand which performance indicators are likely to be applicable to their particular licensed activities.

### **Example 1: Retail supplier's licence to supply recycled water to residential and commercial/municipal/industrial customers (ie, "small retail customers" under the Act)**

Indicators in relation to 'sources of water' would apply. Where the source of water is from a public water utility, this would need to be reported (WICA#17). Indicators in relation to 'sewage collected' would not be applicable, as the retailer is not providing sewerage services to customers. There is potential for doubling-up in reporting under 'uses of water supplied' and 'uses of recycled water supplied' indicators. In such a case, IPART is likely to indicate to the Licensee that reporting is only necessary in relation to the most appropriate set of indicators (eg, 'uses of recycled water').

As the retailer is involved in supplying recycled water to residential and non-residential customers, the 'customers - water' indicators would be applicable. The 'customers - sewerage' indicators would not apply. The special 'small customers' indicator would also apply (WICA#20), as some of these customers are within the definition of "small retail customers" under the Act.

The 'complaints', 'restrictions' and 'service interruptions' sets of indicators in relation to water services only would be applicable. There is potential for some doubling-up in reporting under the 'service interruptions' indicators, as 'water' is defined to include 'non-potable water', and also with the 'service interruptions' indicators being reported by any Network Operator in relation to the same water supply. In such cases, IPART is likely to indicate that the Licensee only report against the most appropriate indicators (eg, 'non-potable water' indicators only). However, where reporting by the network operator and the retail supplier

Licensee against ‘service interruptions’ indicators provides different information or verification of the same information, IPART may require such reporting.

**Example 2: Bundled network operator and retail supplier receiving treated effluent to provide retail supplier with recycled water which is then supplied to industrial/commercial customers only**

Indicators in relation to ‘sources of water’ would apply. Where the source of water is from a public water utility, this would need to be reported (WICA#17). Indicators in relation to ‘sewage collected’ would not be applicable, as the retailer is not providing sewerage services to customers. There is potential for doubling-up in reporting under ‘uses of water supplied’ and ‘uses of recycled water supplied’ indicators. In such a case, IPART is likely to indicate to the Licensee that reporting is only necessary in relation to the most appropriate set of indicators (eg, ‘uses of recycled water’).

As the retailer is involved in supplying recycled water to industrial/commercial customers, the ‘customers - water’ indicators would be applicable. The ‘customers - sewerage’ indicators and the special ‘small customers’ indicator (WICA#20) are not applicable.

The ‘complaints’, ‘restrictions’ and ‘service interruptions’ sets of indicators in relation to water services only would be applicable. There is potential for some doubling-up in reporting under the ‘service interruptions’ indicators, as ‘water’ is defined to include ‘non-potable water’ and also with the ‘service interruptions’ indicators required to be reported in accordance with the Network Operator’s Reporting Manual. In such cases, IPART is likely to indicate that the licensee only report against the most appropriate indicators (eg, ‘non-potable water’ indicators only). As the licensee in this example is a bundled network operator and retail supplier, IPART will determine in consultation with the licensee which licence the various ‘service interruptions’ indicators are more appropriate to be reported under (ie, the network operator’s or retail supplier’s licence) or whether the indicators need to be reported under both.

(**Note:** See Appendix H of the Network Operator’s Reporting Manual for an illustrative example of the network operator indicators likely to be applicable for a bundled network operator and retail supplier receiving treated effluent to provide recycled water to industrial/commercial customers only.)

**Example 3: Retail supplier's licence to provide sewerage services and recycled water to small retail customers and industrial/commercial customers**

Indicators in relation to 'sources of water' would apply. Where the source of water is from a public water utility, this would need to be reported (WICA#17). Indicators in relation to 'sewage collected' would also be applicable, as the retailer is also providing sewerage services to customers. There is potential for doubling-up in reporting under 'uses of water supplied' and 'uses of recycled water supplied' indicators. In such a case, IPART is likely to indicate to the licensee that reporting is only necessary in relation to the most appropriate set of indicators (eg, 'uses of recycled water').

As the retailer is involved in supplying recycled water and sewerage services to residential and non-residential customers, the 'customers - water' and 'customers - sewerage' indicators would both be applicable. The special 'small customers' indicators would also apply (WICA#20 & WICA#21), as some of these customers are within the definition of "small retail customers" under the Act.

The 'complaints', 'restrictions' and 'service interruptions' sets of indicators in relation to both water and sewerage services would be applicable. There is potential for some doubling-up in reporting under the 'service interruptions' indicators, as 'water' is defined to include 'non-potable water', and also with the 'service interruptions' indicators being reported by any Network Operator in relation to the same water supply. In such cases, IPART is likely to indicate that the licensee only report against the most appropriate indicators (eg, 'non-potable water' indicators only). However, where reporting by the Network Operator and the retail supplier licensee against 'service interruptions' indicators provides different information or verification of the same information, IPART may require such reporting.

