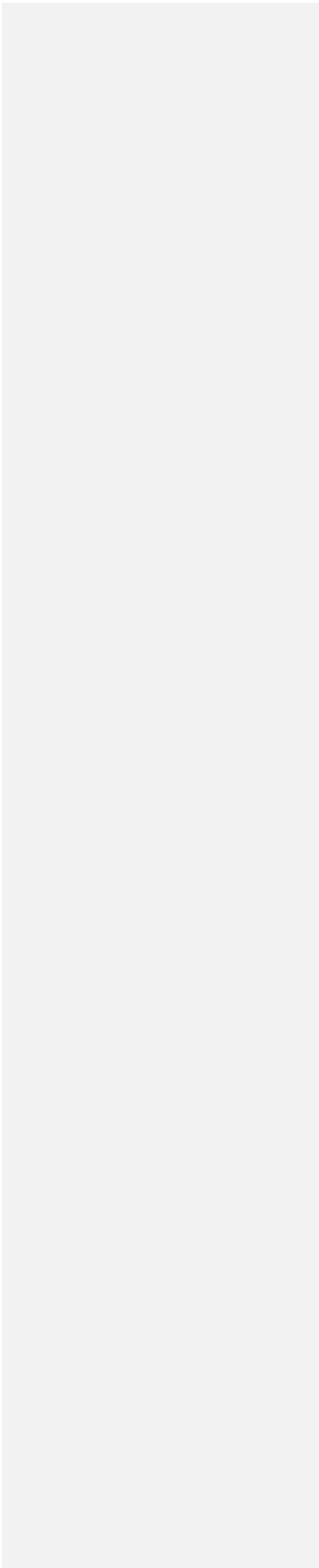




Application for Accreditation

# Guide

Version 5.1, July 2024



### **Acknowledgment of Country**

IPART acknowledges the Traditional Custodians of the lands where we work and live. We pay respect to Elders both past and present.

We recognise the unique cultural and spiritual relationship and celebrate the contributions of First Nations peoples.

### **The Independent Pricing and Regulatory Tribunal**

IPART's independence is underpinned by an Act of Parliament. Further information on IPART can be obtained from [IPART's website](#).

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# Contents

<b>About this document</b>	<b>1</b>
How to use this document	1
Summary of key concepts under the schemes	1
Relevant legislation	1
Glossary	2
Document control	2
<b>1 Applying for accreditation</b>	<b>3</b>
1.1 What you can apply for	3
1.2 Submitting your application	5
1.3 Application fee	5
1.4 Communicating with you	6
<b>2 Assessing your application</b>	<b>7</b>
2.1 Eligibility for accreditation	7
2.2 Set-aside undertaking	7
2.3 Making an accreditation decision	7
2.4 Grounds for refusing an application	8
<b>3 Setting accreditation conditions</b>	<b>10</b>
3.1 Activity definitions and methods	10
3.2 Standard accreditation conditions	10
3.3 Additional or special conditions	11
3.4 Audit conditions and certificate creation limits	11

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## About this document

This document provides guidance to people wanting to be accredited under the Energy Savings Scheme (**ESS**) and the Peak Demand Reduction Scheme (**PDRS**).

### How to use this document

This document has 3 sections:

- **Section 1** – what you can apply for and how to submit your application.
- **Section 2** – assessment of your application and what happens after the Scheme Administrator determines your application.
- **Section 3** – information about accreditation conditions and how your audit conditions and any certificate limits are determined.

### Summary of key concepts under the schemes

The ESS and PDRS are schemes under the [Energy Security Safeguard](#). The ESS aims to reduce the consumption of energy. The PDRS aims to reduce peak electricity demand on the electricity system in NSW during peak periods.

