

CHECKLIST

Annual Compliance Reporting Checklist Major Water Retailers

PURPOSE

This document gives a summary of the information that must be provided Major Water Retailers in their Annual Compliance Report (**Report**). Retailers should familiarise themselves with Water Industry Guideline No.1 – Compliance Systems & Reporting (**Guideline**), which contains detailed information on reporting and compliance obligations.

A major retailer means a retailer which provides retail services to more than 50,000 connections, with major licensee having the same meaning.

REGULATORY INSTRUMENTS

- Water Industry Guideline No.1 – Compliance Systems & Reporting (WG1/2)

Available at: <http://www.escosa.sa.gov.au/water-overview/codes-guidelines/water-guidelines.aspx>

- Retail Licence – Major Retailer

Available at: <http://www.escosa.sa.gov.au/water-overview/licensing/retail-licences.aspx>

IMPORTANT DATES

- 31 May – Requests for Alternate Sign-Off Arrangements Due (refer clause 3.10)
- 31 August – Annual Compliance Report Due (refer clause 3.6.1)

SUBMISSION CHECKLIST

- The Report must contain:
 - Annexure D – Responsibility Statement and sign-off (refer Guideline page 21)
 - Schedule A – List of all relevant obligations (refer Guideline page 23) and
 - Schedule B – List of any non-compliances (refer Guideline page 23).
- The Report must be signed-off in accordance with clause 3.6.3 of the Guideline (refer Guideline page 7).
- The Report must clearly state the name and designation of all signatories (the report must indicate who is the external director when this option is utilised).
- Schedule A of the report must set out an exhaustive list of the licensee's applicable obligations (refer Annexure B on page 14 of the Guideline).
- Reference should be made in the current Report, to any issues that were raised by the Commission, in respect of the previous Report.
- A copy of a current insurance certificate of currency, covering the nature of the operations carried on under this licence, must be provided (refer Retail Licence clause 13).
- Report must be emailed to compliance@escosa.sa.gov.au (hard copy reports not required).

FURTHER INFORMATION

If you have any questions or would like to discuss any matter relating to regulatory reporting, please contact the Commission on 08 8463 4444 or at escosa@escosa.sa.gov.au