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**ELECTRICITY INDUSTRY ACT 2004**

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**ELECTRICITY INDUSTRY  
CUSTOMER TRANSFER CODE  
2004**



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**APPROVAL BY MINISTER**

I, ERIC RIPPER, Minister for Energy for the State of Western Australia, under section 39(2a) of the *Electricity Industry Act 2004* hereby establish the code contained in this document in respect of the matter mentioned in section 39(2)(b) of the Act, which may be cited as the "Electricity Industry Customer Transfer Code 2004".

ERIC RIPPER.

Dated at Perth this 15th day of December 2004.

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## ELECTRICITY INDUSTRY ACT 2004

## ELECTRICITY INDUSTRY CUSTOMER TRANSFER CODE 2004

## PART 1—PRELIMINARY

## 1.1 Commencement

This *Code* comes into operation upon the earlier to occur of—

- (a) the commencement of regulations made under section 12 of the Act that prescribe this *Code* as a term or condition of a licence; or
- (b) the commencement of a determination by the *Authority* under section 11 of the Act that this *Code* is a term or condition of a licence.

## 1.2 Application

This *Code* applies to—

- (a) a *network operator* if it is a term or condition of the *network operator's* licence under Part 2 of the Act that the *network operator* comply with this *Code*; and
- (b) a *retailer* if it is a term or condition of the *retailer's* licence under Part 2 of the Act that the *retailer* comply with this *Code*; and
- (c) the *independent market operator*, to the extent that the *market rules* provide; and
- (d) the *Authority*.

## 1.3 Definitions

“**access arrangement**” has the meaning given to it in the *Access Code*.

{Note: At the time this *Code* was made, the definition in the *Access Code* was—

“ ‘**access arrangement**’ means an arrangement for *access* to a *covered network* that has been *approved* by the *Authority* under this *Code*.”}

“**Access Code**” means the code made by the Minister under Part 8 of the Act.

{Note: At the time this *Code* was made, the *Access Code* was the *Electricity Networks Access Code 2004*.}

“**access contract**” means an agreement between a *network operator* and a *retailer* for the *retailer* to have ‘*access*’ (as defined in section 103 of the Act) to ‘*services*’ (as defined in section 103 of the Act) on a *network*.

“**associate**” has the meaning given to it in the *Access Code*.

{Note: At the time this *Code* was made, the definition in the *Access Code* was—

“ ‘**associate**’, in relation to a person and subject to section 13.2 [of the *Access Code*, which extends the meaning of ‘*associate*’ to include any *other business* of the *service provider*], has the meaning it would have under Division 2 of Part 1.2 of the *Corporations Act 2001* of the Commonwealth if sections 13, 14, 16(2) and 17 of that Act were repealed, except that a person will not be considered to be an associate of a *service provider* solely because that person proposes to enter, or has entered, into a contract, arrangement or understanding with the *service provider* for the provision of a *covered service*.”}

“**Authority**” means the Economic Regulation Authority established under the *Economic Regulation Authority Act 2003*.

“**business day**” means any day that is not a Saturday, a Sunday or a public holiday in the relevant area.

“**charges**” means all charges payable by a *retailer* to a *network operator* or, if applicable, the *independent market operator* in connection with the transfer of *electricity* at an *exit point*.

“**checksum**” means a single digit numeric identifier that is calculated to reduce the frequency of *UMI* data entry errors which cause *transfer* errors.

“**Code**” means this Electricity Industry Customer Transfer Code 2004.

“**communication rules**” has the meaning given to it in clause 5.1(1).

“**contact details**” means the *notified electronic* communication address, *notified* facsimile number, *notified* postal address and *notified* telephone number of a *network operator* or *retailer*, as applicable.

“**contestable**” in relation to a *customer*, means a *customer* at an *exit point* where the amount of *electricity* transferred at the *exit point* exceeds the amount prescribed under section 93 of the *Electricity Corporation Act 1994* or under another enactment dealing with the progressive introduction of *customer* contestability.

“**CTR**” or “**customer transfer request**” means a request by a *retailer* to a *network operator* made using the form *published* under clause 4.1 to *transfer* a *contestable customer* at an *exit point* in the *network operator's network* from one *retailer* to another.

“**current retailer**”, in relation to a *CTR*, means the *retailer* currently supplying the *contestable customer*.

“**customer**” has the meaning given in section 3 of the Act.

{Note: At the time this *Code* was made, the definition in section 3 of the Act was—

“ ‘**customer**’ means a person to whom *electricity* is sold for the purpose of consumption.”}

“**data**” means historical consumption data or standing data, as applicable.

“**data request**” means a request for historical consumption data or a request for standing data, as applicable.

“**data request form**” means a request for historical consumption data form or a request for standing data form, as applicable, published by the network operator under clause 3.1(1).

“**dispute**” has the meaning given to it in clause 7.1(1).

“**disputing party**” has the meaning given to it in clause 7.1(1).

“**distribution connection**” means a point at which electricity is transferred to or from the distribution system.

“**distribution system**” has the meaning given to it in the Act.

{Note: At the time this *Code* was made, the definition in the Act was—

“ ‘**distribution system**’ means any apparatus, equipment, plant or buildings used, or to be used, for, or in connection with, the transportation of electricity at nominal voltages of less than 66kv.”}

“**electricity**” has the meaning given to it in the Act.

{Note: At the time this *Code* was made, the definition in the Act was—

“ ‘**electricity**’ includes electrical energy of any kind however produced, stored, transported or consumed.”}

“**electronic**”, in relation to a *notice*, means a communication of information by means of guided or unguided electromagnetic energy, or both, by way of packet transfer between and within computer networks using the TCP/IP or other widely-accepted protocol for packet transfer.

“**erroneous transfer**” is a *transfer* that was made without the *verifiable consent* of the *contestable customer* that was *transferred*.

{Note: For example, a *transfer* to the wrong *retailer* or a *transfer* of the wrong *contestable customer*.}

“**exit point**”

(a) in relation to a ‘covered network’ (as defined in the *Access Code*)—has the meaning given to it in the *Access Code*; and

(b) otherwise—means a *transmission connection* or a *distribution connection* on a *network* at which *electricity* is more likely to be transferred out of the *network* than transferred into the *network*, but does not include a point at which *electricity* is transferred between the *transmission system* and the *distribution system*.

{Note: At the time this *Code* was made, the definition in the *Access Code* was—

“ ‘**exit point**’ means a point on a *covered network* identified as such in an *access contract* at which, subject to the *access contract*, *electricity* is more likely to be *transferred* out of the *network* than *transferred* into the *network*.”}

“**good electricity industry practice**” means the exercise of that degree of skill, diligence, prudence and foresight that a skilled and experienced person would reasonably and ordinarily exercise under comparable conditions and circumstances consistent with applicable laws and applicable recognised codes, standards and guidelines.

“**historical consumption data**”, in relation to a *contestable customer*, means the metering data of the type set out in clause A4.2 of Annex 4 for the *contestable customer*.

“**incoming retailer**”, in relation to a *CTR* or *transfer*, means the *retailer* that will supply a *contestable customer* after the *transfer time*.

“**independent market operator**” means the independent market operator appointed under the *market rules*.

“**interval meter**” means an *electricity* meter that records *electricity* consumption at regular time intervals of no more than half an hour.

“**market rules**” has the meaning given to it in the Act.

{Note: At the time this *Code* was made, the definition of the Act was—

“ ‘**market rules**’ has the meaning given in section 123(1).”

At the time this *Code* was made section 123(1) of the Act read—

“Without limiting section 122, the regulations are to provide for there to be rules (the “**market rules**”) relating to the market and to the operation of the South West interconnected system setting out or dealing with such matters as are prescribed by the regulations.”}

“**meter**”, in relation to a *contestable customer* at an *exit point*, means the meter or meters at or about the *exit point* used to measure the supply of *electricity* to the *contestable customer*.