Under the schemes, Accredited Certificate Providers (**ACPs**) can create certificates by implementing defined activities (e.g. installing a high efficiency air conditioner) that reduce energy consumption (ESS) or electricity demand during peak times (PDRS). ESS certificates are called Energy Savings Certificates (**ESCs**) and PDRS certificates are called Peak Reduction Certificates (**PRCs**).

To be an ACP, you must be accredited for an activity and calculation method. Eligible activities under the ESS are called Recognised Energy Saving Activities (**RESAs**) and under the PDRS are called Recognised Peak Activities (**RPAs**).

### Relevant legislation

The following documents contain necessary information when applying for accreditation:

- [Schedule 4A to the Electricity Supply Act 1995 \(Act\)](#)
- [Electricity Supply \(General\) Regulation 2014 \(Regulation\)](#)
- [Energy Savings Scheme Rule of 2009 \(ESS Rule\)](#)
- [Peak Demand Reduction Scheme Rule of 2022 \(PDRS Rule\)](#), and
- Method Guide relevant to the [ESS](#) calculation method or [PDRS](#).

The Act and Regulation underpin the schemes, including other parts of the schemes not covered in this guide.

The ESS and PDRS Rules set out the requirements for implementing activities and creating certificates from activities under each scheme. The ESS and PDRS Rules are made under the Act.

You need to read the Method Guide relevant to the calculation method you are applying for, which provides more information for implementing specific activities and creating certificates for each method under the rules.

## Glossary

Category	Definition
Accreditation Notice	A written notice issued by the Scheme Administrator under clause 62U(1) of the Regulation specifying any conditions of accreditation.
Accredited Certificate Provider ( <b>ACP</b> )	ACPs are parties that are accredited to create Peak Reduction Certificates (PRCs) from carrying out Recognised Peak Activities (RPAs) that create capacity to reduce demand during peak hours.
Compliance Record	A record of how the ACP has complied with the requirements of schemes under the Energy Security Safeguard, including their governing legislation, guidance documents and conditions of accreditation.
Conditions of accreditation	Conditions either imposed by the regulations, or by the Scheme Administrator on the accreditation of an ACP under clause 114 of Schedule 4A of the Act
Energy Savings Certificates ( <b>ESCs</b> )	A transferrable certificate under Part 2 of Schedule 4A of the Act that is created in accordance with the ESS Rule, and that represents a reduction in energy consumption, associated with the installation, modification, replacement or removal of equipment.
Peak Reduction Certificates ( <b>PRCs</b> )	A transferrable certificate under Part 2 of Schedule 4A of the Act that is created in accordance with the PDRS Rule, and that represents a capacity to reduce peak demand, associated with the installation, modification, replacement or removal of equipment.
Recognised Energy Saving Activity ( <b>RESA</b> )	Activities that are eligible under the ESS Rule. ACPs are accredited to create ESCs on the basis of carrying out these activities.
Recognised Peak Activity ( <b>RPA</b> )	Activities that are eligible under the PDRS Rule. ACPs are accredited to create PRCs on the basis of carrying out these activities.
Related ACPs	An ACP will be related to another ACP where the risk profile of one ACP is relevant to the assessment of the risk profile of the other. For example, ACPs who share the same office holders, are controlled by the same entity, or use the same staff, are likely to be related ACPs.
Scheme Administrator	The person or body required to exercise the functions of the Scheme Administrator under the Act. The Scheme Administrator is the decision-making body with respect to ACPs and their ESS and PDRS activities.

## Document control

Version	Change description	Date published
V5.0	Create one application guide covering both the ESS and PDRS. Incorporate information from V4.3 of the ESS Application for Accreditation Guide and V1.1 of the PDRS Application for Accreditation Guide.  Update requirements for setting audit conditions and limits on certificate creation.	5 May 2024
V5.1	Add new PDRS calculation methods (SASC and HADR) and remove deleted PDRS activity definitions (Activity Definitions RF1 and SYS1)	22 July 2024

# 1 Applying for accreditation

## Key points

- You apply for energy saving activities or peak demand reduction activities that are linked to a calculation method.
- We will assess your application once we have received your documents and you have paid the application fee.
- We will communicate with you via TESSA in most circumstances. You must keep contact details in TESSA up to date.