## I Insurance expert's report template

It is a standard Licence condition for all licensed retailer suppliers under the WIC Act to obtain appropriate insurance prior to commencing commercial operation of the infrastructure (see Schedule B, clause B2 of the licence for full details).

Licensees must demonstrate that the insurance they have obtained is appropriate. This is established by providing a report to IPART from an insurance expert, certifying that in the insurance expert's opinion, the type and level of insurance obtained is appropriate for the size and nature of the activities authorised under the licence, and attaching all certificates of currency of insurances obtained. The insurance expert must be an insurance broker, holding an Australian financial services licence (AFSL) under Part 7.6 of the *Corporations Act 2001* (Cth) that authorises it to provide financial product advice for, and deal in, insurance contracts.

The report must be in the form prescribed by the reporting manual. This form is set out below. The report should also set out the insurance expert's AFSL number and ABN (or attach a copy of an AFS licence register search from ASIC providing these details). The expert must be able to state in the report that they have no conflicts of interest preventing them from providing the report.

This report may take 4 to 6 weeks (or potentially longer) to obtain, as it will require the insurance expert to undertake or review a risk assessment of the licensed activities in order to provide the information required in the report. Licensees should allow for sufficient time to obtain the report before commencing supply of retail services (or, for Brownfield schemes that have already commenced retail supply, within 6 months of the date on which the licence is granted or by a later date specified by IPART (if any)).

## Insurance expert's report template

The insurance expert's report required under licence condition B2 is to contain a certification statement with supporting attachments. The below certification statement is to be provided on the insurance broker's letterhead and signed by a Partner, Director or Senior Manager of the brokerage.

[Licensee's name and ACN] (**Licensee**) has engaged [Insurance broker's name, ACN and Australian financial services licence number] to provide this report to the Independent Pricing and Regulatory Tribunal (**IPART**).

This report concerns the licensee's insurance arrangements in relation to the activities authorised under the Network Operator's licence [insert No. ] and/or retail supplier's licence [insert No. ] (**Licence**) granted to the licensee under the Water Industry Competition Act 2006 (NSW) (**Act**). Those activities are [enter a brief description of the authorised activities eg, the construction, operation and maintenance of and/or supply of recycled water from, the recycled water scheme at Rooty Hill]. The provision of this report is required by licence condition B2.

### Licensee's Insurance Arrangements

The attached **Schedule A** sets out:

- ▼ the type and level of insurance obtained by the licensee in relation to the activities authorised under the licence (**Licensee's Insurance Arrangements**), and
- ▼ the reasons as to why the Licensee's Insurance Arrangements are appropriate for the size and nature of the activities authorised under the licence.

### Certification

[Insurance broker's name] certifies to IPART that in its opinion, the Licensee's Insurance Arrangements are appropriate for the size and nature of the activities authorised under the Licence. In reaching this opinion, [Insurance broker's name] has:

- ▼ identified and analysed the key risks of the licensee undertaking the activities authorised by the licence as set out in the attached **Schedule C**, using the approach or methodology set out in the attached **Schedule B**
- ▼ reviewed the Licensee's Insurance Arrangements, and
- ▼ based on the information set out below:
  - considered whether the Licensee's Insurance Arrangements are appropriate for the size and nature of the activities authorised under the licence using the risk analysis set out in the attached **Schedule C**, and

- considered any risks that remain wholly or partially uninsured and explained in the attached **Schedule D** what those risks are, why they are wholly or partially uninsured, and why this does not affect the certification given in this report.

In preparing this report, [*Insurance broker's name*] has:

- ▼ been briefed by the licensee on the activities authorised by the licence and on the Licensee's Insurance Arrangements
- ▼ reviewed the risk assessment in the following operational plans provided by the licensee:
  - Network Operator's Water Quality Plan [*delete if not applicable*]
  - Network Operator's Sewage Management Plan [*delete if not applicable*]
  - Network Operator's Infrastructure Operating Plan [*delete if not applicable*]
  - Retail Supplier's Retail Supply Management Plan [*delete if not applicable*]
- ▼ reviewed the risk register developed by the licensee
- ▼ reviewed evidence of the licensee's current insurance policies, or of the insurance policies that the licensee will obtain before commencing commercial operation or supply of services, in the form of certificates of currency (where currently available) and the relevant policy schedules and policy wording. Where an insurance policy is written in a foreign language, [*Insurance broker's name*] has reviewed an English translation or English summary of the policy, and
- ▼ [*insert details of other information/documents reviewed or any other inquiries made*].

## Acknowledgments

[*Insurance broker's name*] has prepared this report for the licensee.

[*Insurance broker's name*] acknowledges that IPART may disclose this report:

- ▼ to the Minister administering the Act (**Minister**) or the Department of Primary Industries (which currently administers the Act on the Minister's behalf), and
- ▼ under the *Government Information (Public Access) Act 2009* (NSW) or the *Independent Pricing and Regulatory Tribunal Act 1992* (NSW), or where otherwise required by law.

