Annual compliance report

Licensees must submit their annual compliance report by 1 September to IPART.

Licensee details

|  |  |
| --- | --- |
| Licensee business name |  |
| ACN |  |
| Licence number |  |
| Scheme Approval number/s | [provide numbers for each scheme for which the licensee is either the registered operator or registered retailer, as relevant) |
| Reporting period | Insert reporting period in the format 20XX-YY. |

|  |  |  |
| --- | --- | --- |
| Contact person | Primary contact | Alternative contact |
| Name |  |  |
| Position |  |  |
| Phone |  |  |
| Email |  |  |

IPART should liaise with the contacts provided above regarding the Licensee’s **Annual Compliance Report**.

Report checklist

[ ]  A statement of compliance with appropriate signatories

[ ]  Schedule A – Non-compliance

[ ]  Schedule B – Performance Indicators or Licence Data

[ ]  Schedule C – Certificates of currency

[ ]  Schedule D - Changes to insurance arrangements (if applicable)

[ ]  Schedule E - Financial capacity statement (if applicable)

Statement of compliance

Licensee declares that, to the best of its knowledge, having made reasonable inquiries:

1. This report:
	1. documents the extent to which the licensee has not complied with the *Water Industry Competition Act 2006*, the *Water Industry Competition (General) Regulation 2024* and the licence to which the Licensee is subject during the reporting period.
	2. includes all Performance Indicators or Licence Data about Licensee’s operations required to be reported in accordance with the current *Reporting Manual for licensed operators and retailers under Water Industry Competition Act 2006* (Reporting Manual).
2. Schedule A provides the particulars of and the reasons for the Licensee’s failure to comply with the licence or provisions during the reporting period, and the actions taken or to be taken to prevent a recurrence of the failure or to mitigate the effects of the failure.
3. Other than the information provided in Schedule A, the Licensee has complied with all obligations to which it is subject.
4. The Licensee had, at all times during the reporting period, held insurance of an appropriate type, scope and limit for the activities carried out under the licence.
5. Schedule C provides the current Certificate of Currency for all insurance policies, as applicable.
6. [delete if it does not apply] Schedule D provides a description of all changes to insurance arrangements during the reporting period, as applicable.
7. [delete if it does not apply] Schedule E provides a financial capacity statement during the reporting period.
8. This report has been prepared by the Licensee with all due care and skill, including to ensure that all information provided in the report is true and correct, in full knowledge of conditions to which the Licensee is subject and in compliance with IPART’s current Reporting Manual under the *Water Industry Competition Act 2006* (NSW).

Signed for and on behalf of the Licensee.

|  |  |  |
| --- | --- | --- |
| Details | Signatory | Signatory |
| Full name |  |  |
| Position/title | Director/ Company Secretary | Director |
| Date of signing |  |  |
| Sign here |  |  |

Schedule A Non-compliances

|  |  |
| --- | --- |
|  | Licensees should report all non-compliances that occurred during the reporting period. This includes non-compliances that were identified after the reporting period but occurred during the reporting period.Licensee can provide the required information in table or Excel format if preferred. |

Non-compliances already reported to IPART

Include if applicable: WILMA notification ID number, date reported, brief description of each of the non-compliances and status of the non-compliances as of 30 June (e.g. closed or on-going).

Click or tap here to enter text.

Non-compliances that have not been reported to IPART

Include the following if applicable. The information required below is the same as specified in IPART’s **Form – Non-compliance notification**.

**The obligation with which the Licensee is non-compliant**

Refer to the relevant provision or provisions in the WIC Act or WIC Reg or condition in the licence or approval instrument. Appendix A of *Reporting Manual for licensed operators and retailers under the Water Industry Competition Act 2006* (**Reporting Manual**) provides a list of obligations under the WIC Act and WIC Reg, however this may not be comprehensive. If the Licensee has failed to comply with a licence condition, please include details of the licence condition contravened.

If the Licensee has failed to comply with a condition of an approval, please include details of the approval number and condition in the approval that has not been complied with (e.g., operational approval 25\_046OA, condition D3.1) and the licence condition contravened (see WIC Act s 8H(1)(a)).