“**metering code**” means a code in relation to the matters in section 39(2)(a), made by the *Authority* under section 39(2) or the Minister under section 39(2a) of the Act.

“**metropolitan area**” means—

(a) the region described in the Third Schedule to the *Metropolitan Region Town Planning Scheme Act 1959*; and

(b) the local government district of Mandurah; and

(c) the local government district of Murray; and

(d) the areas constituted by—

- (i) the townsite of Albany, in the local government district of City of Albany; and
- (ii) the townsite of Bunbury, in the local government district of City of Bunbury; and
- (iii) the townsite of Geraldton, in the local government district of City of Geraldton; and
- (iv) the townsites of Kalgoorlie and Boulder, in the local government district of City of Kalgoorlie-Boulder; and
- (v) the townsite of Karratha, in the local government district of Shire of Ashburton; and
- (vi) the townsites of Port Hedland and South Hedland, in the local government district of Town of Port Hedland.

“**network**” means the *transmission system, distribution system* or both, as applicable, operated by the *network operator*.

“**network operator**” means a person who holds a distribution licence, integrated regional licence or transmission licence under Part 2 of the Act, and if any enactment (including regulations made under section 31A of the *Electricity Corporation Act 1994*) has the effect of deeming the relevant licence to be held by a part of the person, then that part.

“**nominated transfer date**” has the meaning given to it in clause 4.7.

“**notice**” means a notice or other communication in *writing* under Part 6 and includes a *data request* or a *CTR*.

“**notified**”, in relation to a telephone number, postal address, facsimile number or *electronic communication address*, means *notified* under Part 6.

“**notify**” means to give a *notice*.

“**objection**” means a *network operator’s* objection to a *CTR* under Part 4.

“**previous retailer**”, in relation to a *transfer*, means the *retailer* that supplied the *contestable customer* before the *transfer time*.

“**publish**” has the meaning given to it in clause 1.6.

“**registered retailer**” means—

- (a) a retailer who has an access contract; and
- (b) a retailer or prospective retailer who has notified the network operator that it wishes to receive notices of things published by the network operator under this Code.

“**request for historical consumption data**” means a request for *historical consumption data* made by a *retailer* to a *network operator* under Part 3.

“**request for standing data**” means a request for *standing data* made by a *retailer* to a *network operator* under Part 3.

“**retailer**” means a person who holds a retail licence or integrated regional licence under Part 2 of the Act, and if any enactment (including regulations made under section 31A of the *Electricity Corporation Act 1994*) has the effect of deeming the relevant licence to be held by a part of the person, then that part.

“**standing data**”, in relation to a *contestable customer*, means the standing data of the type set out in clause A4.1 of Annex 4 for the *contestable customer*.

“**trading day**” has the meaning given to it in the *market rules*.

{Note: At the time this Code was made, the definition in the *market rules* was—

“**trading day**” A period of 24 hours commencing at 8 AM on any after Energy Market Commencement, except where the IMO declares that part of a Trading Day is to be treated as a full Trading Day under clause 9.1.1, in which case that part is a Trading Day.”}

“**transfer**” means a transfer from one *retailer* to another under this Code of rights and obligations at an *exit point* in connection with the supply of *electricity* to a *contestable customer*.

“**transfer date**” means the date on which a *transfer* occurs under, as applicable, clauses 4.11(2), 4.11(3)(c) and 4.11(4).

“**transfer time**” means the time on which a *transfer* occurs under, as applicable, clauses 4.11(2), 4.11(3)(c) and 4.11(4).

“**transmission connection**” means a point at which *electricity* is transferred to or from the *transmission system*.

“**transmission system**” has the meaning given to it in the Act.

{Note: At the time this Code was made, the definition in the Act was—

“**transmission system**” means any apparatus, equipment, plant or buildings used, or to be used, for, or in connection with, the transportation of electricity at nominal voltages of 66kv or higher.”}

“**UMI**” or “**unique market identifier**” means the unique market identifier assigned to an *exit point*.

“**valid**”—

- (a) in relation to a *data request* means, subject to clauses 3.4(2) and 3.7(4), that the *data request* is complete and contains correct information; and
- (b) in relation to a *CTR* means, subject to clause 4.9(5), that the *CTR* has not been subject to an *objection* by the *network operator* under clauses 4.9(1) and 4.9(3).

“**verifiable consent**”, in relation to a *request for historical consumption data* or a *CTR*, means consent that is given by a *contestable customer*—

- (a) expressly; and
- (b) in *writing*; and
- (c) after the *retailer* obtaining the consent has in plain language appropriate to the *contestable customer* disclosed all matters materially relevant to the giving of the consent, including each specific purpose for which the consent will be used; and
- (d) by a person whom a *retailer* (acting reasonably) would consider competent to give consent on the *contestable customer's* behalf; and
- (e) which has not expired under clause 1.5.

“**writing**” includes any electronic form capable of being reduced to paper form by being printed.

#### 1.4 Interpretation

(1) Unless the contrary intention is apparent—

- (a) The *Interpretation Act 1984* applies to the interpretation of this *Code*.
- (b) A reference in this *Code* to a document or a provision of a document includes an amendment or supplement to, or replacement of or novation of, the document or provision.
- (c) A reference in this *Code* to a person includes the person's executors, administrators, successors, substitutes and permitted assigns.
- (d) Where italic typeface has been applied to some words and expressions in this *Code*, it is solely to indicate that those words or expressions may be defined in clause 1.3 or elsewhere, and in interpreting this *Code* the fact that italic typeface has or has not been applied to a word or expression is to be disregarded. Nothing in this clause 1.4(1)(d) limits the application of clause 1.3.
- (e) Where information in this *Code* is set out in braces (namely “{“ and ”}”), whether or not preceded by the expression “Note”, “Outline” or “Example”, the information—
  - (i) is provided for information only and does not form part of this *Code*; and
  - (ii) is to be disregarded in interpreting this *Code*; and
  - (iii) might not reflect amendments to this *Code* or other documents or written laws.
- (f) “**Including**” and similar expressions are not words of limitation in this *Code*.

(2) In this *Code*—

- (a) a reference to a *contestable customer's exit point* is a reference to the *exit point* on the *network operator's network* that is used for the supply of *electricity* to the *contestable customer*; and
- (b) a reference to a *contestable customer's meter* is a reference to a *meter* at the *contestable customer's exit point*; and
- (c) a reference to a *contestable customer's data* is a reference to the *data* relating to the *contestable customer*; and
- (d) a reference to a *contestable customer's UMI* and *checksum* is a reference to the *UMI* and *checksum* assigned by a *network operator* to the *contestable customer's exit point*.

#### 1.5 Expiry of verifiable consent

*Verifiable consent* expires at the earlier of—

- (a) the time that either, as applicable, the *historical consumption data* is provided or the *transfer* occurs; or
- (b) the time specified in or ascertainable from the *verifiable consent* as the time of expiry of the *verifiable consent*; or
- (c) the first anniversary of the date the *verifiable consent* was first given.

#### 1.6 Meaning of ‘publish’

If the *network operator* is required to “**publish**” a thing, the *network operator* must:

- (a) place the thing upon an internet website under the *network operator's* control; and
- (b) send an *electronic notice* to each *registered retailer* advising the *registered retailer* that the thing has been placed on the internet website.

