



ICRC

independent competition and regulatory commission

Utility Licence Annual Report 2017–18

Electricity transmission services

[Insert utility name]

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Instructions for completing the Utility Licence Annual Report

Completing the templates:

- 1 The report must be completed and submitted to the ICRC on or before **1 October 2018**.
- 2 The reporting period is from **1 July 2017 to 30 June 2018**.
- 3 Please read the *Utility Licence Annual Report Guidance Note* as it provides clear expectations on process and submission requirements.
- 4 In most cases a response of 'yes', 'no', 'not-applicable' or a number will suffice. An explanatory statement or supplementary information (e.g. copies of policies or procedures or a link to material on the internet) may also be required.
- 5 All licensed utilities must include information and data in the report even if a nil (zero) figure is recorded in relation to data required to be submitted.
- 6 If the licensee is not able to provide the data or answer a question required in the report, the licensee should indicate 'not available' and provide supplementary information detailing why the information is not available and whether (and in what timeframe) it intends to collect this data.
- 7 Where data is not available the licensee should provide any other data it has that could serve essentially the same purpose as the data requested (i.e. data that could equally indicate the level of licensee compliance and identify possible causes of non-compliance). In the event the licensee provides other data, rather than the requested data, this must be clearly identified in the report.
- 8 Licensed utilities should provide commentary where there is a need to explain key factors relevant to the level of, and trends in, their performance. If the licensee response represents a significant variation in the data from the previous reporting period, additional information is to be provided on the cause(s) of the variation. Any supplementary information can be provided in the comments column, or in an attachment. Where applicable, include measures or actions to be put in place to address or rectify the reported variation.
- 9 All responses provided should only relate to services provided in the ACT only. If the event the Licensee is unable to disaggregate ACT services from other jurisdictions, the Licensee must provide a statement detailing: area that the dataset covers, brief explanation why data cannot be disaggregated, additional information that may assist the Commission in understanding the approximate percentage of services that are provided in the ACT from the dataset.



Tip : Press Alt-Enter to start a new line in a cell.

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About the Utility Licence Annual Report

Under section 25(2)(d) of the *Utilities Act 2000* (Utilities Act), utilities are required to report to the Independent Competition and Regulatory Commission (Commission) annually on the exercise of their functions under the statute and their compliance with licence conditions. Reports are on a financial year basis and must be submitted to the Commission within three months of the end of that year (i.e. by 1 October). The reported information forms the basis for the Commission's monitoring report for licensed utility service providers. A summary of the monitoring report is published each year in the Commission's annual report.

This template questionnaire sets out requirements of the Commission in relation to the annual report under subsection 25(2)(d) of the Utilities Act that licensed utilities must provide to the Commission.

Section 1: Exercise of functions under the *Utilities Act 2000*. This section sets out questions in relation to functions that the utility may or must perform under the Utilities Act.

Section 2: Utility licence conditions. This section sets out questions in relation to specific requirements in the utilities licence.

Section 3: Contact Officers. This section requires details of contact officers.



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1.1 Exercise of functions under the *Utilities Act 2000*

Performance of networks

Reporting requirement	Response	Comments Note 'Instructions No.8'
1.1.1 Performance of network operations (Division 7.3)		
In 2017–18, how many times did the licensee enter landholders' property to undertake network operations?	95	This figure includes all routine and non-routine maintenance activities required in accordance with TransGrid's business practices for the operation and maintenance of a safe and reliable transmission grid.
1.1.2 Damage etc. to be minimised (Section 108)		
What strategies does the licensee have in place to minimise inconvenience, detriment and damage to landholders' property resulting from network operations?	Landholders are contacted prior to work being carried out to outline proposed works, impacts and timing. Environmental Impact Assessments are conducted in line with state and territory requirements. Environmental controls are in place to meet state and territory requirements. Environmental documents and controls are overseen by Environmental Officers. Maintenance activities within the ACT require TransGrid's Environment Officer approval. TransGrid and The Conservator of Flora and Fauna have a Site Management Agreement for public land within the ACT. Maintenance activities are conducted in accordance with the Site Management Agreement.	
In 2017–18, did the licensee receive complaints about any inconvenience, detriment or damage to landholders' property resulting from network operations?	No.	
If so, how many complaints did the licensee receive about any inconvenience, detriment or damage to landholders' property resulting from network operations?	Not applicable.	

