



Ergon Energy Retail Life Support Compliance Audit

In June 2019 the Australian Energy Regulator (AER) required Ergon Energy to carry out a compliance audit in connection with its life support obligations under the National Energy Retail Law and Rules.

Ergon Energy was required to assess the adequacy and effectiveness of their compliance policies, procedures and systems and to assign an overall grading of:

- **Adequate/Effective:** Minimal or no action required, with only minor and low risk findings. Improvement opportunities exist to achieve best practice in meeting the relevant obligations.
- **Partially adequate/effective:** Improvement is required to some key processes and controls, and is likely to require substantial effort in order to support compliance with the relevant obligations.
- **Inadequate/Ineffective:** Significant improvement is required, and may require urgent revision to or implementation of processes and controls in order to support compliance.

Findings

Registration of life support equipment

96 per cent of policies, procedures and systems were found to be adequate and effective.

Confirmation of premises as requiring life support equipment

100 per cent of policies, procedures and systems were found to be adequate and effective.

Ongoing retailer and distributor obligations

100 per cent of policies, procedures and systems were found to be adequate and effective.

Deregistration of premises

97 per cent of policies, procedures and systems were found to be adequate and effective.

Registration and deregistration details kept by retailers and distributors

100 per cent of policies, procedures and systems were found to be adequate and effective.

Reporting requirements for regulated entities – AER Compliance Procedures and Guidelines

100 per cent of policies, procedures and systems were found to be adequate and effective.

Next steps

Ergon Energy is completing a remediation plan to address the audit recommendations.