





# Alinta Energy Retail Services Pty Ltd – retail audit fact sheet

The Australian Energy Regulator (AER) required Alinta Energy Retail Services Pty Ltd (Alinta) to undertake an independent audit of its compliance with specific requirements of the National Energy Retail Law (Retail Law) and National Energy Retail Rules (Retail Rules).

In 2017 Alinta was audited by BDO with respect to disconnection obligations under the Retail Law and Retail Rules as well as its compliance reporting obligations to the AER under Retail Law.

This fact sheet provides a summary of audit findings.

Grade	What the auditors found
 Grade: Green	<p><b>Retail Rule 111 – De-energisation for not paying bill</b></p> <p>The auditor found Alinta's processes and policies were effective with only minor instances of non-compliance.</p> <p>The auditor made some recommendations around improvements to policies and procedures as well as staff retraining processes. Alinta has implemented some of the recommendations as made by the auditor with the remaining actions to be completed before the end of the financial year.</p>
 Grade: Green	<p><b>Retail Rule 115 – De-energisation for non-notification by move-in or carry over customers</b></p> <p>The auditor found Alinta's policies and processes were compliant with an isolated instance of non-compliance.</p> <p>The auditor made some recommendations around further improvements including staff re-training and ongoing monitoring of the effectiveness of quality assurance processes. Alinta has advised that it has already identified areas for further improvement with some changes already being made and the remainder by the end of the financial year.</p>
 Grade: Green	<p><b>Retail Rule 116 – When retailer must not arrange de-energisation</b></p> <p>The auditor found Alinta's policies and processes were compliant with minor instances of non-compliance.</p> <p>The auditor made some recommendations to further improve processes in this area including formally documenting procedures. Alinta has committed to continue to made improvements based on the recommendations made by the auditor.</p>
 Grade: Yellow	<p><b>Compliance reporting to the AER</b></p> <p>The auditor found that there were deficiencies with respect to Alinta's compliance reporting to the AER.</p> <p>The auditor made recommendations to improve processes in this area including: documenting procedures to be followed with regard to obligation reporting requirements and establishing controls to validate completeness of complaint data within existing systems. In response, Alinta has implemented interim procedures and processes to address the deficiencies identified by the auditor with more comprehensive improvements to be implemented by the end of the financial year.</p>