### PART 2—OBJECTIVES AND ARMS-LENGTH TREATMENT

#### 2.1 Objectives

(1) The objectives of this *Code* are to—

- (a) set out rules for the provision of information relating to *contestable customers* and the process for *transferring contestable customers* from one *retailer* to another *retailer* in order to promote retail competition; and
- (b) protect the interests of *contestable customers* by ensuring that a *contestable customer's verifiable consent* is obtained before—
  - (i) a *retailer* may request the *contestable customer's historical consumption data*; or
  - (ii) a *transfer* of that *contestable customer* may proceed;

and

- (c) specify the responsibilities and obligations of *retailers* and *network operators* in processing and implementing the *transfer* of a *contestable customer*.
- (2) A *retailer*, a *network operator* and, if applicable, the *independent market operator* must have regard to the objectives of this *Code* when acting under this *Code*, whether or not the provision under which they are acting refers expressly to the objectives of this *Code*.

## 2.2 Network operator must treat retailers at arms-length

- (1) A *network operator*:
- (a) must treat all *retailers* which are its *associates* on an arms-length basis; and
  - (b) without limiting clause 2.2(1)(a), must ensure that no *retailer* which is its *associate* receives a benefit in respect of this *Code*, unless either—
    - (i) the benefit is attributable to an arms' length application of this *Code* to the *retailer*; or
    - (ii) the *network operator* also makes the benefit available to all other *retailers*.
- (2) Subject to—
- (a) the 'ringfencing objectives' (as defined in the *Access Code*) and any 'ringfencing rules' (as defined in the *Access Code*) made under the *Access Code*; and
  - (b) any regulations made under section 31A of the *Electricity Corporation Act 1994*,
- if the *network operator* is an 'integrated provider' (as defined in the *Access Code*), a reference in clause 2.2(1) to an *associate* of the *network operator* does not include the integrated provider.

## PART 3—INFORMATION PROVISION

{*Outline: This Part —*

- *establishes the processes through which retailers can obtain information from network operators to assist them in providing quotations for the supply of electricity to contestable customers; and*
- *outlines obligations of retailers and network operators in requesting and providing this information; and*
- *ensures that contestable customers' historical consumption data is only provided to retailers with the verifiable consent of the contestable customer to the provision of the data.*}

### 3.1 Forms for data requests

- (1) A *network operator* must *publish*—
- (a) a *request for standing data* form, which must comply with Annex 1; and
  - (b) a *request for historical consumption data* form, which must comply with Annex 2.
- (2) A *network operator* may from time to time *publish* an amended *data request form*, provided that the amended *data request form* complies with Annex 1 or Annex 2, as applicable.

### 3.2 Retailer may submit data request

- (1) A *retailer* may request *data* in relation to a *contestable customer* from a *network operator* by completing a *data request form* and submitting it to the *network operator* under clause 3.4.
- (2) Unless otherwise agreed between the *network operator* and the *retailer*, a separate *data request* must be submitted for each *exit point*.

### 3.3 UMI discovery

Annex 5 has effect.

### 3.4 Submitting a data request

- (1) Unless otherwise agreed with a *network operator*, a *retailer*—
- (a) must submit a *data request* to the *network operator* *electronically*; and
  - (b) must not submit to a *network operator* in a *business day*—
    - (i) more than 20 *requests for standing data*; and
    - (ii) more than 20 *requests for historical consumption data*.
- (2) If on a *business day* a *retailer* has already submitted the maximum number of a type of *data request* permitted under clause 3.4(1)(b), then (unless the *network operator* and *retailer* agree otherwise) any further *data requests* of that type submitted by the *retailer* to the *network operator* on that *business day* are not *valid*.

### 3.5 Verifiable consent required for historical consumption data

- (1) By submitting a *request for historical consumption data*, a *retailer* represents and warrants that it has the *contestable customer's verifiable consent* to obtain the *historical consumption data*.
- (2) The *retailer* makes the representation and warranty in clause 3.5(1) on each day until the *network operator* provides the *historical consumption data*.
- (3) If the *contestable customer's verifiable consent* ceases to apply before the *network operator* provides the *historical consumption data*, the *retailer* must withdraw the *request for historical consumption data* under clause 3.6.
- {*Example: The verifiable consent of the contestable customer ceases to apply if it is withdrawn by the contestable customer.*}

(4) A breach of the representation and warranty in clause 3.5(1) is a breach of this *Code*.

{Note: If this *Code* is being applied as a licence condition under sections 11 or 12 of the Act, a breach of this *Code* will be a breach of the relevant licence.}

{Note: In addition to any sanctions for breach of licence, a person who breaches the representation and warranty in clause 3.5(1) may be liable in other ways for example misleading or deceptive conduct in breach of the *Trade Practices Act 1974*. }

### 3.6 Withdrawing a request for historical consumption data

(1) Unless otherwise agreed with the *network operator*, a *retailer* may *electronically notify* a *network operator* that it withdraws a *request for historical consumption data* submitted by it to the *network operator* at any time before the *network operator* provides the *historical consumption data*.

(2) The *retailer* must pay any reasonable costs incurred by the *network operator* for work performed in relation to the *request for historical consumption data* until the earlier of:

- (a) the time the *network operator* receives and is reasonably able to act upon the *notification* under clause 3.6(1); and
- (b) the end of the *business day* that the *network operator* receives the *notification* under clause 3.6(1).

(3) Subject to clause 3.5(2), if a *retailer* withdraws a *request for historical consumption data* under clause 3.6(1) the *request for historical consumption data* is of no effect.

### 3.7 Invalid data requests

(1) Subject to clause 3.7(3) and unless otherwise agreed with a *retailer*, a *network operator* must *electronically notify* a *retailer* if its *data request* is not *valid*.

(2) The *network operator* must comply with clause 3.7(1) within—

- (a) if the *data request* is one of up to 10 *data requests* submitted by the *retailer* to the *network operator* on the same *business day*—1 *business day* after the *business day* on which the *network operator* received the *data request*; and
- (b) if the *data request* is one of more than 10 *data requests* submitted by the *retailer* to the *network operator* on the same *business day*—2 *business days* after the *business day* on which the *network operator* received the *data request*.

(3) The *network operator* may make reasonable endeavours to resolve with the *retailer* any omissions or errors in a *data request* before *notifying* the *retailer* under clause 3.7(1).

(4) If under clause 3.7(3) the omissions or errors are successfully resolved, the *data request* is—

- (a) *valid*; and
- (b) taken to have been submitted at the time the omissions or errors were resolved.

(5) If a *network operator* *notifies* a *retailer* under clause 3.7(1) that a *data request* is not *valid*, the *data request* is of no effect.

### 3.8 Network operator's obligations following receipt of a valid data request

(1) Following receipt of a *valid data request*, the *network operator* must (subject to clause 3.8(3)) use all reasonable endeavours to provide the requested *data* to the *retailer*.

(2) The *network operator* must (subject to clause 3.8(3)) provide the requested *data* under clause 3.8(1)—

- (a) *electronically*, in a format:
  - (i) if *communication rules* have been approved by the *Authority*—in accordance with the *communication rules*; or
  - (ii) if no *communication rules* have been approved by the *Authority*—in accordance with the *metering code*;
 and
- (b) unless otherwise agreed with the *retailer*, within the time specified in the following table—

Total number of that type of <i>data request</i> submitted by the <i>retailer</i> to the <i>network operator</i> on the <i>business day</i>	Request received by 3.00 pm on a <i>business day</i>	Request received after 3.00 pm on a <i>business day</i>
	<i>Data</i> must be provided as soon as possible, but by no later than 5.00 pm on the <i>business day</i> which is the specified number of <i>business day(s)</i> after the <i>business day</i> on which the <i>data request</i> is submitted.	
Up to 5	2	3
6 to 10	4	5
11 to 20	5	6

(3) If—

- (a) a *retailer* submits a *data request* under clause 3.4; and
- (b) the *network operator* has not allocated a *UMI* for the *contestable customer's exit point*; and
- (c) the *network operator* is unable to determine a single *exit point* to which the *data request* relates,

then—

- (d) the *network operator* must within 1 *business day* after receiving the *data request electronically* notify the *retailer* of the *exit points* to which it is most likely that the *data request* relates, up to a maximum of the 10 most likely *exit points*; and
- (e) the *network operator* is not required to comply with clauses 3.8(1) and 3.8(2) in respect of the *data request*.

