



## Application for Alternative Sign-Off<sup>1</sup>

Annual Compliance Reports must be approved and signed in accordance with clause 3.4.3 of Compliance Systems and Reporting Energy Industry Guideline No. 4. If a licensee is unable to meet the criteria listed, clause 3.4.3(f) allows for an application for alternative sign-off. This form should be used for such applications.

### Licensee Details

Name of licensee:	
Date of application <sup>2</sup> :	
Name of person submitting:	
Phone and email:	

### Nominated signatories to approve and sign the annual compliance report

Any such option must be based on the licensee having a sound and effective compliance system and on providing the Commission with expert and independent assurance of those matters.

Name and position held by proposed alternative signatory #1:	
Name and position held by proposed alternative signatory #2 (if applicable):	
Period of proposed alternative sign-off:	
Describe licensee compliance system:  (Reference to AS ISO 37301:2023 procedures/policies that detail responsibility for ensuring compliance with licence requirements and governance review processes)	

Please provide an organisation chart showing where these positions sit within the structure of the licensee.

<sup>1</sup> Includes external and independent auditor, internal auditor, parent company director(s) and alternative options

<sup>2</sup> Application must be submitted to the Commission by 30 June, or a date otherwise agreed by the Commission, in respect of a regulatory year.

**Experience / suitability of signatory #1:**

- ▶ Why is the proposed alternative signatory appropriate for signing off the annual compliance report?
- ▶ What are their qualifications/expertise?
- ▶ How are they independent from the business?

**Experience / suitability of signatory #2 (if applicable):**

- ▶ Why is the proposed alternative signatory appropriate for signing off the annual compliance report?
- ▶ What are their qualifications/expertise?
- ▶ How are they independent from the business?

**Additional reasons and justifications**

If proposing a period of more than one year, please detail systems implemented to ensure the Commission is advised of officer changes and how the alternative sign-off will be reviewed in response to any changes.

**Declaration**

Where the applicant is a body corporate, the declaration must be made by a person authorised by body corporate to sign on its behalf.

This application for alternative sign off approval is being made having reviewed the alternative sign off options detailed in clause 3.4.3 of the Compliance Systems and Reporting Energy Industry Guideline No. 4. The alternative option being sought has also been made with regard to clause 3.8 of the Guideline.

Signed:

Name and position held:

Date:

Please submit completed form to: [compliance@escosa.sa.gov.au](mailto:compliance@escosa.sa.gov.au)