## 1.1 What you can apply for

You can apply to be an ACP for an activity (referred to as RESA under the ESS and RPA under the PDRS) and calculation method (or 'methods'). Applications usually include only one method, but some can include a combination of methods. **Tables 1 and 2** describe the activities and related calculation methods and where an application can include more than one method.

Where there is a combination of methods, you can include one or more of those methods in the one application. For example, Table 1 below shows that an application for activities under the HEER method can also include activities under the IHEAB method, whereas an application for the PIAM&V method can only include that method.

The HEER and IHEAB calculation methods of the ESS have activities that match those in the RDUE calculation method of the PDRS – called corresponding activities (**Table 3**). If you are applying for activities under the HEER or IHEAB methods that have corresponding PDRS activities, you should consider also applying for the corresponding activities under the RDUE method.

Table 1 ESS activities

Activity (RESA)	Sites	Calculation method	Calculation method short name	Application combinations <sup>a</sup>
Installation and replacement of water heaters, air conditioners, lighting, pool pumps, draught proofing, showerheads, glazing, space heating, roof ventilation, exhaust fans, chimney dampers (Schedules D and E of the ESS Rule).	Residential and small business	Home Energy Efficiency Retrofits (clause 9.8 of the ESS Rule)	HEER	HEER, IHEAB, RDUE

<sup>a</sup> Where multiple calculation methods are listed, you can include one or more of those calculation methods in your application.

Activity (RESA)	Sites	Calculation method	Calculation method short name	Application combinations <sup>a</sup>
Installation and replacement of energy efficient refrigerated cabinets, liquid chilling packages, air conditioners, motors, boilers, water heaters (Schedule F of the ESS Rule)	Commercial	Installation of High Efficiency Appliances for Business (clause 9.9 of the ESS Rule)	IHEAB	HEER, IHEAB, RDUE
Lighting upgrades in commercial buildings. May also include street-lights and traffic signals	Commercial	Commercial Lighting Energy Savings Formula (clause 9.4 of the ESS Rule)	CLESF	CLESF, PLESF
Lighting upgrades of roads and public spaces and traffic signals	Commercial and industrial	Public Lighting Energy Savings Formula (clause 9.4A of the ESS Rule)	PLESF	CLESF, PLESF
Removal of old, energy intensive refrigerators and freezers	Residential and commercial	Removal of Old Appliances (clause 9.7 of the ESS Rule)	ROOA	None
Sales of energy efficient appliances and whitegoods	Residential and commercial	Sale of New Appliances (clause 9.3 of the ESS Rule)	SONA	None
Installation of power factor correction equipment	Commercial and industrial	Power Factor Correction Energy Savings Formula (clause 9.6 of the ESS Rule)	PFC	None
Use measurement and verification principles to verify energy savings	All	Project Impact Assessment with Measurement and Verification (clause 7A of the ESS Rule)	PIAM&V	None
Compare energy consumption before and after an energy savings project is implemented. Best suited to 'whole site' energy savings	Commercial and industrial	Metered Baseline Method – methods 1, 2 and 3 (clauses 8.5, 8.6 and 8.7 of the ESS Rule)	MBM	3 MBM sub-methods <sup>b</sup>
NABERS ratings to calculate annual energy savings from office buildings, shopping centres and hotels	Commercial and industrial	Metered Baseline Method – NABERS baseline (clause 8.8 of the ESS Rule)	NABERS	None
Large groups of energy customers using statistical analysis	Residential and commercial	MBM – Aggregated Metered Baseline (clause 8.9 of the ESS Rule)	AMB	None

Table 2 PDRS activities

Activity (RPA)	Sites	Calculation method – full name	Calculation method – short name	Application combinations
Installation and replacement of air conditioners, heat pump water heaters, refrigerated cabinets, pool pumps (see Schedule B of the PDRS Rule)	Residential, small business and commercial	Reducing Demand Using Efficiency	RDUE	HEER, IHEAB, RDUE

<sup>b</sup> An application may include one or more of: Baseline per unit of output, Baseline unaffected by output and Normalised baseline.