### 3.9 Retailer's obligations following receipt of data

(1) A *retailer* may use *data* relating to a *contestable customer* only for either or both of the following purposes—

- (a) providing the *contestable customer* with a quotation for the supply of *electricity* by the *retailer* to the *contestable customer*; and
- (b) initiating a *transfer* in relation to the *contestable customer*.

(2) Despite clause 3.9(1), unless otherwise requested by the *contestable customer* a *retailer* may aggregate a *contestable customer's historical consumption data* with other *contestable customers' historical consumption data*, and may use the aggregated data for internal business development purposes.

(3) A *retailer* must not disclose a *contestable customer's data* to any other person without the *verifiable consent* of the *contestable customer* except if—

- (a) the disclosure is made—
  - (i) to a employee, officer, agent, contractor, consultant or technical advisor of the *retailer* who agrees to be bound by the undertakings under this clause 3.8(3); and
  - (ii) for a purpose permitted by this clause 3.8(3);
 or
- (b) the disclosure is required or allowed under an enactment, or a court or tribunal constituted under an enactment which has jurisdiction over the *retailer*; or
- (c) the *data* has entered the public domain other than by breach of this clause 3.8(3).

(4) A *retailer* must keep a copy of a *verifiable consent* given to it by a *contestable customer* in relation to—

- (a) a *request for historical consumption data* made by it in relation to the *contestable customer*; and
- (b) a disclosure made by it to another party under clause 3.9(3) in relation to the *contestable customer*,

for 2 years after the date the *verifiable consent* was given.

### 3.10 Charges for standing data and historical consumption data

(1) A *network operator* must not charge for the provision of *standing data*.

(2) A *network operator* may charge for the provision of *historical consumption data* and, unless the *metering code* provides otherwise, the charge—

- (a) if the *historical consumption data* is for 12 months or less—must not be more than \$45 per *request for historical consumption data*; and
- (b) if the *historical consumption data* is for more than 12 months—is to be determined by agreement between the *network operator* and the *retailer*, and should reflect the reasonable cost incurred by the *network operator* in providing the *historical consumption data*.

(3) The *Authority* must review the amount set out in clause 3.10(2)(a) 12 months after this *Code* commences.

## PART 4—TRANSFER OF CONTESTABLE CUSTOMERS

{*Outline: This Part—*

- *establishes the processes through which a contestable customer can be transferred from one retailer to another retailer; and*
- *outlines the obligations of retailers and network operators in requesting and effecting the transfer of a contestable customer; and*
- *ensures that the transfer of a contestable customer only occurs with the verifiable consent of the contestable customer.*}

### 4.1 Form for a CTR

(1) A *network operator* must *publish* a *CTR* form, which must comply with Annex 3.

(2) A *network operator* may from time to time *publish* an amended *CTR* form, provided that the amended *CTR* form complies with Annex 3.

### 4.2 Retailer may submit a CTR

(1) A *retailer* may request that a *network operator* *transfer* a *contestable customer* to the *retailer* by submitting a *CTR* to the *network operator* under clause 4.5.

(2) Unless otherwise agreed between the *network operator* and the *retailer* a separate *CTR* must be submitted for each *exit point*.

#### 4.3 Reason for transfer

The reason specified in the *CTR* form for the *transfer* must be either—

- (a) to *transfer* a *contestable customer* to the *retailer* which submitted the *CTR*; or
- (b) to reverse an *erroneous transfer*.

#### 4.4 Prerequisites to submitting a CTR

- (1) Unless the *CTR* is to reverse an *erroneous transfer*, a *retailer* may only submit a *CTR* if it has an *access contract* for the *network*.
- (2) If a *CTR* is to reverse an *erroneous transfer*, the *retailer* that submits the *CTR* must—
  - (a) ensure (if necessary in consultation with the *contestable customer*) that the *contestable customer* was *transferred* to it or from it, as applicable, in error; and
  - (b) if it is the *incoming retailer* with respect to the *erroneous transfer*—confirm (if necessary and if applicable in consultation with the *network operator*, *independent market operator* and *contestable customer*) the identity of the *previous retailer* with respect to the *erroneous transfer*.

#### 4.5 Submitting a CTR

- (1) Unless otherwise agreed with the relevant *network operator*, a *retailer*—
  - (a) must submit a *CTR* to the *network operator* *electronically*; and
  - (b) must not submit to a *network operator*—
    - (i) more than 20 *CTRs* in a *business day*; or
    - (ii) more than 20 *CTRs* with the same *nominated transfer date*.
- (2) If on a *business day* a *retailer* has already submitted the maximum number of *CTRs* permitted under clause 4.5(1)(b)(i) then (unless the *network operator* and *retailer* agree otherwise) any further *CTRs* submitted by the *retailer* to the *network operator* on that *business day* are not *valid*.
- (3) If a *retailer* has already submitted the maximum number of *CTRs* with the same *nominated transfer date* permitted under clause 4.5(1)(b)(ii), then (unless the *network operator* and *retailer* agree otherwise) any further *CTRs* with the same *nominated transfer date* submitted by the *retailer* to the *network operator* are not *valid*.

#### 4.6 Retailer's representations and warranties in relation to a CTR

- (1) Unless the *CTR* is to reverse an *erroneous transfer*, by submitting a *CTR* to a *network operator* the *retailer* represents and warrants that—
  - (a) it will assume the rights and obligations regarding the supply of *electricity* to the *contestable customer* that is the subject of the *CTR* from the *transfer time*; and
  - (b) if the *retailer* requests in the *CTR* that a new *meter* be installed or the *transfer* of the *contestable customer* requires the installation of an *interval meter*—it will pay the costs of the requested *meter*, associated equipment and installation, to the extent that such costs would be incurred by a *network operator* acting in good faith and in accordance with *good electricity industry practice*, seeking to achieve the lowest sustainable costs of providing the metering capability; and  
{Note: if a *retailer* requests that a new *meter* be installed in a *CTR*, as well as being a *CTR* for the purposes of Part 3 of this *Code*, the *CTR* will also constitute a 'metering service order' under the *metering code*.}
  - (c) it has the *verifiable consent* of the *contestable customer* to effect the *transfer* to which the *CTR* relates.
- (2) The *retailer* makes the representations and warranties in clause 4.6(1) on each day until the *transfer* occurs or the *CTR* is withdrawn under clause 4.8.
- (3) If the *contestable customer's verifiable consent* ceases to apply before the *transfer* occurs, the *incoming retailer* must withdraw the *CTR* under clause 4.8.

{Example: The *verifiable consent* of the *contestable customer* ceases to apply if it is withdrawn by the *contestable customer*.}

- (4) A breach of a representation and warranty in clause 4.6(1) is a breach of this *Code*.

{Note: If this *Code* is being applied as a licence condition under sections 11 or 12 of the Act, a breach of this *Code* will be a breach of the relevant licence.}

{Note: In addition to any sanctions for breach of licence, a person who breaches the representation and warranty in clause 4.6(1) may be liable for misleading or deceptive conduct in breach of the *Trade Practices Act 1974*. }

#### 4.7 Nominated transfer date

Unless the *CTR* is to reverse an *erroneous transfer*, an *incoming retailer* must nominate a *transfer date* ("**nominated transfer date**"), which must be—

- (a) if the *exit point* is in a *metropolitan area*—at least 3 *business days* after the date the *CTR* is submitted; and
- (b) if the *exit point* is not in a *metropolitan area*—at least 5 *business days* after the date the *CTR* is submitted; and
- (c) in either case—no more than 50 *business days* after the date the *CTR* is submitted.

