

National Energy Laws - Civil Penalties - Draft Classification				
Civil Penalty Provision	Conduct	Proposed tier	Matrix category	Subclassification
National Electricity Law				
Section 14R(2)	Reliability obligation CPP - Liable entity must comply with the obligation that the liable entity's net contract position for the trading interval is not less than the liable entity's share of the one-in-two year peak demand forecast for the trading interval determined in accordance with the Rules.	COAG Energy Council's SCO Explanatory Note to the Bill provides, '...intent to align the penalty for an initial breach with the Tier 2 rate (\$1.435M) and the penalty for a subsequent breach (by a corporation) with the Tier 1 Rate (\$10M).'		
		Clause 6 of the Bill, which inserts new s 2AB(1)(d), includes a specific change to the penalty rates that were applied in relation to the Retailer Reliability Obligation (RRO) provisions made in the <i>National Electricity (South Australia) (Retailer Reliability Obligation) Amendment Act 2019</i> .		
Sections 11(1), (2), (3) and (4)	Electricity market activities in SA - Prohibition on person engaging in certain activities unless a Registered participant in relation that activity	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravenor
Section 14A	Regulated transmission system operator must comply with transmission determination	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to contravenor
Section 14B	Regulated distribution system operator must comply with distribution determination	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to contravenor
Section 14P(1) and (3)	Obligation to report net contract position in relation to Retailer Reliability Obligation	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Section 18ZC(1) and (2)	Obligation of regulated entities to keep records in relation to Retailer Reliability Obligation	Tier 2	Market Administration	Inadequate record keeping or administrative processes
Section 18ZD	Obligation of regulated entities to provide information and data about compliance with Retailer Reliability Obligation	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator

Section 18ZF(1) and (3)	Compliance with audits by regulated entities	Tier 1	Unacceptable market participant behaviour	Failure to comply with specific notices or requests from a regulator
Section 28N	Compliance with regulatory information notice that is served	Tier 1	Unacceptable market participant behaviour	Failure to comply with specific notices or requests from a regulator
Section 28O	Compliance with general regulatory information order	Tier 1	Unacceptable market participant behaviour	Failure to comply with specific notices or requests from a regulator
Section 50D(1)	Requirement for declared transmission system operator to have a network agreement with AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Section 50F(1), (4) and (5)	A declared transmission system operator must not augment the declared share network or any part of it unless certain conditions are satisfied	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Section 53C(3) and (4)	Compliance with market information instrument	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Section 136	Compliance with access determination	Tier 1	Adverse Market Impact	Financial harm to other market participants
Section 157(1)	Preventing or hindering access	Tier 1	Adverse Market Impact	Financial harm to other market participants

National Electricity Rules				
Chapter 1:				
Clause 1.9	Requirement that all records and documents prepared for or in connection with the Rules be retained for at least 7 years	Tier 2	Market Administration	Failure to retain records appropriately
Chapter 2: Registered Participants and Registration				
Clause 2.2.2(c)	Requirement that scheduled generators comply with any terms and conditions imposed by AEMO as part of an approval as a scheduled generating unit	Tier 1	Supply Security and Reliability	Effective operation / performance of the system and service
Clause 2.2.3(d)	Requirement that non-scheduled generators comply with any terms and conditions imposed by AEMO where it is necessary for the relevant generator to comply with some of the obligations of a scheduled or semi-scheduled generator	Tier 1	Supply Security and Reliability	Effective operation / performance of the system and service
Clause 2.2.4(c) and (d)	Requirement for Market Generators to sell / purchase all electricity through the spot market and accept payments from/make payments to AEMO	Tier 1	Unacceptable Market Participant Behaviour	AEMO ability to plan and operate power system efficiently
Clause 2.2.6(g)(1)	Requirement that market generators who have been classified by AEMO as ancillary services generating units comply with any terms and conditions imposed by AEMO	Tier 1	Supply Security and Reliability	Effective operation / performance of the system and service
Clause 2.2.6(g)(2)	Requirement that market generators providing market ancillary services provide services in accordance with AEMO's central dispatch process and in accordance with the market ancillary service specification	Tier 1	Adverse Market Impact	Adverse impact on integrity of wholesale market
Clause 2.2.6(g)(4)	Requirement that market generators submitting market ancillary service offers comply with AEMO's central dispatch process	Tier 1	Adverse Market Impact	Adverse impact on integrity of wholesale market
Clause 2.2.6(h)	Requirement for Market Generator with an ancillary service generating unit to only sell the services produced using that unit through the spot market	Tier 1	Unacceptable Market Participant Behaviour	AEMO ability to plan and operate power system efficiently

Clause 2.2.7(f)	Ssg must comply with any terms/conditions imposed by AEMO as part of approval process to be classified as a SSGU	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a retailer
Clause 2.3.2(c)	First tier customer must not participate in the spot market for any first tier load	Tier 2	Inappropriate Market Participant Behaviour	
Clause 2.3.3(c)	Second tier customer must not participate in the spot market for any second tier load	Tier 2	Inappropriate Market Participant Behaviour	
Clause 2.3.4(c)	Requirement for Market Customer to purchase all electricity through spot market and make payments to AEMO	Tier 1	Unacceptable Market Participant Behaviour	AEMO ability to plan and operate power system efficiently
Clause 2.3.4(h)	Requirement for Customer who is also a Local Retailer to classify any connection point which connects to its local area to another part of the power system as a market load	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 2.3.5(g)(1)	Requirement that market ancillary service providers and market customers comply with terms and conditions imposed by AEMO to ensure that the provisions of the Rules applying to market ancillary services can be met.	Tier 1	Supply Security and Reliability	Effective operation / performance of the system and service
Clause 2.3.5(g)(2)	Requirement that market ancillary service providers and market customers ensure that market ancillary services are provided in accordance with the coordinated central dispatch process operated by AEMO	Tier 1	Adverse Market Impact	Adverse impact on integrity of wholesale market
Clause 2.3.5(g)(3)	Requirement that market ancillary service providers and market customers who have submitted a market ancillary service offer comply with the dispatch instructions from AEMO	Tier 1	Adverse Market Impact	Adverse impact on integrity of wholesale market

