|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **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 *National Electricity (South Australia) (Retailer Reliability Obligation) Amendment Act 2019*. | | |
| 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 |
| Clause3.7A(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 | 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 toimmediately 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 |