#### 4.8 Withdrawing a CTR

- (1) Unless otherwise agreed with the *network operator*, a *retailer* may *electronically notify* a *network operator* that it withdraws a *CTR* submitted by it to the *network operator* at any time before the *transfer* occurs.
- (2) The *retailer* must pay any reasonable costs incurred by the *network operator* for either or both of providing and installing a *meter* until the earlier of—
  - (a) the time the *network operator* receives and is reasonably able to act upon the *notification* under clause 4.8(1); and
  - (b) the end of the *business day* that the *network operator* receives the *notification* under clause 4.8(1).
- (3) Subject to clause 4.8(2) if a *retailer* withdraws a *CTR* under clause 4.8(1), the *CTR* is of no effect.

#### 4.9 Objections to a CTR

- (1) Subject to clause 4.9(4), a *network operator* must *object* to a *CTR* if one or more of the following applies—
  - (a) the *retailer* does not comply with clause 4.4(1); or
  - (b) information provided by the *retailer* in the *CTR* is inconsistent with the *network operator's* records in respect of the *contestable customer*; or
  - (c) the *meter* type at the connection point is inconsistent with that required under a *metering code* before the *contestable customer* may *transfer*, and the *CTR* does not request a new *meter*; or
  - (d) the *nominated transfer date* does not comply with clause 4.7; or
  - (e) the *CTR* is not *valid* under clause 4.5(2) or 4.5(3).
- (2) A *network operator* must not otherwise *object* to a *CTR*.
- (3) If a *network operator* *objects* to a *CTR* under clause 4.9(1), it must within 2 *business days* after the *CTR* was submitted, give an *electronic notice* to the *retailer* which submitted the *CTR* which—
  - (a) sets out all the reasons for the *objection*; and
  - (b) if clause 4.9(1)(a) applies—advises the *retailer* of the steps it needs to follow to enter into an *access contract*; and
  - (c) if clause 4.9(1)(b) applies—identifies the data that is inconsistent with the *network operator's* data; and
  - (d) if clause 4.9(1)(c) applies—advises the *retailer* of the *meter* change required under the *metering code* and gives an estimate of the likely costs of doing so; and
  - (e) if clause 4.9(1)(d) applies—advises the *retailer* why the *nominated transfer date* does not comply with clause 4.7.
- (4) A *network operator* may make reasonable endeavours to resolve with a *retailer* any potential grounds for *objection* prior to *objecting* to the *CTR*.
- (5) If under clause 4.9(4) the potential grounds for *objection* have been successfully resolved then, subject to clause 4.9(6), the *CTR* is—
  - (a) *valid*; and
  - (b) taken to have been submitted at the time the potential *objection* was resolved.
- (6) If (due to the time taken to resolve potential grounds for *objection*) the operation of clause 4.9(5)(b) would result in the original *nominated transfer date* not complying with clause 4.7, then the resolution of the potential grounds for *objection* must include an agreement on a revised *nominated transfer date* which complies with clause 4.7.
- (7) If a *network operator* *notifies* a *retailer* of an *objection* to a *CTR* under clause 4.9(1), the *CTR* is of no effect.

#### 4.10 Network operator's obligations following receipt of a valid CTR

- (1) Following receipt of a *valid CTR*, but subject to clauses 4.10(2) and 4.10(3), the *network operator* must—
  - (a) within 1 *business day* after it receives the *CTR*, *electronically notify* the *current retailer* of the *nominated transfer date*; and
  - (b) ensure that any new *meter* installation and new service installation required to effect the *transfer* is undertaken on or before the *nominated transfer date*; and
  - (c) ensure that either a scheduled meter read or a special meter read, as applicable, is conducted for the *contestable customer* on the *nominated transfer date*; and
  - (d) otherwise use all reasonable endeavours to effect the *transfer* under this Part 4.
- (2) If the *network operator* considers that it is unlikely to be able to meet the obligations under clause 4.10(1) within the timetable required under clause 4.10(1), then, subject to clause 4.10(3)—
  - (a) the *network operator* must within 2 *business days* after receiving the *CTR* *electronically notify* the *retailer* which submitted the *CTR* of the reasons why the timetable will not be met and its proposed timetable for the *transfer*; and
  - (b) the *retailer* which submitted the *CTR* may agree to the *network operator's* proposed timetable for the *transfer*, in which case the agreed timetable applies; and

- (c) if a timetable for the *transfer* agreed under clause 4.10(2)(b) involves a different *nominated transfer date*, the *network operator* must *electronically notify* the *current retailer* of the new *nominated transfer date* within 1 *business day* after agreement is reached under clause 4.10(2)(b); and
- (d) if the *retailer* which submitted the *CTR* does not agree to the timetable proposed by the *network operator*, then the *network operator* must, acting in good faith and in accordance with *good electricity industry practice*, endeavour to enable the *transfer* to occur on the *retailer's nominated transfer date*.

(3) If—

- (a) a *retailer* submits a *CTR* under clause 4.5; and
- (b) the *network operator* has not allocated a *UMI* for the *contestable customer's exit point*; and
- (c) the *network operator* is unable to determine a single *exit point* to which the *data request* relates,

then—

- (d) the *network operator* must within 1 *business day* after receiving the *CTR* *electronically notify* the *retailer* of the *exit points* to which it is most likely that the *CTR* relates, up to a maximum of the 10 most likely *exit points*; and
- (e) the *network operator* is not required to comply with clauses 4.10(1) and 4.10(2) in respect of the *CTR*.

#### 4.11 The transfer

(1) A *transfer* may only occur on a day the *contestable customer's meter* is actually read.

{Note: The actual read may comprise a special read or a scheduled read.}

(2) If the *contestable customer's meter* is read on the *nominated transfer date*, the *transfer* occurs at the start of the *trading day* on the *nominated transfer date*.

(3) If the *contestable customer's meter* is not read on the *nominated transfer date* then—

- (a) the *network operator* and the *incoming retailer* must work together to set a new *nominated transfer date* which (unless, subject to clause 4.7(c), the *incoming retailer* requests a later day) must be as close as practicable to the original *nominated transfer date*; and
- (b) the *network operator* must within 1 *business day* after the *nominated transfer date* *electronically notify* the *current retailer*—
  - (i) that the *meter* was not read on the *nominated transfer date*; and
  - (ii) of the new *nominated transfer date* agreed between the *network operator* and *incoming retailer* under clause 4.11(3)(a);

and

- (c) this clause 4.11 applies afresh in respect of the new *nominated transfer date* agreed between the *network operator* and *incoming retailer* under clause 4.11(3)(a).

(4) If a *CTR* is to reverse an *erroneous transfer* then the *transfer* occurs at the start of the *trading day* on the date of the *erroneous transfer*.

#### 4.12 Effect of a transfer on an access contract

{Note: The intention of this clause 4.12 is to—

- provide a mechanism for the *exit points* specified in a *retailer's access contract* to be automatically updated to accommodate a *transfer*; and
- override any provisions in a *retailer's access contract* which act to hinder or frustrate the *transfer* or are otherwise inconsistent with the objectives of this *Code*; and
- allow other provisions in a *retailer's access contract* which relate to the addition or removal of *exit points* to apply so long as these do not act to hinder or frustrate the *transfer*.}

(1) On and from the *transfer time*—

- (a) the *previous retailer's access contract* is by force of this *Code* amended to remove the *contestable customer's exit point*; and
- (b) the *incoming retailer's access contract* is by force of this *Code* amended to include the *contestable customer's exit point*.