Clause 2.3.5(g)(4)	Requirement for Market Ancillary Service Provider or Market Customer (as applicable) to comply with dispatch instructions	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 2.3A.1(g) and (h)	Requirement for Market Small Generation Aggregator to sell / purchase all electricity through spot market and accept payments from / make payments to AEMO	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a retailer
Clause 2.5.1(d4)	Requirement that those granted an exemption from the Requirement to register as a network service provider comply with the deemed conditions and any other conditions imposed by the AER	Tier 1	Supply Security and Reliability	Effective operation / performance of the system and service
Clause 2.5.3(e)(1)	Requirement that scheduled network service providers comply with any terms and conditions imposed by AEMO to ensure that the provisions of the Rules applying to scheduled network services can be met.	Tier 1	Supply Security and Reliability	Effective operation / performance of the system and service
Clause 2.5.3(e)(2)	Requirement that scheduled network service providers ensure that the scheduled network services are provided in accordance with the co-ordinated central dispatch process operated by AEMO	Tier 1	Adverse Market Impact	Adverse impact on integrity of wholesale market
Clause 2.5.3(e)(3)-(4)	Requirements on Scheduled Network Services to notify AEMO of availability of scheduled network services and submit a schedule of dispatch offers	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clauses 2.10.1(c1)-(c3)	Requirements re notification of intention to cease to be a Registered Participant	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 2.10.2(a)	Requirement for Market Participant to cease all trading in the market as specified in notice to cease being a Registered Participant	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravenor
Clause 2.11.2(c)	Requirement to pay Participation fees	Tier 2	Inappropriate Market Participant Behaviour	General reporting obligations to a regulator

Chapter 3: Market Rules				
Clause 3.11.2(f)	Market ancillary services - Requirement for MP which has a generating unit classified as an ancillary service generating unit to install and maintain monitoring equipment	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.11.5(l)	Requirement for NSCAS provider to comply with an ancillary services agreement	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.11.9(d)	Requirement for SRAS provider to comply with an ancillary services agreement under which they provide one or more system restart ancillary services	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.12A.4	Requirement for generators to rebid where mandatory restrictions apply; generators must rebid their total capacity that is the subject of a restriction offer	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 3.12A.7(e)	Determination of funding restriction shortfalls - Requirement for Market Customers in the relevant region to pay AEMO an amount if the restriction shortfall amount is a negative number	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.12A.7(i1)	Determination of funding restriction shortfalls - Requirement for each Market Customer to provide information requested by independent expert	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.12A.7(n)(1)	Requirement for Market Customers and each Market Customer to comply with a determination of a dispute resolution panel	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 3.13.12(f)	NMI Standing Data - Requirement for RP to provide NMI standing data to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.12(g)	NMI Standing Data - Market Customers must not use NMI Standing Data for purposes not permitted	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravenor

Clause 3.13.2(h)	Requirement that a scheduled generator, semi-scheduled generator or market participant must notify AEMO of, and AEMO must publish, any changes to submitted information within the times prescribed in the timetable	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.13.3(b)	Standing data - Requirement for all SG, SSG, and MP to provide AEMO with bid and offer validation data relevant to their scheduled loads, network services or generating units	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.3(b1)	Standing data - Requirement for certain SG, SSG and MP to provide AEMO with information about aggregated loads, network services or generating units	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.3(c)	Standing data - Requirement for all SG, SSG, and MP to provide AEMO in relation to forecasts for connection points and metering information for settlement purposes	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.3(h) - (i)	Standing data - Requirement for SG, SSG and MP to notify AEMO of any changes to validation data	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.3A(e)	ESOO information requests - Requirement for RP to comply with an information request in accordance with Reliability Forecast Guidelines	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.3A(f)	ESOO information requests - Requirement for SG, SSG, MP or NSP to provide ESoo information to AEMO as soon as practicable after it becomes aware of a material change to information	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.13.3A(g)	ESOO information request - Requirement for RP to ensure that information provided in response to info request is not false/misleading etc	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravenor

Clause 3.14.3(e) - (f)	Conditions for suspension of the spot market - RP must cooperate with review conducted by AEMO and provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.15.8A(c)	Funding of compensation for market suspension pricing schedule periods - Market Customer liable to pay AEMO if figure calculated is negative amount	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.15.10A(b) (2)	GST - RP must pay AEMO, AER or the AEMC certain amounts	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.15.16	Payment by market participants	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.15.20(a)	Payment of adjustments	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.15.21(h)	Defaulting market participant must comply with a suspension notice	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 3.15.25(a)	Interest on overdue amounts	Tier 3		
Clause 3.15.8(b)	Funding of Compensation for Directions - AEMO calculation methodology	Tier 3		
Clause 3.15.9(f)	Reserve settlements - Market Customer liable to pay AEMO certain amounts	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.18.4(e)	Proceeds and fees	Tier 3		
Clause 3.19(c)	Requirement for AEMO and all RP, Metering Providers and Metering Data Providers to comply with Market Management System Access Procedures	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 3.3.1(a)	Market Participant Criteria - residence or permanent establishment in Australia	Tier 3		
Clause 3.3.13(a)	Response to Call Notices	Tier 3		
Clause 3.3.16(a)	Limitation on entry of transactions	Tier 3		
Clause 3.3.18(a)	Additional credit support	Tier 3		
Clause 3.3.2(a)-(e)	Acceptable credit criteria	Tier 3		
Clause 3.3.5	Amount of credit support	Tier 3		
Clause 3.3.6(a)-(b)	Changes to credit support	Tier 3		
Clause 3.3.7(b)	Drawings on credit support	Tier 3		
Clause 3.6.3(b)(2)-(3)	Distribution losses - distribution loss factors	Tier 3		
Clause 3.6.3(f)(1)	Distribution losses - the assignment of connection points on a distribution network to a single transmission network point under cl 3.6.3(c)	Tier 3		
Clause 3.6.3(g)	Determination of distribution loss factors	Tier 3		
Clause 3.7.2(d)	Requirement for generators to submit medium term Projected Assessment of System Adequacy inputs to AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently

Clause 3.7.2(e)	Requirement for network service providers to submit to AEMO an outline of planned network outages to assist AEMO to meet its medium term Projected Assessment of System Adequacy obligations	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.7.3(e)	Requirement for generators to submit short term Projected Assessment of System Adequacy inputs to AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.7.3(f)	Short term PASA - Requirement for Registered Participants who may otherwise be exempted from providing inputs for the PASA process to do so to the extent specified by AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 3.7.3(g)	Requirement for network service providers to provide information on planned network outages to assist AEMO to prepare its short term Projected Assessment of System Adequacy	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.7A(n)	Requirement that TNSPs provide AEMO with information that is in accordance with guidelines	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.7A(o)	Requirement that TNSPs provide updated information to AEMO as soon as practicable	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.7A(p)	Requirement around provision of information about congestion by TNSPs to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.7B(b)	Requirement around provision of information about plant availability by semi-scheduled generators to AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently

Clause 3.8.17(e)	Self-commitment - Requirement for Scheduled Generator to advise AEMO of its intention to self-commit and synchronise a scheduled generating unit with a nameplate capacity of 30MW or more	Tier 2	Inappropriate Market Participant Behaviour	General reporting obligations to a regulator
Clause 3.8.18(b) - (c)	Self-decommitment - Requirement for Scheduled Generators to notify AEMO in relation to its self-commitment decisions	Tier 2	Inappropriate Market Participant Behaviour	General reporting obligations to a regulator
Clause 3.8.19(a)-(a1)	Requirements on generators in relation to dispatch inflexibility	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.8.19(b)(1)	Requirement around provision of information to AEMO about inflexibility	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from regulator
Clause 3.8.2(a)	Requirement around generators submitting generation dispatch offers for each trading day	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.8.2(b)	Requirement around generators submitting generation dispatch offers	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.8.2(b1)	Requirement around scheduled network service providers submitting generation dispatch offers	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.8.2(e)	Requirement that AEMO may require exempted participants to provide central dispatch information	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.8.20(g)	Requirement on scheduled generators to be able to dispatch as required under the pre-dispatch schedule and change inputs, if necessary, via the rebidding provisions.	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 3.8.22(c)(1)-(3)	Requirement around rebidding	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.8.22(ca)	Requirement around late rebids	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 3.8.22(ca)	Rebidding - Requirement on SG, SSG and MP who makes a rebid during the late rebidding period to make a contemporaneous record in relation to the rebid including the specified information	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.8.22A	Requirement that scheduled generators, semi-scheduled generators or market participants not make a dispatch offer, dispatch bid or rebid that is false, misleading or likely to mislead.	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor Note: Rebidding Civil Penalty Provision - prescribed as Tier 1 by National Electricity (South Australia) Regulation - draft amendment approved by COAG Energy Council 20 March 2020
Clause 3.8.3A(b), (d)	Requirements on generators regarding provision of ramp rate information to AEMO	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.8.3A(j)	Requirement around provision of up ramp rate and down ramp rate to AEMO	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 3.8.4(a)	Requirement around scheduled generators and market participants notifying AEMO of the available capacity of each scheduled generating unit, scheduled network service and/or scheduled load for each trading interval of the trading day	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently

Clause 3.8.4(b)	Requirement around changing schedule information provided to AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.8.4(c)	Requirement around information provision by scheduled generators	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.8.4(d)	Requirement around information provision by scheduled loads	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.8.4(e)	Requirement around information provision by scheduled network services	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.8.7A(l)	Requirement that market ancillary service offers represent technical characteristics of the ancillary service generating unit	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.8.7A(m)	Requirement around rebids made of the values associated with market ancillary services offers	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 3.8.8(b)	Validation of dispatch bids - Requirement for Scheduled Generators, Semi-Scheduled Generators and Market Participants to check that the data contained in its dispatch offer, bid or market ancillary service offer is correct	Tier 2	Market Administration	Inadequate administrative processes
Clause 3.9.7(a)	Requirement for a scheduled generator that constrained-on during any dispatch interval to comply with dispatch instructions from AEMO in accordance with its availability as specified in its dispatch offer	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 3.9.7(c)	Pricing and compliance with dispatch instructions where inertia generating unit is constrained on - generators must comply with dispatch instructions to maintain Supply Security.	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system

Clause 3.9.7(c)	Requirement for scheduled generating unit to comply with dispatch instructions from AEMO in accordance with its availability specified in dispatch offer (but not dispatch price) when network constraint causes scheduled generating unit to be constrained on	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Chapter 4: Power Supply Security				
Clause 4.10.2(b) - (c)	Power system operating procedures	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 4.10.2(d)	Power system operating procedures - Transmission network operations - RP must ensure that transmission network operations performed on their behalf are undertaken by authorised persons advised in writing to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4.10.3(a)	Power system operating procedures - operating interactions with distribution networks	Tier 2	Inappropriate Market Participant Behaviour	Inadequate administrative processes
Clause 4.10.4(a)	Power system operating procedures - requirement to notify AEMO prior to carrying out any switching	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4.10.4(b)	Power system operating procedures - requirement to provide confirmation to AEMO of any such switching immediately after it occurred	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4.11.1(a)	Power Supply Security support - remote control and monitoring devices	Tier 3		
Clause 4.11.1(b) - (c)	Power Supply Security support - remote control and monitoring devices	Tier 3		

Clause 4.11.1(e)	Power Supply Security support - remote control and monitoring devices	Tier 3		
Clause 4.11.1(g)	Power Supply Security support - remote control and monitoring devices	Tier 3		
Clause 4.11.2(a)	Operational control and indication communication facilities	Tier 3		
Clause 4.11.3(a)	Power system voice/data operational communication facilities	Tier 3		
Clause 4.11.3(b)(1) - (5)	Power system voice/data operational communication facilities	Tier 3		
Clause 4.11.3(c) - (e)	Power system voice/data operational communication facilities	Tier 3		
Clause 4.11.4(a) - (b)	Records of power system operational communication	Tier 3		
Clause 4.11.5(a)	Agent Communications	Tier 3		
Clause 4.11.5(b)	Agent Communications	Tier 3		
Clause 4.12(a)	Nomenclature Standards	Tier 3		
Clause 4.12(c)	Nomenclature Standards	Tier 3		
Clause 4.12(e) - (f)	Nomenclature Standards	Tier 3		
Clause 4.15(a)	Registered Participant must ensure that its plant meets or exceeds performance standards and will not adversely impact on power Supply Security	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently

Clause 4.15(b)	A registered participant with plant that is subject to a performance standard must institute and maintain a program for compliance with generator performance standards	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.15(e)	Compliance with performance standards - record keeping	Tier 2	Market Administration	Failure to retain records appropriately
Clause 4.15(f)	Registered Participant with plant that is subject to a performance standard must immediately notify AEMO if it becomes aware that the plant is breaching a performance standard or believes the plant is likely to breach a performance standard	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.15(h)	Compliance with performance standards - requirement to notify AEMO that plan has returned to compliance with performance standard	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 4.3.3(e)(1)-(3)	Requirement around system operator communication with AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4.3.4(a), (b), (b1), (b2), (d)	Network Service Provider obligations	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.3.4(c)	Requirement that network service providers arrange and maintain systems to facilitate manual load shedding	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.3.4(f)	Network Service Provider obligations	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 4.3.4(g)	Requirement that network service providers operate their transmission system or distribution system in accordance with the power system stability guidelines	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.3.4(j)	Requirement that transmission network service providers that are inertia service providers make their inertia services available to AEMO	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.3.4(k)	Network Service Provider obligations	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.3.4(l)	A Transmission Network Service Provider must provide system strength services.	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.3.4(m)	Transmission Network Service Provider obligations	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.3.4(n)	Requirement on Network Service Provide to provide AEMO information requested	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.3.5(a)-(b)	Market Customer obligations	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.4.2(b)	Generators must meet the technical requirements for frequency control	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system

Clause 4.4.2(b)	Operational frequency control requirements - Each generator must ensure that all of its generating units meet the technical requirements for frequency control	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.4.3	Requirement for generators to protect their plant against abnormal voltage and extreme frequency	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.4.4(g)	Inertia service provider or registered participant must comply with instruction from AEMO	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.4.4(g)	Requirement for inertia service provider or RP providing inertia network services to comply with an instruction given by AEMO	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices of requests from a regulator
Clause 4.4.4(h)	Requirement that an Inertia service provider or registered participant providing inertia network services must ensure that appropriate personnel or electronic facilities are available at all times to receive and immediately act upon instructions issued by AEMO	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.4.5(f)	System strength service provider must comply with AEMO instructions	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.4.5(g)	Requirement that a System Strength service provider or a registered participant providing system strength services must ensure that appropriate personnel or electronic facilities are available at all times to receive and immediately act upon instructions issued by AEMO	Tier 1	Supply Security and Reliability	Security or safety of supply in the electricity or gas system
Clause 4.5.2(b)	Requirement that registered participants comply with directions from AEMO about voltage control	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.6.5(c)	Requirement that network service providers must comply with determinations made by AEMO	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator

Clause 4.7.1(a)	Power System Stability Coordination - stability analysis coordination	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 4.8.1	A Registered Participant must advise AEMO when they become aware of anything that poses a risk to power Supply Security or equipment	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.8.12(d)	Each generator and network service provider must develop local black system procedures in accordance with AEMO guidelines	Tier 1	Supply Security and Reliability	Avoidance/prevention of large scale events
Clause 4.8.14(b), (d), (e)	Generators and network service providers must comply with AEMO directions and requirements, and local black system procedures, during black system/major supply disruption	Tier 1	Supply Security and Reliability	Avoidance/prevention of large scale events
Clause 4.8.15(g)	Review of operating incidents - requirement on Registered Participant to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4.8.2(a)-(b)	A Registered Participant must advise AEMO if they become aware of any protection or control system that is defective or unavailable and must comply with AEMO directions	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.8.2(b)	Requirement that a registered participant must comply with a direction given by AEMO under clause 4.8.2(a)	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.8.5A(d)	Determination of the latest time for AEMO intervention - Requirement for SNSP, SG, SSG or MC to provide information to AEMO to enable it to estimate latest time at which it would need to intervene through an AEMO intervention event	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently

Clause 4.8.9(c) -	A Registered Participant must comply with AEMO directions issued to restore power Supply Security or reliability	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.8.9A	Requirement that Notwithstanding any other provision of the Rules, a registered participant must follow any direction issued by or on behalf of AEMO	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 4.9.2(d)	Requirement that scheduled generator or semi-scheduled generator must, with respect to its generating units that have an availability offer of greater than 0 MW (whether synchronised or not), ensure that appropriate personnel are available at all times to receive and immediately act upon dispatch instructions issued by AEMO to the relevant Generator	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.2A(b)	Requirement that a scheduled network service provider must, with respect to its scheduled network services that have an availability offer of greater than 0 MW, ensure that appropriate personnel are available at all times to receive and immediately act upon dispatch instructions issued by AEMO	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.3(b)	Requirement that market customers must, with respect to scheduled loads in relation to which a dispatch bid has been submitted for a particular trading interval, ensure that appropriate personnel or electronic facilities are available at all times to receive and immediately act upon dispatch instructions issued by AEMO	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.3A(c)	Requirement that a market participant who has submitted a market ancillary service offer must ensure that appropriate personnel or electronic facilities are available at all times to receive and immediately act upon dispatch instructions issued by AEMO	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 4.9.3A(d)	Requirement that NMAS provider with whom AEMO has an ancillary services agreement must ensure that appropriate personnel or electronic facilities are available in accordance with that agreement at all times to receive and immediately act upon dispatch instructions issued to that NMAS provider by AEMO	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4(a) -	Dispatch related limitations on Scheduled Generators and Semi-Scheduled Generators for sending out energy from a generating unit	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4(b)	Requirement that a scheduled or semi-scheduled generator must not adjust the transformer tap position or excitation control system voltage set-point except in accordance with certain conditions	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4(c)	Requirement that a scheduled or semi-scheduled generator must not energise a connection point in relation to a generating unit without obtaining approval from AEMO immediately prior to energisation except in accordance with certain conditions	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4(d)	Requirement that a scheduled or semi-scheduled generator must not synchronise or de-synchronise a scheduled generating unit with a nameplate rating of 30MW or more, without prior approval from AEMO or other than in response to a dispatch instruction except in accordance with certain conditions	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4(e)	Requirement that a scheduled or semi-scheduled generator must not change the frequency response mode of a scheduled generating unit without the prior approval of AEMO except in accordance with certain conditions	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 4.9.4(f)	Requirement that a scheduled or semi-scheduled generator must not remove from service or interfere with the operation of any power system stabilising equipment installed on that generating unit except in accordance with certain conditions	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4A(a)	Requirement that a scheduled network service provider must not energise a connection point in relation to a scheduled network service without prior approval from AEMO. This approval must be obtained immediately prior to energisation	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.4A(b)	Requirement that a scheduled network service provider must not synchronise a scheduled network service to, or de-synchronise a scheduled network service from, the power system without prior approval from AEMO except de-synchronisation as a consequence of the operation of automatic protection equipment or where such action is urgently required to prevent material damage to plant or equipment or in the interests of safety	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 4.9.6(a)(1) - (2)	Commitment of scheduled generating units	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 4.9.6(b)(3)	Instructions by AEMO to commit a generating unit for service - requirement to promptly advise AEMO of any inability to meet the nominated time to synchronise	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 4.9.6(b)(4)	Instructions by AEMO to commit a generating unit for service - requirement to remain on self-dispatch level until AEMO issues further dispatch instruction	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 4.9.7(a)	De-commitment, or output reduction, by Scheduled Generators' advice to be provided to AEMO one hour ahead of de-synchronising	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently

Clause 4.9.7(b)(1)-(4)	Requirement that a scheduled generator must not de-commit a generating unit unless it has confirmed a number of factors with AEMO	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.8(a)	Requirement for participants to follow AEMO's dispatch instructions unless there is a hazard to public safety or equipment	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.8(b)	Scheduled generators must ensure that their units are able at all times to comply with their latest dispatch offer	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.8(b1)	Scheduled network service providers must at all times be able to comply with their latest network dispatch offer in respect of market network services	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.8(c)	Registered participant must ensure that each of its facilities is at all times able to comply with any relevant dispatch bid in respect of the facility	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.8(d)	Market participant with ancillary service generating unit or load must ensure it is able to comply with the latest market ancillary service offer	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.8(e)	A semi-scheduled generator must ensure that each of its units is at all times able to comply with its latest generation dispatch offer	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.9	A scheduled generator must notify AEMO of any event which has changed or is likely to change the operational availability of its units	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.9A	A scheduled network service provider must notify AEMO of any event which has changed or is likely to change the operational availability of any of its scheduled network services	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently

Clause 4.9.9B	A market participant which has classified a unit or load as an ancillary service unit or load must notify AEMO of any event which has changed or is likely to change its availability	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.9C	Inertia Service Provider must inform AEMO of event which has changed availability of inertia support services	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4.9.9D	A system strength service provider must notify AEMO as soon as possible of any event that will change the availability of system strength services.	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate the power system efficiently
Clause 4A.G.13(a)	Market Generator information	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4A.G.17(b)	Liquidity Obligation	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 4A.G.24(b)	MLO Compliance and Reporting	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Chapter 5: Network Connection Access, Planning and Expansion				
Clause 5.17.3(a)	Regulatory investment test for distribution - projects subject to the regulatory investment test for distribution	Tier 3		
Clause 5.17.4(a)	Regulatory investment test for distribution procedures	Tier 3		
Clause 5.2.2(a)	Connection agreements - requirement to document	Tier 3		

Clause 5.2.3 (f)	Obligations on network service providers - requirement to comply with applicable regulatory instruments	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.2.3(b)	Network Service Provider must comply with power system performance and quality of supply standards	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.2.3(b)	Obligations on network service providers - comply with power system performance and quality of supply standards	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.2.3(c)	Obligations on network service providers - report variations to technical requirements of connection agreements to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.3(d)(10) - (12)	Obligations on network service providers - provide information/data to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.3(e)	Network Service Provider must arrange for operation of that part of the national grid over which it has control in accordance with instructions given by AEMO	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 5.2.3(e1)	Obligations on network service providers - arrange for management, maintenance, operation of its part of the national grid /connection point/network and restoration of agreed capability at connection point as soon as reasonably practicable following interruption	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 5.2.3(g)	Obligations on network service providers re new/altered equipment	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.2.3(g1)	Obligations on network service providers - requirement to comply with any terms/conditions of a connection agreement that provide for the implementation, operation, maintenance or performance of a system strength remediation scheme	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.2.3(j)	Obligations on network service providers - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.3(k)	Obligations on network service providers - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.3A(a)	Obligations on Market Network Service Providers - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.3A(b)	Obligations on Market Network Service Providers - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.4(a)	Obligations of customers - each customer must plan and design its facilities and ensure that its facilities are operated to comply with connection agreement with NSP, performance standards, system standards	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service

Clause 5.2.4(c)	Obligation of customers - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.4(d)	Obligation of customers - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.5(a)	Generator facilities must comply with applicable performance standards, connection agreements and system standards	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.2.5(c)	Obligations of Generators - Generator must comply with any terms and conditions of a connection agreement for its generating system that provide for the implementation, operation, maintenance or performance of a system strength remediation scheme	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service; security and safety of supply in the electricity or gas system
Clause 5.2.5(d)	Obligations of Generators - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.5(e)	Obligations of Generators - requirement to provide information requested by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator

Clause 5.2.6(a)	Obligations of AEMO - Requirement to provide NSP on request, a copy of any report provided to AEMO by a NSP. If requested by AEMO, NSP must prepare report as to technical impacts of a development or change that may adversely affect RP in another region, and provide to AEMO, RP requesting the report and on request any other RP	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2.7(b)	Obligations of Dedicated Connection Asset Service Providers - requirement to plan and design facilities to ensure compliant with performance standards, connection agreement and system standards	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service; security and safety of supply in the electricity or gas system
Clause 5.20B.4(b)	If AEMO assesses that there will be an inertia shortfall, Inertia Service Provider must make inertia available	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.20B.5(f)	Inertia support activities - requirement to obtain AEMO's approval	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.20B.6(b)	Inertia network services information and approvals - requirement to register with AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.20B.6(f)	Inertia network services information and approvals - requirement to obtain AEMO's approval	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.20C.3(b)	Where AEMO identifies there is a fault level shortfall, the system strength provider must make system strength services available in accordance with AEMO requirements	Tier 1	Supply Security and Reliability	Failure to comply with specific notices or requests from regulator
Clause 5.20C.4(b)	System strength requirements - System strength services information and approvals - requirement to register with AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator

Clause 5.20C.4(f)	System strength requirements - System strength services information and approvals - requirement to obtain AEMO's approval	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.22(k)	Direction notice - Requirement for directed party to comply with direction notice, requirements of last resort planning guidelines and requirements for application of regulatory investment test for transmission	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 5.2A.3(e)	Transmission network connection and access - prohibition on engaging in conduct for the purpose of preventing or hindering access to those services	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravener
Clause 5.2A.6(c)	Negotiating principles - if applicant seeks large DCA services, the DCA Service Provider must comply with its access policy and negotiating principles in sch 5.12	Tier 3		
Clause 5.2A.7(a)	Third party IUSAs - prohibition on commissioning a third party IUSA unless there is a network operating agreement between the owner, third party IUSA and primary TNSP	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.2A.7(e)	Third party IUSAs - prohibition on owner of a third party IUSA from owning, operating or controlling a generating system or facility utilising electrical energy... that is connected to that third party IUSA	Tier 1	Adverse Market Impact	Distortion of the market
Clause 5.2A.8(d)	Access framework for large dedicated connection assets - requirement to submit an access policy for approval by the AER within 30 days of an asset being classified as a large dedicated connection asset	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.2A.8(l)	NER clause 5.2A.8(l) Access framework for large dedicated connection assets - must not engage in conduct for the purpose of preventing or hindering access to large DCA services	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravener
Clause 5.3.10(a)	Acceptance of performance standards for generating plant that is altered - Generator must not commission altered generating plant until the NSP has advised the Generator that the provider and AEMO are satisfied	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 5.3.2(b)	Connection enquiry	Tier 3		

Clause 5.3.2(c) Connection enquiry	Connection enquiry	Tier 3		
Clause 5.3.2(d)	Connection enquiry	Tier 3		
Clause 5.3.2(f)	Connection enquiry	Tier 3		
Clause 5.3.3(b)	Response to connection enquiry	Tier 3		
Clause 5.3.3(b1)	Response to connection enquiry	Tier 3		
Clause 5.3.3(b5)	Response to connection enquiry	Tier 3		
Clause 5.3.3(c)	Response to connection enquiry	Tier 3		
Clause 5.3.4A(c)	Negotiated access standards - requirement to consult with AEMO in relation to AEMO advisory matters for that proposed standard	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3.4A(e), (f) and (g)	Negotiated access standard - Requirement to accept or reject a proposed negotiated access standard in certain timeframes / circumstances	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.3.4B(a)	System strength remediation for new connections - requirement to undertake system strength impact assessment	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.3.4B(e)	System strength remediation for new connections - requirement to undertake system strength connection works	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.3.4B(i)	System strength remediation for new connections - requirement to consult with AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3.4B(k)	System strength remediation for new connections - requirement to accept or reject proposal for a system strength remediation scheme within 10 business days of receipt of response from AEMO	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.3.4B(q)	System strength remediation for new connections - requirement not to modify system strength remediation scheme unless RP submits proposal to NSP for evaluation by NSP and AEMO	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.3.5(g)	Preparation of offer to connect - must include provision for payment of reasonably costs associated with remote control equipment and remote monitoring equipment	Tier 3		

Clause 5.3.6(a)	Offer to connect - NSP processing an application to connect must make an offer to connect the Connection Applicant's facilities to the network within the specified timeframes	Tier 3		
Clause 5.3.6(b) - (c1)	Offer to connect	Tier 3		
Clause 5.3.6(g)	Offer to connect	Tier 3		
Clause 5.3.6(h)	Offer to connect	Tier 3		
Clause 5.3.6(j)	Offer to connect	Tier 3		
Clause 5.3.7(g)	Finalisation of connection agreements and network operating agreements - requirement to notify AEMO that a connection agreement has been entered into and forward to AEMO relevant technical details	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3.8(e)	Provision and use of information - requirement to promptly notify other party in writing of any material change to any information contained in or relevant to an application to connect	Tier 3		
Clause 5.3.8(f)	Provision and use of information - requirement to advise AEMO of correct information	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3.9(b)(2)	Procedure to be followed by a Generator proposing to alter a generating system - requirement to provide information to NSP and AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3.9(h)	Procedure to be followed by a Generator proposing to alter a generating system - requirement on NSP and Generator to immediately jointly advise AEMO of variation to an existing connection agreement	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3A.10(e)	Preparation of offer to connect	Tier 3		

Clause 5.3A.12(b)	Network support payments and functions - NSP required to register generating unit with AEMO and include certain information, when relevant TNSP or DNSP decides to implement a generation option as an alternative to network augmentation	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.3A.8(g)(1)	Detailed response to enquiry	Tier 3		
Clause 5.3AA(e)	Access arrangements relating to Distribution Networks - DNSP must use reasonable endeavours to provide distribution network user access arrangements being sought by Connection Applicant subject to those arrangements being consistent with good electricity industry practice	Tier 2	Market Administration	Inadequate administrative processes
Clause 5.3AA(h)	Access arrangements relating to Distribution Networks - DNSP must pass through to Connection Applicant certain amounts re locational component of prescribed TUOS services	Tier 3		
Clause 5.6.2(a)	Post-Connection Agreement Matters - Advise relevant NSP and, if the inconsistency relates to performance standards, AEMO in writing of the inconsistency	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 5.6.2(b)	Post-Connection Agreement Matters - Generator and NSP must not commission facility unless facility or connection agreement or performance standard has been varied to remove inconsistency	Tier 1	Supply Security and Reliability	AEMO ability to plan and operate power system efficiently
Clause 5.7.1(l)	Inspection and testing - right of entry and inspection - RP or AEMO required to provide results of the test or inspection to RP whose facilities have been inspected and any other RP which is likely to be materially affected by the results of the test / inspection	Tier 3		
Clause 5.7.2(h)	Right of testing - Requirement on RP to permit a representative to be present while test is being conducted	Tier 3		