Activity (RPA)	Sites	Calculation method – full name	Calculation method – short name	Application combinations
Installation of a battery energy storage system (Activity Definition BESS1)	Residential and small business	Store and Shift Capacity	SASC	None
Sign a behind the meter battery energy storage system up to a demand response contract (Activity Definition BESS2)	Residential	Household Annual Demand Response	HADR	None

Table 3 RDUE activities and corresponding ESS activities

End-user equipment	RDUE Activity Definition <sup>a</sup>	ESS Activity Definition <sup>b</sup> and method
Residential air conditioners	HVAC1	D16 (HEER)
Commercial air conditioners	HVAC2	F4 (IHEAB)
Heat pump water heaters	WH1	F16/D17 <sup>c</sup> (IHEAB)
Refrigerated cabinets	RF2	F12 (IHEAB)
Residential pool pumps	SYS2	D5 (HEER)

a. Activity Definitions are described in Schedule B of the PDRS Rule.

b. Activity Definitions are described in Schedule D and F of the ESS Rule.

c. Under the PDRS Rule, PRCs cannot be generated from heat pump water heaters installed in a BCA Class 1 or 4 building. This means that implementations undertaken under the corresponding ESS Activity Definition D17 in these building types cannot be used to create PRCs.

## 1.2 Submitting your application

You must submit your application electronically via our online system, [TESSA](#). Your application must include:

- the completed application form, which has 2 parts:
  - Application for Accreditation Form Part A relevant to the type of applicant you are
  - Application for Accreditation Form Part B relevant to the calculation method for which you are applying, and
- supporting documentation as set out in the application forms.

Only a signatory user in TESSA can submit an application for accreditation.

Application forms and further information about how to submit your application are on the [ESS](#) and [PDRS](#) pages on our website.

## 1.3 Application fee

Each application under the ESS incurs an application fee of \$2,500, which is non-refundable.

PDRS applications also incur a non-refundable application fee of \$2,500, unless you are applying for the RDUE method and are already accredited, or in the process of applying for accreditation, for the corresponding activity under the ESS.

When we receive your application, we first check it for completeness. If you have provided all required information, we will send you an invoice for the application fee through TESSA.



You may be exempted from paying the application fee if you can demonstrate your application meets **all** of the following criteria:

- You previously submitted an application for the same activity but subsequently withdrew it.
- You submitted the new application within 6 months of the date the first application was withdrawn.
- You paid the application fee for the withdrawn application, and we issued no more than one request for information (**RFI**).
- The new application uses the approach approved by the Scheme Administrator and addresses any issues previously identified by us (e.g. through an RFI).

We will start assessing your application when we receive the application fee, or when we receive all the required information if there is no fee.

## 1.4 Communicating with you

We will communicate with you through notifications on our online portal TESSA for regular matters, and may contact you by email or phone for any other matters. You must ensure your contact details in TESSA are kept up to date. For privacy reasons, we won't discuss your application with anyone else unless an authorised person from your organisation provides specific written permission.

We may request further information from you (in an RFI) if we identify issues with your application that require clarification, explanation or if information is missing. We may also request information from you if requirements change (e.g. the ESS or PDRS Rule is amended) while we are processing your application. We issue RFIs through TESSA.

Where we request information, we will include a due date for your response. You may request an extension to any due dates by contacting the analyst for your application. We will provide their contact details in the RFI.

We may also request to meet with you if we have concerns about your application, to explain our requirements or better understand your business model or approach to implementing your proposed activity.