1.1.3	Provision of notice to land-holders to undertake network operations (Sections 109)		
	In 2017–18, before the utility began network operations in relation to public land or private land, did the licensee fail in any instances to give the land-holder seven days notice of the proposed operations?	No.	
	If so, how many times did the licensee fail to give notice?	Not applicable.	
	Did the licensee carry out any operations in urgent circumstances under section 109(5)?	No.	
	If so, provide details and numbers of the incidents.	Not applicable.	
1.1.4	Notice about lopping trees etc. on private land (Section 110)		
	In 2017–18, before the utility began network operations that involved activities as set out in sections 110(1)(a) to (c) (tree related activities), did the licensee fail to give at least seven days notice before operations began?	No.	
	If so, how many times did the licensee fail to give notice?	Not applicable.	
	Did the licensee carry out any tree related activities in urgent circumstances under section 110(8)?	No.	
	If so, provide details and numbers of the incidents.	Not applicable.	
1.1.5	Network operations affecting heritage significance (Section 110A)		
	In 2017–18, did the licensee conduct any network operations under notices given under sections 109 and 110 that may have affected a place or object registered, or nominated for provisional registration, under the Heritage Act 2004?	No.	
	If so, how many times did the licensee give a copy of the notice to the heritage council?	Not applicable.	
	Did the licensee give a copy of the notice at least seven days before operations began to the heritage council each time?	Not applicable.	
	If not, provide details as to why not for each time.	Not applicable.	
	Did the licensee carry out any network operations in urgent circumstances that may have affected a place or object registered, or nominated for provisional registration, where section 110A(2) was relied on to carry out the operations?	No.	
	If so, provide details and numbers of the incidents.	Not applicable.	
1.1.6	Notice to other utilities (Section 111)		
	In 2017–18, did the licensee receive complaints for failing to give seven days notice to other utilities before performing network operations on their land that potentially affected network facilities under the care and management of those utilities? ¹	No.	
	If so, how many complaints did the licensee receive?	Not applicable.	
	Did the licensee carry out any network operations in urgent circumstances under section 111(6)?	Not applicable.	
	If so, provide details and numbers of the incidents.	Not applicable.	

1.1.7 Removal of utility's property and waste (Section 112)		
What strategies does the licensee have in place that assists it in fulfilling its obligations under section 112.	Cleared vegetation is chipped and removed from site unless otherwise requested from landowner. All waste material and rubbish is removed from site in accordance with TransGrid's environmental requirements. Maintenance activities within the ACT require TransGrid's Environment Officer approval. TransGrid and The Conservator of Flora and Fauna have a Site Management Agreement for public land within the ACT. Maintenance activities are conducted in accordance with the Site Management Agreement.	
In 2017–18, did the licensee undertake any activities as network operations on land for which it was not the land-holder where it did not, as soon as practicable remove from the land the items listed in section 112(1)?	No.	
If so, provide details.	Not applicable.	
In 2017–18, did the licensee receive complaints for failing to remove as soon as practicable from the land any items listed in section 112(1).	No.	
If so, how many complaints did the licensee receive?	Not applicable.	
1.1.8 Land to be restored (Section 113)		
What strategies does the licensee have in place that assists it in fulfilling its obligations under section 113.	Pre maintenance environment assessments are undertaken to remove or to limit any land damage that may result from TransGrid's maintenance activities. Any damage inadvertently resulting from our maintenance activities is rectified to the landowner's requirement in accordance with legislative and TransGrid's environmental requirements. Maintenance activities within the ACT require TransGrid's Environment Officer approval.	
In 2017–18, did the licensee receive complaints for failing to ensure, as soon as practicable, that the land was restored to a condition that was similar to its condition before the operations began.	No.	
If so, how many complaints did the licensee receive?	Not applicable.	

¹ For the purposes of s111 of the Utilities Act, utilities are those licensed under the Utilities Act, carriers or network operators under the *Telecommunications Act 1997* (Cth), and the person or authority responsible for stormwater network or streetlight operations.



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1.2 Exercise of functions under the *Utilities Act 2000*
 General Functions

Reporting requirement	Response	Comments Note 'Instructions No.8'
1.2.1 Authorised people (Division 7.4)		
Were all persons authorised under section 114 (Authorised Persons) issued with photographic identity cards in 2017–18?	Yes.	
Are authorised persons made aware of their obligations and entry restrictions under the Utilities Act?	Yes.	
How are authorised persons made aware of their obligations and entry restrictions under the Utilities Act? Please provide a brief outline of any induction or special training, including whether the training is provided on a regular or ad hoc basis.	Utilities Act obligations are entered in the TransGrid compliance management system and responsibility allocated to the relevant management.	



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2.1 Utility licence conditions

General Conditions

Reporting requirement	Response	Comments Note 'Instructions No.8'
2.1.1 Licensee to notify ICRC of any material breaches (Clause 7.2)		
Were there any material breaches of the licensee's licence or any applicable law, code of practice, directions and guidelines in 2017–18?	No.	
If yes, was the ICRC notified of the breaches? Please provide details if yes.	Not applicable.	
2.1.2 Licensee to provide statement on any non-compliance (Clause 7.3)		
Were there any non-compliances with any of the licensee's obligations under clause 6.2 of its licence to comply with the Utilities Act, relevant Industry Codes, relevant Technical Codes, any directions given by the ICRC or any applicable ring-fencing requirements?	Yes.	One follow up report associated with a notifiable incident was not provided within the timeframe specified in the ACT Electricity Transmission Supply Code section 5.5 item 2, due to an administrative oversight during personnel changes. The report was provided immediately to the ACT Utilities Technical Regulator once the oversight was noted. Action has been taken to prevent a repeat occurrence.
If yes, was the ICRC notified of the non compliance/s? Please provide details if yes	No.	See above.
2.1.3 Availability of Utility Licence Annual Report (Clause 7.5)		