(2) Clause 4.12(1) applies despite any provision to the contrary in an *access contract* or, if applicable, an *access arrangement*, but if the *access contract* or *access arrangement*, provides a mechanism for, or consequence of, the operation of clause 4.12(1), then the mechanism or consequence continues to apply except to the extent that it:

- (a) hinders or frustrates the operation of clause 4.12(1); or
- (b) is otherwise inconsistent with the objectives of this *Code* under clause 2.1.

(3) The parties to the *access contract* must negotiate in good faith any necessary amendments to the *access contract* consequential to the amendments made by clause 4.12(1) and, if applicable, clause 4.12(2).

(4) If the parties cannot agree amendments under clause 4.12(3) within 10 *business days* after the *transfer*, then—

- (a) Part 7 applies; and
- (b) the *Authority* when acting under Part 7 in connection with this clause 4.12 must, to the extent practicable in the circumstances, apply the principles which would be applied by the

‘arbitrator’ (as defined in the *Access Code*) when arbitrating an ‘access dispute’ (as defined in the *Access Code*) under the *Access Code* in respect of the same subject matter.

#### 4.13 After the transfer

The *network operator* must within 2 *business days* after the *transfer date* give an *electronic notice* of the *transfer* and *transfer date* to—

- (a) the *incoming retailer*; and
- (b) the *previous retailer*; and
- (c) if applicable, the *independent market operator* for the purposes of allowing the *independent market operator* to meet its obligations under the *market rules*.

{Note: It is intended that the notice obligations under clause 4.13(c) and under the *market rules* may be satisfied by the same notice.}

#### 4.14 Settlement

Following a *transfer*, the *network operator* and, if applicable, the *independent market operator* must do all that is necessary to ensure that—

- (a) *charges* up to the *transfer time* are paid by or charged to the *previous retailer*; and
- (b) *charges* from the *transfer time* are paid by or charged to the *incoming retailer*.

#### 4.15 Rectifying an erroneous transfer

In relation to a *transfer* to reverse an *erroneous transfer*, all affected *retailers*, the *network operator* and, if applicable, the *independent market operator* must act in good faith to ensure that the rights and obligations of the affected *contestable customer* are as they would have been if the *erroneous transfer* had not occurred.

{Note: This clause 4.15 only applies to the rights and obligations of a *contestable customer* than has been *transferred* as a result of an *erroneous transfer*. It does not address the situation where a *contestable customer* should have been *transferred* but for some reason was not. In the latter case the prospective *incoming retailer* must submit a new *CTR* for the *contestable customer* under this Part 4.}

#### 4.16 Incoming retailer must retain copy of verifiable consent

Unless the *CTR* is to reverse an *erroneous transfer*, an *incoming retailer* must keep a copy of a *verifiable consent* given to it by a *contestable customer* in relation to the lodgement of the *CTR* for 2 years after the date the *verifiable consent* was given.

#### 4.17 Previous retailer must not bill past transfer time

Except in the case of an *erroneous transfer*, a *previous retailer* must not bill a *contestable customer* for *charges* incurred after the *transfer time*.

#### 4.18 Charges for metering services

If a *network operator* must provide a metering service in connection with a *CTR*, the *network operator* may charge the *retailer* which submitted the *CTR* for the metering service if it is permitted to do so by, and in accordance with, the *metering code*.

## PART 5—COMMUNICATION RULES

### 5.1 Development of communication rules

(1) A *network operator* must within 6 months after the commencement of this *Code* submit for approval by the *Authority*, rules governing the format and protocols through which the communication of information and data between the *network operator* and a *retailer* required by this *Code* is to occur (“**communication rules**”).

(2) The *Authority* must not approve *communication rules* submitted under clause 5.1(1) unless it is satisfied that they—

- (a) are reasonable; and
- (b) are consistent with this *Code*.

(3) Before seeking the *Authority’s* approval under clause 5.1, a *network operator* must—

- (a) ensure *retailers* have been given a reasonable opportunity to make submissions to the *network operator* concerning the proposed *communication rules*; and
- (b) have regard to the submissions made under clause 5.1(3)(a); and
- (c) provide a report to the *Authority* that—
  - (i) identifies the process through which the proposed *communication rules* were developed, including details of consultation with *retailers*;
  - (ii) describes how the *communication rules* comply with the criteria set out in clause 5.1(2); and
  - (iii) includes copies of submissions received by the *network operator* from *retailers*.

(4) If the *Authority* has approved *communication rules* under clause 5.1(1), *retailers* and *network operators* must comply with the *communication rules* in the communication of information, data or both information and data required under this *Code*.

(5) A *network operator* may from time to time submit for approval by the *Authority* proposed revisions to approved *communication rules*, and this Part 5 applies, with appropriate amendments, in respect of the proposed revisions.

## PART 6—NOTICES

### 6.1 Requirements for valid notice

To be a valid *notice* under this *Code*, a notice or other communication must be given in *writing* in accordance with this Part 6 and—

- (a) by post, to the recipient's *notified* postal address; or
- (b) by facsimile, to the recipient's *notified* facsimile number; or
- (c) *electronically*, to the recipient's *notified electronic* communication address.

### 6.2 Notices under Part 3 or Part 4 must identify exit point

A *notice* in relation to a *data request* or a *CTR* under Part 3 or Part 4 must identify the *exit point* to which it relates.

### 6.3 Network operators

(1) A *network operator* must use reasonable endeavours to ensure that a *retailer* can give it a *notice* by each of the following means—

- (a) post; and
- (b) facsimile; and
- (c) *electronic* communication,

and the *network operator* must *notify* the *retailer* of a telephone number for voice communication in connection with this *Code*.

(2) A *network operator* must *notify* each *retailer* of its initial *contact details*, and of any change to its *contact details* at least 3 *business days* before the change takes effect.

(3) If a *retailer* has not provided the *network operator* with its *contact details*, then the *network operator* may comply with clause 6.3(2) in respect of the *retailer* by placing a reasonably prominent advertisement in a newspaper which has circulation throughout the State.

### 6.4 Retailers

(1) If requested by a *network operator* with whom it has entered into an *access contract*, a *retailer* must *notify* its *contact details* to the *network operator* within 3 *business days* after the request.

(2) A *retailer* must *notify* any change to *contact details* it *notified* to a *network operator* under clause 6.4(1) at least 3 *business days* before the change takes effect.

### 6.5 Receipt

(1) A *notice* sent by post within Australia is deemed to have been received by the intended recipient 3 *business days* after it was sent.

(2) A *notice* sent by facsimile transmission which is transmitted—

- (a) on or before 15:00 hours on a *business day* is deemed to have been received by the intended recipient on that *business day*; and
- (b) after 15:00 hours on a *business day*, or on a day which is not a *business day*, is deemed to have been received by the intended recipient on the first *business day* following the date of transmission,

provided that the sender of the *notice* is able to produce a transmission report produced by the machine from which the facsimile was sent showing successful uninterrupted facsimile transmission of all pages of the relevant *notice* to the facsimile number of the intended recipient.

(3) A *notice* sent *electronically* is deemed to have been received by the intended recipient in accordance with Annex 6.

### 6.6 Electronic communication

If under this *Code* a *network operator* or *retailer* must or may send a thing *electronically*, the *network operator* or *retailer* must send that thing to the *network operator's notified electronic* communication address or *recipient's notified electronic* communication address, as applicable, in accordance with Annex 6.

## PART 7—DISPUTE RESOLUTION

### 7.1 Dispute resolution procedures

(1) If any dispute or difference arises in respect of any matter under or in connection with this *Code* ("**dispute**") between—

- (a) a *network operator* and a *retailer* or *retailers*; or
- (b) a *retailer* and another *retailer* or *retailers*; or
- (c) a *network operator* and the *independent market operator*; or
- (d) a *retailer* or *retailers* and the *independent market operator*,

("disputing parties")

then (subject to clause 7.2(3)) representatives of the *disputing parties* must meet within 5 *business days* after a request by any of the *disputing parties* and attempt to resolve the *dispute* by negotiations in good faith ("**representative negotiations**").