## 2 Assessing your application

### Key points

- You must meet the eligibility criteria to be accredited.
- You will be asked to consent to an undertaking that will require you to set aside a proportion of your certificates until the batch is audited.
- If you are accredited you will need to comply with conditions in your Accreditation Notice.

### 2.1 Eligibility for accreditation

You are only eligible for accreditation as an ACP if we are satisfied that the following apply:<sup>c</sup>

1. The activity is recognised under the scheme rules.
2. Your record keeping arrangements are appropriate.
3. You will undertake the activity substantially as described in your application.
4. You do not benefit from a full exemption from the schemes.<sup>d</sup>

We will also consider whether you are competent to be an ACP for the activity and that you are a fit and proper person.

### 2.2 Set-aside undertaking

When you submit your application, you will be asked if you consent to enter into a set-aside undertaking. If we accept your undertaking and approve your application, the undertaking will require you to withhold or set-aside a percentage of unaudited ESCs from sale or trade until the validity of the ESCs have been confirmed through an audit. Refer to the [Fact Sheet – Undertakings](#) for more information about this requirement.

### 2.3 Making an accreditation decision

We assess the information you provide with your application and then the Scheme Administrator decides whether you will be accredited. In our assessment, we consider:

- all relevant information you provide through the application process

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<sup>c</sup> ESS: Clause 38 of Schedule 4A to the Act and clause 38 of the Regulation.

PDRS: Clause 110 of Schedule 4A to the Act and clause 62J of the Regulation.

<sup>d</sup> The Minister may grant full or partial exemptions for certain electricity loads under the schemes.

- your (and your Related ACPs)<sup>e</sup> compliance record in the ESS, PDRS and other similar schemes
- current and emerging compliance issues (including within other similar schemes)
- other relevant factors (e.g., individual credit checks of your office holders and work health and safety checks) and all matters we are required to consider under the Act and Regulation.

We assess applications in accordance with the Act, the Regulation, the rules and relevant guidance documents.

The Scheme Administrator decides applications on a case-by-case basis and accreditation is not guaranteed (see **Section 2.4** below). We will advise you of the decision in writing and the reasons for the decision. You will receive this as a notification through our online portal, TESSA.

## 2.4 Grounds for refusing an application

The Scheme Administrator may refuse an application on any of the following grounds:<sup>f</sup>

1. Whether the person is eligible for accreditation for the activity (see **Section 2.1** above).
2. Whether the application is properly made.
3. Whether the applicant has given an undertaking as required by the Scheme Administrator.
4. Whether the applicant is competent to be a certificate provider for the activity.
5. Whether the applicant is a fit and proper person:
  - a. An individual may not be a fit and proper person if any of the following apply:
    - i. The individual has, in the previous 10 years, been found guilty of an offence involving fraud or dishonesty.
    - ii. The individual has been found guilty of an offence under the Act or this Regulation.
  - b. A corporation may not be a fit and proper person if a person who is a director of the corporation, or otherwise involved in the management of the corporation is not a fit and proper person.

The Scheme Administrator is not limited by the above grounds when determining whether an applicant is a fit and proper person or not.

For the ESS, clauses 5.6 and 5.7 of the ESS Rule also provides that:

- a. A person is only eligible for accreditation as an ACP if the person is a 'suitable person' to be so accredited, and

<sup>e</sup> An ACP will be related to another ACP where the risk profile of one ACP is relevant to the assessment of the risk profile of the other. For example, ACPs who share the same office holders, are controlled by the same entity, or use the same staff, are likely to be related ACPs.

<sup>f</sup> ESS: Clause 39(3) of Schedule 4A to the Act and clause 41 of the Regulation.  
PDRS: Clause 111 of Schedule 4A to the Act and clause 62M of the Regulation.

- b. In considering the suitability of a person, the Scheme Administrator may take into account such matters as it considers relevant including previous commercial dealings of the person and its associates, and the standard of honesty and integrity shown in those previous commercial dealings.