<p>A summary of the ULAR must be made publicly available by a licensee in accordance with the requirements specified in clause 7.5 of their licence.</p> <p>Was a summary of the 'Utility Licence Annual Report' (ULAR) for 2016-17 made publicly available by the licensee?</p> <p>NOTE: This requirement specifically refers to the ULAR only, not the General Annual Report of the licensee. Whilst a summary of ULAR is required, the licensee may also make the entire ULAR publically available. Making the summary of a ULAR (or entire ULAR) publically available means placing the ULAR in a public space such as the utility's website, or making a clear and easily accessible statement on the website as to where a summary of the ULAR may be easily accessed. Simply providing a summary to a member of the public when requested and not being clear and explicit about the existence of the summary up front is not regarded as making the summary publically available."</p>	Yes.	
Please provide a link to the publicly available ULAR or a publicly available summary of the ULAR, or link to a clear and easily accessible statement on the website as to where a summary of the ULAR may be easily accessed.	https://www.transgrid.com.au/news-views/publications/Documents/Utilities%20Licence%20Annual%20Report%202016-2017%20TransGrid.pdf#search=act%20utilities%20licence%20annual%20report	
2.1.4 Operation and compliance audits (Clause 7.6)		
Provide details of how the licensee has, from time to time, undertaken audits of the services and operations authorised under its licence and of its compliance with its obligations under the licence and any law, code of practice, direction and guideline that it is to comply with under clause 6.2.	TransGrid has a Corporate Compliance Framework to enable the appropriate management of its compliance obligations across its operations. TransGrid's compliance audits are primarily based around its key management systems (Health and Safety, Environment, Asset Management and Quality). In addition, a Corporate Risk and Compliance function monitors compliance through independent reviews to challenge and improve compliance performance. The combination of these is considered to provide satisfactory coverage of its operations in the ACT.	
Were the audits conducted by an independent expert or auditor nominated by the Licensee and approved by the Commission?	No.	
Were the audit results reported in a manner approved by the Commission?	Not applicable.	
Technical and prudential criteria (Clause 8)		

	<p>The licensee must, throughout the term of its licence, continue to satisfy the same technical and prudential criteria that it was required to meet as a condition of being granted the licence. Please provide a summary of details of the licensee's financial, technical and other capacity for 2017–18 which show it can continue to provide the services authorised in the licence.¹</p>	<ul style="list-style-type: none"> • There is no significant change to TransGrid's financial capacity that would place TransGrid's capacity to meet licence obligations at risk. • TransGrid's financial statements for 2017-18 have been externally audited and no issues were raised that materially impact TransGrid's financial capacity. 	
2.1.5	<p>Charge and Assignment (Clause 10)</p>		
	<p>A Licensee must keep the Commission informed of all relevant changes in the ownership of the Licensee.</p>	<p>No</p>	
	<p>Were there any significant transfers in shareholdings (involving more than 50% of the shares) or changes in ownership in 2017–18?</p>		
	<p>If so, please provide details.</p>	<p>Not applicable.</p>	

¹ A copy of the Commission's technical and prudential criteria (Guideline) is available at <http://www.icrc.act.gov.au/utilities-licensing/licence-applications-surrenders-variations-and-revocations/>



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2.2 Utility licence conditions

Additional licence conditions (schedule 1)

Reporting requirement	Response	Comments Note 'Instructions No.8'
<p>2.2.1 Additional Utility Service Licence Conditions (Schedule 1)</p> <p>Please provide a summary (or link to documents) of the licensee's adherence to, or implementation of, this schedule.</p>		<p>Summary of the Asset Management System:</p> <ul style="list-style-type: none"> • TransGrid has and maintains an Asset Management System that is consistent with the requirements of ISO 55001. • TransGrid's Asset Management System has been independently certified by an appropriately qualified entity to be consistent with ISO 55001 requirements. • TransGrid achieved re-certification to ISO 55001 in November 2017. • TransGrid's Asset Management System is fully implemented and all relevant activities are carried out in accordance with this system. <p>Summary of the Environmental Management System:</p> <ul style="list-style-type: none"> • TransGrid has and maintains an Environmental Management System that is consistent with ISO 14001 requirements. • TransGrid's Environmental Management System has been independently certified by an appropriately qualified entity to be consistent with ISO 14001 requirements. • TransGrid maintained this certified system in a fully implemented manner during 2017-2018. • TransGrid completed environmental management activities during 2017-2018 in accordance with this system.



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3.1 Contact Officers

Contact Officer (Primary)

The licensee's primary contact officer for regulatory and compliance issues for electricity transmission is:

Name	Andrew McAlpine
Title/position	Asset Systems and Compliance Manager
Postal address	PO Box 87 Horsley Park, NSW, 2175
Telephone	(02) 9620 0478
Email	andrew.mcalpine@transgrid.com.au

Contact Officer (Secondary)

The licensee's alternative contact officer for those times when the main contact is unavailable is:

Name	Hilary Priest
Title/position	Compliance Manager
Postal address	PO Box A1000 Sydney South, NSW, 1235
Telephone	(02) 9284 3332
Email	hilary.priest@transgrid.com.au