[*Insurance broker's name*] also acknowledges that this report is for the benefit of the Minister and IPART, and that the Minister and IPART will rely on the report in performing their respective functions under the Act.

[*Include the following section if attaching certificates of currency to this report on behalf of the licensee*]

## Certificates of Currency

All certificates of currency for the insurances are attached in **Schedule E**.

*[Insert page break]*

## SCHEDULE A: Summary of current insurance arrangements

*Include a brief statement of the insurance arrangements the licensee has or intends to have in place prior to commencing commercial operation and/or supply of services.*

*For each insurance policy, the following information is to be summarised:*

<b>Policy type/class</b>	<i>(eg, Public &amp; Products Liability, Professional Indemnity, Industrial Special Risks, Environmental Impairment Liability, Workers Compensation, etc)</i>
<b>Parties Insured</b>	<i>[full name of entity to be insured – ensure covers the licensee, particularly where the licensee is a subsidiary company]</i>
<b>Policy number</b>	
<b>Policy period</b>	
<b>Insurer</b>	
<b>Risks/Interests insured</b>	<i>[Summary of what the insurance covers]</i>
<b>Limit of Liability, including notable sub-limits</b>	<i>[eg, \$ amount/s or 'as provided under Legislation']</i>
<b>Key Exclusions</b>	
<b>Policy Extensions</b>	<i>[if applicable]</i>
<b>Geographical Limits</b>	
<b>Evidence of Policy</b>	<i>[ie, Policy Wording &amp; Schedules (or Policy summary/translation where policy issued in another language); Certificate of Currency dated x (where available)]</i>
<b>Appropriateness of Policy</b>	<i>[insert commentary]</i>

*[Insert page break]*

## **SCHEDULE B: Risk profiling and analysis approach**

*Insert details of the approach used to identify and analyse risks. All business risks must be considered, whether insurable or not. The approach used should be consistent with the International Standard ISO 31000-2009, Risk Management – Principles and guidelines, as published by the International Organization for Standardization.*

*Explain how the risk is evaluated (or rated) and set out your risk evaluation criteria or descriptors in tables below.*

*[Insert page break]*

## **SCHEDULE C: Insurable risk analysis – key risks**

*Set out in table form the following:*

- ▼ each key risk identified, including a general risk type (eg, Product liability – water; Financial risks; etc) and a more detailed description of the risk or the risk scenario identified (eg, product causing property damage or personal injury; failure of critical equipment; inadequate funds available resulting in licensee's bankruptcy; etc)
- ▼ your assessment or evaluation of the consequences of each key risk, including your risk rating (eg, this will be numbers and/ or descriptors, as described in Schedule B)
- ▼ an indication of whether or not the key risk is insurable or not (eg, yes/no/partially)
- ▼ an indication of what the applicable insurance or insurances for that key risk would be (ie, the policy type)
- ▼ an indication of whether the key risk is in fact insured (eg, yes/no/partially)
- ▼ any further insurance comments on the insurance cover for the risk (eg, extent of the cover) and the appropriateness of that cover (eg, This exposure will be picked up under the property policies of the asset owner; Generally the combined liability policy will provide cover for these risks, except in relation to...; etc)

*[Insert page break]*

## **SCHEDULE D: Wholly or partially uninsured risks**

*For each key risk that is currently wholly or partially uninsured, the following information should be set out in table form:*

- ▼ a description of each wholly or partially uninsured risk (eg, Legislative breaches of OH&S, environmental, etc; Asset damage; Inadequate funds available resulting in licensee's bankruptcy; etc)
- ▼ whether there is an available insurance solution (eg, Yes, No, Partial or an explanatory comment such as: 'A statutory liability policy is available to provide cover for innocent breaches of legislation', etc) and
- ▼ comment as to why the risk is wholly or partially uninsured, and why this does not affect the certification given in this report (eg, A commercial decision has been made to self insure these exposures, and it is not considered a material risk exposure with respect to the licensee's project; Responsibility for insurance of the asset rests with the owner of the asset, not the licensee; Such cover is not typically purchased due to the high cost of obtaining such cover and therefore the licensee's insurance arrangements are considered standard industry practice; etc).

*[Insert page break]*

## **SCHEDULE E: Certificates of currency**

*The insurance broker may attach certificates of currency to the report where the insurances are already in place. If the certificates of currency are not attached to the report, the licensee must separately provide them to IPART before commencing commercial operation or supply of services.*

## Glossary

ACN	Australian Company Numbers
AS/ISO 10002-2006	Australian Standard entitled AS ISO 10002 – 2006, <i>Customer Satisfaction – Guidelines for complaints handling in organizations.</i>
ISO 31000-2009	Risk management standards
NWI	National Water Initiative
RoLR	Retailer of last resort