(2) If the *representative negotiations* do not resolve the *dispute* within 10 *business days* after their first meeting, the *dispute* must (subject to clause 7.2(3)) be referred to the senior executive officer of each

*disputing party* who must attempt to resolve the *dispute* by negotiations in good faith (“**CEO negotiations**”).

(3) If the *dispute* is resolved by *representative negotiations* or *CEO negotiations*, the *disputing parties* must

- (a) prepare a written record of the resolution and sign the record; and
- (b) adhere to the resolution.

### **7.2 Referral of disputes to the Authority**

(1) If a *dispute* is not resolved within 20 *business days* after the *dispute* is referred to *CEO negotiations*, then any *disputing party* may by *notice* to each other *disputing party* refer the *dispute* to the *Authority*.

(2) A *disputing party* may request the *Authority* to conduct a *dispute* resolution before *representative negotiations* or *CEO negotiations* if the *disputing party* considers that the *dispute* is of an urgent nature.

(3) The *Authority* may deal with any request under clause 7.2(2) in its absolute discretion.

(4) The *disputing party* referring the *dispute* to the *Authority* must give *notice* to the *Authority* of the nature of the *dispute*, including—

- (a) the breach, act, omission or other circumstance forming the basis for the *dispute*; and
- (b) the provision within this *Code* or other basis for the *dispute*.

### **7.3 Informality and expedition**

(1) Subject to the rules of natural justice, the *Authority* must conduct a *dispute* resolution with as little formality and technicality, and with as much expedition, as the requirements of this Part 7, and a proper hearing and determination of the *dispute*, permit.

(2) The *disputing parties* must at all times conduct themselves in a manner which is directed towards achieving the objective in clause 7.3(1).

### **7.4 Authority may determine own procedures**

Subject to the rules of natural justice, the *Authority* may from time to time specify procedures (either of general application or in respect of all or some part of a particular *dispute*) for a *dispute* resolution including:

- (a) the manner of any submissions by the *disputing parties*; and
- (b) whether, and if so the extent to which, legal representation is permitted; and
- (c) regulating the conduct of the *disputing parties*.

### **7.5 Powers of Authority**

Subject to the rules of natural justice, the *Authority* may:

- (a) inform itself independently as to facts and if necessary technical matters to which the *dispute* relates; and
- (b) receive written submissions and sworn and unsworn written statements; and
- (c) consult with such other persons as the *Authority* thinks fit; and
- (d) take such measures as the *Authority* thinks fit to expedite the completion of the *dispute* resolution.

### **7.6 Orders which may be made**

Subject to the Act and this *Code*, in determining a *dispute* the *Authority* may make any order which it considers expedient to justly dispose of the *dispute*.

### **7.7 Timing of dispute resolution**

The *Authority* must make a determination of the *dispute* within 20 *business days* after its appointment or such further period as the *disputing parties* may agree. If any of the *disputing parties* considers that the *dispute* is of an urgent nature and needs to be resolved within a shorter period, then that *disputing party* may apply to the *Authority*, and the *Authority* may reduce the period of 20 *business days* to such lesser period as the *Authority* considers appropriate having regard to the interests of all *disputing parties* and this *Code*, being not less than 10 *business days*.

### **7.8 Written determination**

The *Authority* must deliver a written determination which sets out the reasons for the determination and the findings of fact on which the determination is based.

#### **7.9 Dispute resolution to be held in Perth**

Unless the *disputing parties* agree otherwise, the *dispute* resolution must be held in Perth, Western Australia.

### **7.10 Authority's finding is final**

The findings of the *Authority* are final and binding on the *disputing parties*.

### **7.11 Costs of the Authority**

The costs of the *Authority* are to be determined in the discretion of the *Authority* which may direct by whom and in what manner the whole or any part of the costs are to be paid.

### 7.12 Referral to the Authority does not affect the obligations of the parties

The referral of any matter to the *Authority* does not relieve any party from performing its obligations under this *Code* pending the determination of the *dispute*.

## PART 8—CODE AMENDMENT

### 8.1 Amendment & review

(1) The *Authority* on its own initiative or in response to a proposal by a *retailer*, *network operator* or other interested person may recommend to the Minister an amendment to this *Code*, if the *Authority* considers the proposed amendment would better achieve the objectives of this *Code* under Part 2.

(2) The *Authority* must *notify* all *retailers* and *network operators* if it proposes to recommend an amendment to this *Code*, and provide an explanation of why it considers the amendment will better achieve some or all of the objectives of this *Code* under Part 2.

(3) Unless the *Authority* is satisfied on reasonable grounds that an amendment is urgently required, the *Authority* must not recommend an amendment to this *Code* unless—

- (a) *retailers* and *network operators* have been given a reasonable opportunity to make representations to the *Authority* concerning the proposed amendment; and
- (b) the *Authority* has taken those representations into account.

(4) Before recommending an amendment to this *Code*, the *Authority* may also seek representations from other interested persons, and if it does so, the *Authority* must have regard to those representations.

## ANNEX 1—REQUEST FOR STANDING DATA FORM

{See clause 3.1(1)(a).}

A *network operator's request for standing data* form must require a *retailer* to provide the following information—

- (a) either or both of the name and, if applicable, identification number or code of the *retailer* submitting the *request for standing data*; and
- (b) either:
  - (i) if the *network operator* has not allocated a *UMI* for the *exit point*—the *contestable customer's*—
    - A. lot number and, if applicable, unit number; and
    - B. street number; and
    - C. street; and
    - D. suburb,
 or
  - (ii) if the *network operator* has allocated a *UMI* for the *exit point*—the *contestable customer's UMI* and *checksum*.

{Note: Once a *exit point* has been assigned a *UMI*, all communication between the *network operator* and the *retailer* should be through reference to the *UMI* and the *checksum* associated with the *UMI*. This will reduce potential for errors. However, *UMIs* are not expected to be allocated to *exit points* until the implementation of the Metering Business System by Western Power. For this reason it is necessary to provide, as a transitional measure, for the *retailer* to provide the information outlined in Annex 1(b)(i) and equivalent provisions in the other Annexes.}

## ANNEX 2—REQUEST FOR HISTORICAL CONSUMPTION DATA FORM

{See clause 3.1(1)(b).}

A *network operator's request for historical consumption data* form must require a *retailer* to provide the following information—

- (a) either or both of the name and, if applicable, identification number or code of the *retailer* submitting the *request for standing data*; and
- (b) either—
  - (i) if the *network operator* has not allocated a *UMI* for the *exit point*—the *contestable customer's*—
    - A. name; and
    - B. lot number and, if applicable, unit number; and
    - C. street number; and
    - D. street; and
    - E. suburb; and
    - F. *meter* number(s),
 or
  - (ii) if the *network operator* has allocated a *UMI* for the *exit point*—the *contestable customer's UMI* and *checksum*.

**ANNEX 3—CUSTOMER TRANSFER REQUEST FORM**

{See clause 4.1(1).}

A *network operator's CTR* form must require a *retailer* to provide the following information—

- (a) either or both of the name and, if applicable, identification number or code of the *retailer* submitting the *CTR*; and
- (b) either—
  - (i) if the *network operator* has not allocated a *UMI* for the *exit point*—the *contestable customer's*—
    - A. name; and
    - B. lot number and, if applicable, unit number; and
    - C. street number; and
    - D. street; and
    - E. suburb; and
    - F. *meter* number(s),
 or
  - (ii) if the *network operator* has allocated a *UMI* for the *exit point*—the *contestable customer's UMI* and *checksum*; and
- (c) the reason for the *transfer*, under clause 4.2(2) of this *Code*; and
- (d) either or both of the name and, if applicable, identification number or code of the *retailer* to whom the *customer* is to be *transferred*; and
- (e) the *nominated transfer date*, which must comply with clause 4.7 of this *Code*; and
- (f) whether a new *meter* is required to enable *transfer*, or for any other reason, and if so, a request for the installation of a particular type of suitable *meter*; and
- (g) estimated annual *electricity* consumption of the *customer*; and
- (h) if applicable, details of the *incoming retailer's access contract* to which the *CTR* is proposed to relate; and
  - (i) if applicable, the proposed network access pricing structure or arrangement to be agreed between the *network operator* and the *retailer* to apply for the *customer* to be *transferred*.