Clause 5.7.2(i)	Right of testing - Requirement on RP who conducts a test to submit a report to RP who requested the relevant test, AEMO and any other RP which is likely to be materially affected by the results of the test	Tier 3		
Clause 5.7.3(a)	Test to demonstrate compliance with connection requirements for generators	Tier 3		
Clause 5.7.3(c)	Generator's obligations if tests demonstrate non-compliance with connection requirements for generators	Tier 1	Supply Security and Reliability	Effective operation / proper performance of the system and service
Clause 5.7.3(d)	Test to demonstrate compliance with connection requirements for generators - requirement to provide information to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Chapter 6				
Clause 6.17.1	Compliance with Distribution Ring-Fencing Guidelines	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Chapter 7: Metering				
Clause 7.10.2(a)(3) - (4)	Data management and storage	Tier 2	Market Administration	Failure to retain records appropriately
Clause 7.10.3(a)	Provision of metering data to certain persons	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.10.5(a) - (c)	Periodic energy metering	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.10.6(a)	Time settings	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.10.7(a) - (c)	Obligation to provide metering data to AEMO, ensure performance standards set at a level that does not provide a material risk to AEMO's ability to meet its settlements and prudential requirements obligations,	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator

Clause 7.10.7(d)	Obligation to provide metering data to AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.11.3	Changes to energy data or metering data - MC must notify AEMO that alteration to metering data is necessary and advise the FRMP of the need to change metering data	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.12.2(b)	Metering register discrepancy	Tier 3		
Clause 7.15.2(a)	Security of metering installations	Tier 2	Market Administration	Failure to retain records/data appropriately
Clause 7.15.3(a)-(e), (i) & (j)	Security controls for energy data	Tier 2	Market Administration	Failure to retain records/data appropriately
Clause 7.15.4	Additional security controls for small customer metering	Tier 2	Market Administration	Failure to retain records/data appropriately
Clause 7.15.5(a)	Access to data	Tier 2	Market Administration	Failure to retain records/data appropriately
Clause 7.16.2(c)	All registered participants, metering providers, metering data providers and embedded network managers must comply with the Market Settlement and Transfer Solution Procedures	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.2.1(a)	Obligations of financially responsible Market Participant to establish metering installations	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.3.2(a)	Role of Metering Coordinator	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.3.2(b)	Role of Metering Coordinator	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers

Clause 7.3.2(d)	Role of Metering Coordinator	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.3.2(f)	Role of Metering Coordinator	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services
Clause 7.3.2(e)	Role of the Metering Coordinator with respect to metering installations	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.3.2(g)	Role of Metering Coordinator	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.3.2(h)	Role of Metering Coordinator	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.3.2(i)	Role of Metering Coordinator	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.5.1(d)(1)	Requirement for FRMP to only appoint a Metering Data Provider who can fully accommodate any special site or technology related conditions	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.5A.1	Responsibility of embedded network managers for management services	Tier 2	Market Administration	Inadequate administrative processes
Clause 7.6.3(c)	LNSP required to offer to act as Metering Coordinator, provide FRMP with name of Metering Provider/Metering Data Provider that would be appointed, terms & conditions of offer	Tier 3		

Clause 7.6.4(c)	FRMP must request an offer from LNSP to act as Metering Coordinator where LNSP has not provided FRMP with terms/conditions on which it will agree to act as MC for a type 7 metering installation	Tier 3		
Clause 7.7.1(a)	Requirement to appoint a new Meter Coordinator in certain circumstances (default event and end of contract term)	Tier 1	Consumer Harm (Type 1)	Failure to comply may result reduction of consumers' ability to reasonably access electricity services
Clause 7.7.1(b)	Requirement to appoint a Metering Coordinator as soon as practicable	Tier 1	Consumer Harm (Type 1)	Failure to comply may result reduction of consumers' ability to reasonably access electricity services
Clause 7.8.1(a)	Requirement for Metering Coordinator to ensure there is a metering installation at that connection point	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.8.1(c)	Requirement for metering installation to be carried out by a Metering Provider	Tier 1	Unacceptable Market Participant Behaviour	Deliberate or reckless conduct by the contravener
Clause 7.8.10(a)	Metering Coordinator must cause repairs to be made as soon as practicable but no later than 2 business days after the MC has been notified of the metering installation malfunction	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss
Clause 7.8.10(aa)	Obligations on Metering Coordinators re repair of metering installation malfunction	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss
Clause 7.8.10(c) - (d)	Obligation on Metering Coordinator to provide AEMO with a plan for rectification of metering installation; Obligation on Registered Participant, Metering Provider and Metering Data Provider to notify Metering Coordinator if malfunction cannot be rectified within applicable timeframes	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.8.10A(a)	Timeframes for meters to be installed - new connection (small customer)	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services

Clause 7.8.10A(c)	Timeframes for meters to be installed - new connection (small customer)	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services
Clause 7.8.10B(a)	Timeframes for meters to be installed - where a connection service is not required	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services
Clause 7.8.10B(c)	Timeframes for meters to be installed - where a connection service is not required	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services
Clause 7.8.10C(a)	Timeframes for meters to be installed - where a connection alteration is required (small customer)	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services
Clause 7.8.10C(c)	Timeframes for meters to be installed - where a connection alteration is required (small customer)	Tier 2	Consumer Harm (Type 2)	Failure to provide consumers with supplementary services
Clause 7.8.11(a)	Obligation on Metering Coordinator to ensure changes to parameters or settings within a metering installation are authorised by AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.8.11(b)	Obligation on Metering Coordinator to ensure changes to parameters or settings within a metering installation are implemented by a Metering Provider	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.8.11(c)	Obligation on Metering Coordinator to ensure changes to parameters or settings within a metering installation are confirmed by the Metering Coordinator within 2 business days after alteration made	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.8.13(a)	Obligation to notify AEMO re joint metering installations	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator

Clause 7.8.2(a)(1)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(10)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(11)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(2)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(3)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(4)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges

Clause 7.8.2(a)(5)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(6)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(7)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(8)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(a)(9)	Metering installation components	Tier 2	Consumer Harm (Type 2)	Failure to comply may result in a metering installation that cannot give consumers proper notice of tariffs and charges
Clause 7.8.2(d)(1)	LNSP required to issue unique NMI for each metering installation to FRMP	Tier 2	Market Administration	Inadequate administrative processes
Clause 7.8.2(d)(2)	LNSP required to register NMI with AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.8.2(ea)	Requirement for Embedded Network Manager to apply to AEMO for a NMI for a metering installation	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator

Clause 7.8.3(a)	Requirement for Metering Coordinator to ensure any new or replacement small customer metering installations meet minimum service specifications	Tier 2	Market Administration	Inadequate administrative processes
Clause 7.8.4(f)	FRMP or Metering Provider must promptly provide written notice of small customer refusal to Metering Coordinator	Tier 3		
Clause 7.8.4(g)	Requirement for Metering Coordinator to keep records if it accepts a small customer refusal	Tier 2	Market Administration	Failure to retain records appropriately
Clause 7.8.4(h)	Requirement for Metering Coordinator to ensure new or replacement metering installation installed at connection point is a Type 4A metering installation	Tier 3		
Clause 7.8.6(a)(1) - (2)	LNSP obligations - may install and maintain a network device provided it does not adversely impact / damage a metering installation; must not remove a metering installation	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss for consumers
Clause 7.8.6(d)(2)	Metering Coordinator obligations - must not remove/damage network device except with consent of LNSP	Tier 1	Consumer Harm (Type 1)	Failure to comply may result reduction of consumers' ability to reasonably access electricity services
Clause 7.8.6(g)	Metering Coordinator must notify LNSP of its removal of existing network device and keep a record	Tier 2	Market Administration	Failure to retain records appropriately
Clause 7.8.7(a)	Metering Coordinator must ensure metering point is located as close as practicable to the connection point and any instrument transformers required for a check metering installation are located in a position which achieves a mathematical correlation with the metering data.	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.8.8(c)	Metering Coordinator to ensure accuracy of a type 6 metering installation is in accordance with regulations	Tier 1	Consumer Harm (Type 1)	Failure to comply may result in financial harm or economic loss
Clause 7.9.1(a)	Responsibility for testing of a metering installation	Tier 2	Market Administration	Inadequate administrative / installation processes

Clause 7.9.1(e)	Responsibility for testing of a metering installation	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.9.1(h) - (i)	Responsibility for testing of a metering installation	Tier 2	Market Administration	Inadequate administrative / installation processes
Clause 7.9.2(a)	Obligation on Metering Coordinator to advise AEMO as soon as practicable of errors detected and restore accuracy of metering installation in time-frame agreed with AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 7.9.3(e1)	Audits of information held in metering installations	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Chapter 8: Administrative Functions				
Clause 8.2.3	Dispute management systems of Registered Participants and AEMO	Tier 3		
Clause 8.2.9(c)	Effect of resolution	Tier 3		
Clause 8.6.1(b)(1) - (3)	Confidentiality	Tier 1	Unacceptable Market Participant Behaviour	Contravention is likely to be difficult to detect
Clause 8.6.1(d)	Prohibition on officers of TNSP being involved in/associated with competitive electricity pricing activities	Tier 1	Unacceptable Market Participant Behaviour	Financial gain to the contravenor
Clause 8.6.1(e)	Confidentiality	Tier 1	Unacceptable Market Participant Behaviour	Contravention is likely to be difficult to detect
Clause 8.6.3	Confidentiality	Tier 1	Unacceptable Market Participant Behaviour	Contravention is likely to be difficult to detect
Clause 8.7.2(e)	Reporting requirements and monitoring standards for RP and AEMO	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 8.7.2(f)	Reporting requirements and monitoring standards for RP and AEMO must not recklessly or knowingly provide misleading or deceptive data/info	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Chapter 9: Jurisdictional Derogations and Transitional Arrangements				

Clause 9.12.3(c)(1) - (2)	Power traders	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 9.12.3(e)(1) - (2)	Power traders	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 9.12.3(h)	Power traders	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 9.4.3(b)	Smelter trader compliance	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 9.4.3(d)(1) - (2)	Smelter trader compliance	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 9.4.3(f)	Smelter trader compliance	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Clause 9.4.3(g)	Smelter trader compliance	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Chapter 11: Savings and Transitional Rules				
Clause 11.100.4(c)	Inertia requirements - Inertia service provider given notice must make inertia network services available	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 11.101.4(c)	System Strength Requirements - System strength provider given notice must make system strength services available	Tier 1	Unacceptable Market Participant Behaviour	Failure to comply with specific notices or requests from a regulator
Clause 11.116.13(b)	RRO - MLO Information Template	Tier 3		

Clause 11.86.7(a)	Metering Coordinator for type 5 or 6 metering installation from effective date - LNSP to be appointed as Metering Coordinator by FRMP	Tier 3		
Clause 11.86.7(b)	Metering Coordinator for type 5 or 6 metering installation from effective date - LNSP to provide each FRMP standard set of terms/conditions	Tier 3		
Clause 11.86.7(d)	Metering Coordinator for type 5 or 6 metering installation from effective date	Tier 3		
Clause 11.86.7(g)(3)	Metering Coordinator for type 5 or 6 metering installation from effective date	Tier 1	Consumer Harm (Type 1)	Consumers' access to electricity and gas services
Clause 11.86.7(h)	Metering Coordinator for type 5 or 6 metering installation from effective date	Tier 1	Consumer Harm (Type 1)	Consumers' access to electricity and gas services
Clause 11.86.7(i)	Metering Coordinator for type 5 or 6 metering installation from effective date	Tier 1	Consumer Harm (Type 1)	Consumers' access to electricity and gas services
Schedule 5				
Sch 5 clause 3.1(a1)	Conditions for Connection of Customers - Requirement for Network User to submit certain information to AEMO and the relevant NSPs	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Sch 5 clause 3a.1(a1)	Conditions for connection of Market Network Services - Requirement for MNSP to submit certain information to AEMO and relevant NSPs	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator
Sch 5 clauses 2.4(a), (b)	Provision of information - Requirement to provide all data requested by AEMO or the NSP	Tier 2	Inappropriate Market Participant Behaviour	Failure to comply with general reporting obligations to a regulator