### 2.4.1 If your application is successful

If you are accredited, we will issue you with an Accreditation Notice outlining your conditions of accreditation. You need to read and understand the Accreditation Notice, as you are required to comply with it and any undertaking you have given, as well as the Act, the Regulation and the rules.

We will publish your company name and the activities for which you are accredited on the [Energy Sustainability Schemes](#) website and in the certificate registry within TESSA. Unless you advise otherwise, we will also publish your website details so that businesses and householders can contact you directly.



If your application is successful, you will only be accredited for the activities and calculation methods that are listed in your Accreditation Notice.

### 2.4.2 If your application is refused

If the Scheme Administrator refuses your application for accreditation, we will provide you with the reasons for the decision and information about your review rights.<sup>9</sup>

If your application is refused, the following information will be added to the public register of persons refused accreditation on our website:

- your name, ABN and, if you are a corporation, your ACN
- the reasons your application was refused
- the dates your application was made and refused
- the activities that you applied for.

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<sup>9</sup> Our [Fact sheet – How to have a decision reviewed](#) provides more information about your review rights.

## 3 Setting accreditation conditions

### Key points

- Once you are accredited you are issued with your Accreditation Notice, which contains your accreditation conditions.
- Breaching your accreditation conditions can result in compliance action.
- Audit conditions determine when an audit is required and when you can create certificates.
- We set the audit conditions and any certificate limits based on various factors.

We set your accreditation conditions based on the types of activities in your accreditation. All accreditation notices contain conditions including:

- the activities that you are accredited to do
- the calculation method you can use to calculate the number of certificates you can create
- when you must arrange for an audit
- record-keeping, customer engagement, managing representatives, and insurance requirements
- notification/reporting obligations, or any additional or special conditions.

The following sections provide detail on how we set your accreditation conditions.

### 3.1 Activity definitions and methods

All accreditation notices specify the calculation method and, where relevant, the activity definitions that you can use to calculate and create certificates. We will only include the activities and calculation methods that were included in your application and approved by the Scheme Administrator.

### 3.2 Standard accreditation conditions

All accreditation notices contain standard conditions, including those relating to record keeping, customer engagement, managing representatives, and insurance requirements. More information on these conditions is provided in the [General Requirements Guide \(ESS\)](#) and [Method Guide \(PDRS\)](#). We may vary these standard conditions or impose additional conditions depending on how you propose to implement your activity.

### 3.3 Additional or special conditions

We may impose additional or special conditions on an accreditation if required. If we do this, we will provide reasons to support our decision when we inform you that your application is successful.

### 3.4 Audit conditions and certificate creation limits

ACPs are required to undertake audits as a condition of accreditation. We assign audit conditions on a case-by-case basis. There are 2 types of audit conditions:

- **Pre-registration** audit conditions require the ACP to conduct an audit before they register certificates. The ACP can only create audited certificates. We do not limit the number of audited certificates the ACP can create.
- **Periodic** audit conditions set out the maximum amount of time that can pass between audits of an accreditation – usually every 12 months. The ACP can create both unaudited and audited certificates. We usually limit the number of unaudited certificates the ACP can create between audits.

The Scheme Administrator considers the following factors when setting audit conditions:

- whether you agreed to a set-aside undertaking
- your history of compliance under the ESS, PDRS any other similar schemes (e.g. the Victorian Energy Upgrades program and Renewable Energy Target scheme)
- your demonstrated understanding of the scheme and the calculation method you have proposed to use (as demonstrated in your application)
- background checks that we conduct.

#### 3.4.1 Audit and creation limit conditions – ESS

If you are new to the ESS and have no experience as a certificate provider in other schemes,<sup>h</sup> we will most likely apply pre-registration audit conditions. This allows for an expert auditor to check that your documentation and processes support the creation of ESCs. We impose this restriction to mitigate the risk of improper certificate creation while you are starting out under your new accreditation.