**Date or period of non-compliance**

Click or tap here to enter text.

**Nature and extent of non-compliance**

Click or tap here to enter text.

**H****ow many customers are affected?**

Click or tap here to enter text.

**How many other licensees or stakeholders are affected?**

Click or tap here to enter text.

**Describe the results of any monitoring (where applicable)**

Click or tap here to enter text.

**Reasons for the non-compliance**

Click or tap here to enter text.

**Corrective or remedial action taken to rectify the non-compliance and mitigate the effects of the non-compliance**

Click or tap here to enter text.

**Preventative actions taken/ proposed to prevent a reoccurrence of the non-compliance**

Click or tap here to enter text.

**Actual/ anticipated date of full compliance**

Click or tap here to enter text.

Schedule B Performance indicators or Licence Data

|  |  |
| --- | --- |
|  | Licensed Operators must report on Performance Indicators. Licensed Retailers must report on Licence Data. The Excel template for Performance Indicators and Licence Data is at [IPART’s website](https://www.ipart.nsw.gov.au/Home/Industries/Water/Compliance/Policies-manuals-guidelines/Template-water-utility-performance-indicators-and-licence-data-2020-21). You must submit the Performance Indicators or Licence Data using the Excel template.Refer to Appendix C (Performance Indicators) and Appendix D (Licence Data) of the Reporting Manual for definitions. |

Refer to the Excel file (file name: Click or tap here to enter text.) for Performance Indicators/Licence Data as part of the Annual Compliance Report submission.

Schedule C Certificates of currency

|  |  |
| --- | --- |
|  | Attach all copies of certificates of currency that are valid on 30 June of the reporting period.Refer to the [*WIC Act Insurance Guide for Applicants and Licensees*](https://www.ipart.nsw.gov.au/Home/Industries/Water/Alternate-water-utilities-WICA/Forms-guidelines/WIC-Act-Insurance-Guide-for-Applicants-and-Licensees-July-2020) for the types of insurance that are necessary. |

Schedule D Changes to insurance arrangements

|  |  |
| --- | --- |
|  | Delete Schedule D if it does not apply.Set out any of the following that applies1. In relation to the types of insurance policies set out in Schedule C above (as relevant); provide a description of any change to the:
	* Insurer
	* Underwriting panel
	* Type
	* Scope, or
	* Sum insured/ limit on amount/ limit on indemnity/ exclusions.
2. In relation to changes to the insurer or underwriting panel – provide the name, the Australian financial services licence number (if applicable) and the credit rating of the insurer or underwriting panel.
3. For all other changes, also provide reasons for the change.
 |

#### Describe the changes to insurance arrangements during the reporting period

Click or tap here to enter text.

Schedule E Financial capacity statement

|  |  |
| --- | --- |
|  | Only include a financial capacity statement if you held an **Operator’s Licence** and provided small retail customers with drinking water or sewerage services during the reporting period covered by the Annual Compliance Report. Delete Schedule E if it does not apply. |

Licensee declares as follow:

[Delete any that do not apply]

1. Licensee had, at all times during the reporting period, stand-alone capacity to carry out activities that are authorised by the licence (except as described in Schedule E.1).
2. Licensee had, at all times during the reporting period, financial support from Name of financial sponsor and therefore Licensee had financial capacity to carry out activities that are authorised by the licence (except as described in Schedule E.1).
3. The Insert relevant deed of undertaking/ bank guarantee/ other agreement referred to in condition Insert relevant licence condition number of the licence remains valid and had not been amended, terminated or revoked during the reporting period (except as described in Schedule E.1).

Schedule E.1 Description of relevant exceptions

|  |  |
| --- | --- |
|  | Set out any of the following that applies:* A description of any exception to the declaration at paragraph 1 in relation to stand-alone financial capacity.
* A description of any exception to the declaration at paragraph 2 in relation to the financial support received from a sponsor.
* A description of any amendment, termination or revocation of a deed of undertaking/ bank guarantee/ other agreement

Delete Schedule E.1 if it does not apply. |

#### Describe the relevant exceptions

Click or tap here to enter text.