

## Annual Compliance Reporting Checklist Minor and Intermediate Water Retailers

### PURPOSE

This document gives a summary of the information that must be provided by Minor and Intermediate 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 minor retailer means a retailer which provides retail services to 500 or fewer connections, with minor licensee having the same meaning. An intermediate retailer means a retailer which provides retail services to more than 500 but less than 50,000 connections, with intermediate 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** – Minor or Intermediate 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)
- 30 November – Annual Compliance Report Due (refer clause 3.6.1)

### SUBMISSION CHECKLIST

1. The Report must contain:
  - a. Annexure D – Annual Compliance Report (refer Guideline page 24)
  - b. Schedule A – List of all relevant obligations (refer Guideline page 26) and
  - c. Schedule B – List of any non-compliances (refer Guideline page 28).
2. The Report must be signed-off in accordance with clause 3.6.3 of the Guideline (refer Guideline page 7).
3. 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).
4. Reference should be made in the current Report, to any issues that were raised by the Commission, in respect of the previous Report.
5. 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).
6. Report must be emailed to [reporting@escosa.sa.gov.au](mailto:reporting@escosa.sa.gov.au) (hard copy reports not required).

### SUPPORTING MATERIALS

- **Annual Compliance Report** – Template

### 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](mailto:escosa@escosa.sa.gov.au)