If you are an existing ACP in the ESS with experience relevant to your application, we may apply periodic audit conditions with an unaudited certificate limit, usually between 10,000 and 25,000 ESCs. Your experience must be supported with a good compliance record, including good audit results. We may also take this approach if you are a certificate provider in other schemes for related activities.

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<sup>h</sup> For example, an Accredited Provider in the Victorian Energy Upgrades program or Registered Person in the Renewable Energy Target.

We also consider any other factors relevant to your application to ensure we appropriately mitigate the risk of non-compliance (including improper ESC creation). These factors include:

- whether you consented to a set-aside undertaking<sup>i</sup> (noting that the Scheme Administrator can refuse your application if you fail to give such an undertaking)
- current or emerging compliance issues.

We make all decisions on a case-by-case basis to ensure we appropriately manage the risk of improper certificate creation. We have broad discretion to apply the appropriate measure, or suite of measures, in any given case.

### 3.4.2 Audit and creation limit conditions – PDRS

#### **RDUE calculation method**

You are likely to be given the same audit conditions as in your corresponding ESS accreditation.

If you have pre-registration audit conditions under the ESS, you will be assigned the same audit condition under the PDRS.

If you have periodic audit conditions under the ESS, you are likely to be given periodic audit conditions under the PDRS. Your unaudited certificate limit is likely to be 10 times your ESS unaudited certificate limit. If the Scheme Administrator identifies additional risk factors with your application, or you have a poor compliance history, you may be assigned a pre-registration audit regime under the PDRS.

If you have more than one corresponding ESS accreditation, we will set separate unaudited certificate limits for each set of activity definitions in the PDRS that relate to the corresponding ESS calculation method. See the example in the box below.

#### **Box 1 Example of setting separate unaudited certificate limits**

You have applied for HVAC1 and WH1 activity definitions in your PDRS application. You have 2 ESS accreditations:

- a HEER accreditation with a 10,000 unaudited ESC limit, and
- an IHEAB accreditation with a 100,000 unaudited ESC limit.

Because you meet all the requirements for periodic audit conditions in the PDRS, 2 separate volumetric limits will be set for your PDRS accreditation:

- HVAC1 limit of 100,000 PRCs and
- WH1 limit of 1,000,000 PRCs.

<sup>i</sup> See [Fact Sheet – Undertakings](#).

## SASC and HADR calculation methods

If you are new to the PDRS and have no experience as a certificate provider in the ESS or other schemes,<sup>j</sup> we will most likely apply pre-registration audit conditions. This allows for an expert auditor to check that your documentation and processes support the creation of PRCs. We impose this restriction to mitigate the risk of improper certificate creation while you are starting out under your new accreditation.

If you are an existing ACP in the ESS or PDRS with demonstrated experience as a certificate provider, we may apply periodic audit conditions with an unaudited certificate limit, usually:

- 30,000 to 50,000 PRCs for SASC
- 4,000 to 8,000 PRCs for HADR.

Your experience must be supported with a good compliance record, including good audit results. We may also take this approach if you are a certificate provider in other schemes for related activities.

We also consider any other factors relevant to your application to ensure we appropriately mitigate the risk of non-compliance (including improper PRC creation). These factors include:

- whether you consented to a set-aside undertaking<sup>k</sup> (noting that the Scheme Administrator can refuse your application if you fail to give such an undertaking)
- current or emerging compliance issues.

We make all decisions on a case-by-case basis to ensure we appropriately manage the risk of improper certificate creation. We have broad discretion to apply the appropriate measure, or suite of measures, in any given case.

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<sup>j</sup> For example, an Accredited Provider in the Victorian Energy Upgrades program or Registered Person in the Renewable Energy Target.

<sup>k</sup> See [Fact Sheet – Undertakings](#).



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