**ANNEX 4—STANDING DATA AND HISTORICAL CONSUMPTION DATA**

{See definitions of “standing data” and “historical consumption data” in clause 1.3.}

**A4.1 Standing data**

If a *retailer* submits a *request for standing data* to the *network operator*, the *network operator* must provide, if available, the following information—

- (a) *UMI* and its status (connected or disconnected); and
- (b) full details of the address; and
- (c) sub-station name; and
- (d) distance from sub-station; and
- (e) voltage; and
- (f) distribution loss factor; and
- (g) network tariff description; and
- (h) *meter* type; and
- (i) *meter* number(s); and
- (j) last and next scheduled meter read date or day number; and
- (k) whether a new *meter* (or communications) is required under the *metering code* before the *contestable customer* may *transfer*.

**A4.2 Historical consumption data**

If a *retailer* submits a *request for historical consumption data* to the *network operator* then—

- (a) the *network operator* must provide, if available, metering data for the *contestable customer* for at least the previous 12 months (but nothing limits the parties' ability to agree to a longer period); and
- (b) all data must be provided as interval data unless unavailable, in which case accumulation data must be provided; and
- (c) the type of data which must be provided under clause A4.2(a) is dependent on the capabilities of the *meter* at the *exit point* (for example, Peak/Off peak kWh, Peak/Off peak kW, All time kWh, kVAh, kVA).

## ANNEX 5—UMI DISCOVERY PROCEDURE

{See clause 3.3.}

**A5. UMI discovery procedure**

- (1) This Annex 5 does not apply in respect of a *network* until a date notified by the *network operator* to all *relevant retailers* and, if applicable, the *independent market operator*.
- (2) A *retailer* may under this Annex 5 request the *network operator* to provide, for each *exit point* at a *contestable customer's* premises, either:
- (a) a *UMI* and *checksum* for the *exit point*; or
  - (b) *notice* that a *UMI* has not been allocated to the *exit point*.
- (3) A request made by a *retailer* under paragraph (2) may be made by reference to a—
- (a) *meter number(s)*; or
  - (b) *street address*.
- (4) The *network operator* may reject a request under paragraph (2) if there is no *contestable customer* at the address or supplied using the *meter* specified under paragraph (3).
- (5) A *network operator* must respond to a request under paragraph (2) from a *retailer* for a *UMI* and *checksum* for an *exit point* within 1 *business day* after the *retailer's* request.
- (6) If a request made under paragraph (2) does not return a single *UMI* and *checksum*, the *network operator* must provide most likely matches to the *retailer* up to a maximum of 99 likely matches.
- (7) If a request made under paragraph (2) returns a single *UMI* and *checksum*, the *network operator* must, unless otherwise advised by the *retailer*, provide the *UMI* and *checksum* for the relevant *exit point*.

## ANNEX 6—ELECTRONIC COMMUNICATIONS PROTOCOL

{See clause 6.5(3) and clause 6.6}

**A6.1 Interpretation**

For the purposes of this Annex 6—

“**addressee**” means the person to whom an *electronic* communication is sent.

“**automated response message**” means an *electronic* communication (“**reply email**”) sent automatically upon receipt of an *electronic* communication (“**original email**”), if the *reply email* is sent from an *addressee's information system* to the *originator* of the *original email*, acknowledging that the *original email* has been received by the *addressee's information system* and containing—

- (a) the name of the *originator* of the *original email*; and
- (b) at least the time, date and subject title of the *original email*; and  
{Note: The easiest means to record this information may be to include the whole of the *original email*, preferably excluding attachments, within the *reply email*.}
- (c) the name of the *addressee* of the *original email*; and
- (d) the date and time the *original email* was received by the *addressee's information system* (which in the absence of evidence to the contrary is taken to be the creation date of the *reply email*).

“**information**” means information in the form of data, text, images or sound.

“**information system**” means a system for generating, sending, receiving, storing or otherwise processing *electronic* communications.

“**originator**” means the *person* who sends an *electronic* communication to an *addressee*.

“**purported originator**” means the *person* on the face of the *electronic* communication who appears to be, or purports to be the *originator*, including by purported compliance with clause A6.5.

**A6.2 Electronic communication addresses**Each *network operator* and *retailer* must—

- (a) use reasonable endeavours to ensure that the *information system*, on which *electronic* communications addressed to the *electronic* communication address are received, is operational—
  - (i) a 24 hours-a-day; and
  - (ii) 7 days-a-week,
 to receive *electronic* communications and send *automated response messages* as required by this *Code*; and
- (b) establish a mechanism to generate an *automated response message* for each *electronic* communication (other than an *automated response message*) received at the *electronic* communication address.

**A6.3 Requirement for automated response message**

- (1) An *electronic* communication is neither given nor received under this *Code* until the *originator* receives the *addressee's automated response message* for the *electronic* communication.

(2) It is the *originator's* responsibility for each attempted *electronic* communication to verify that it receives an *automated response message*, and if it does not receive an *automated response message* arrange either for—

- (a) retransmission of the *electronic* communication; or
- (b) communication of the *information* by an alternative medium (but this clause A6.3(2) does not limit the *addressee's* responsibilities under clause A6.3(4)).

(3) If the *originator* receives an *automated response message* for an *electronic* communication, then (unless the *addressee* proves otherwise) for the purposes of this *Code* the—

- (a) *originator* has sent; and
- (b) *addressee* has received,

the *electronic* communication at the date and time shown in the *automated response message*.

(4) It is the *addressee's* responsibility for each *electronic* communication for which the *addressee's* *information system* generates an *automated response message* to—

- (a) read the *electronic* communication and the *information* it contains, and if applicable communicate it to the appropriate worker within the *addressee's* organisation; and
- (b) if necessary, *notify* the *originator* of any difficulty in opening, reading, de-compressing or otherwise accessing (in a form reasonably readable) any *information* contained in the *electronic* communication; and
- (c) if it appears to the *addressee* that the *addressee* was not the intended or correct recipient of the *information* in the *electronic* communication, communicate this fact to the *originator*.

#### **A6.4 Location**

Unless otherwise agreed between the *originator* and the *addressee* of an *electronic* communication, the *electronic* communication and the *information* it contains is deemed to have been sent from the *originator's* place of business and received at the *addressee's* place of business.

#### **A6.5 Attribution of *electronic* communications and reliance**

(1) Except to the extent that—

- (a) the *purported originator* of an *electronic* communication and the *addressee* of the *electronic* communication agree otherwise; or
- (b) the *purported originator* of an *electronic* communication proves otherwise,

the *addressee* of an *electronic* communication in respect of which an *automated response notice* has been given may assume for all purposes under this *Code* that the—

- (c) *purported originator* of the *electronic* communication is the *originator* of the *electronic* communication; and
- (d) *electronic* communication was sent by, or with the knowledge and express authority of, the *purported originator*.

#### **A6.6 Signatures**

An *electronic* communication must identify the *originator*.

#### **A6.7 Information format**

An *originator* must use reasonable endeavours, in selecting the data format for *information* contained in an *electronic* communication, to adopt a consistent format over time to facilitate any automated processing of the *information* by the *addressee*.

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