

# Shire of Moora – 2014 Operational Audit and Asset Management System Review

## Post-Audit Implementation Plan

Reference (no./year)	Details of Non Compliance or improvement required	Auditor's recommendation	Management action	Position Responsible (i.e. CEO, EHO etc)	Target Date for Completion
01/2014	<i>Non-compliant – NP2 Water Services Licensing Act 1995, Licence Number 12, version OL2, Schedule 3 Clause 2.5 Customer Service Charter not available to its customers in the three ways.</i>	No further recommendation as this obligation is no longer in effect.	N/A		
02/2014	<i>Non-compliant –NP2 Water Services Licensing Act 1995, Clause 8 Licensee has not provided one of the other two consultation mechanisms identified in clause 4.1(b).</i>	No further recommendation as this obligation is no longer in effect.	N/A		
03/2014	<i>Non-compliant – NP2 Water Services Licensing Act 1995, Schedule 3 Clause 4.1 Licensee had not established a Customer Council or institute at least two of the following: establish a regular meeting; publish a newsletter or run other public forums, concerning the licensed activities.</i>	No further recommendation as this obligation is no longer in effect.	N/A		
04/2014	<i>Non-compliant – C2 Water Services Licensing Act 1995, Clause 5.1 Licensee has not complied with all applicable legislation.</i>	We recommend that the licensee prepare a compliance register and reporting procedure based on the Authority's Compliance Reporting Manual to assist in keeping track of its statutory and regulatory obligations. The	Compliance register completed. Existing calendar under review. The register is based on the Compliance Reporting Manual and links each obligation to a report and its location reference.	MDS	Completed

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		<p>observations detailed in Table 5-1 in this audit report may be used as the basis for this. Relevant correspondence should be retained and logged in a suitable named and located folder on the licensee's server.</p> <p>Note: reporting procedure to detail how the data is collected, validated, reviewed/analysed and reported to the ERA.</p>			
05/2015	<p><i>Non-compliant – B2 Water Services Act 2012, Clause 5.3</i></p> <p><i>Licensee has not complied with all of the obligations of the Water Services Code of Conduct (Customer Service Standards) 2013</i></p>	<p>We recommend that the licensee address the recommendations 09/2015 to 15/2015.</p>	<p>See 09-15/2015</p>		
06/2015	<p><i>Non-compliance – C2 Water Services Act 2012, Sections 82(4) &amp; (5)</i></p> <p><i>The licensee to provide required notification of and requirements as to building work within 7 days of receiving the fee for dealing with the notification.</i></p>	<p>We recommend that the licensee modify its processes for assessing development work so that it complies with the time requirements of the Water Services Act 2012, Sections 82(4) &amp; (5)</p>	<p>Building, plumbing and sewerage connection process under development.</p>	<p>MDS / CEO</p>	<p>July '15</p>
07/2015	<p><i>Non-compliance – B2 Water Services Code of Conduct (Customer Service Standards) 2013, Clause 7</i></p>	<p>Update the existing Customer Service Charter to reflect the required information about connections as required under</p>	<p>The Customer Services Charter has been updated accordingly. It will be put on the Shire website in July.</p>	<p>MDS</p>	<p>Mid July 15</p>

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	<i>Licensee must have written information for customers about the specified matters under section 21(2)(c) or (3)(c) and section 73 of the Act.</i>	section 21(2)(c) or (3)(c) and section 73 of the Act. (obligation 93 of the 2014 compliance manual). Alternatively, the licensee may prepare a new information document covering these topics.			
08/2015	<i>Non-compliance – B2 Water Services Code of Conduct (Customer Service Standards) 2013, Clause 18(2)  License does not have a formal written procedure for the review of a bill on the customer's request.</i>	Prepare a written procedure for review of a bill consistent with the requirements of the Code, Compliance Manual 2014 obligations 114 to 116	<b>A bill review / public information procedure is currently being created.</b>	DCEO	Aug '15
09/2015	<i>Non-compliance – B2 Water Services Code of Conduct (Customer Service Standards) 2013, Clauses 18(3) &amp; (6)  License does not have a formal written procedure for the review of a bill on the customer's request.</i>	Refer to recommendation 08/2015	<b>08/2015</b>		
10/2015	<i>Non-compliance – B2 Water Services Code of Conduct (Customer Service Standards) 2013, Clause 18(4)  License does not have a formal written procedure for</i>	Refer to recommendation 08/2015	<b>08/2015</b>		

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	<i>the review of a bill on the customer's request.</i>				
11/2015	<p><i>Non-compliance – B2</i></p> <p><i>Water Services Code of Conduct (Customer Service Standards) 2013, Clause 21(1)</i></p> <p><i>The licensee does not have direct debit payment method to allow a customer to pay a bill.</i></p>	In addition to the other bill payment options, the licensee to make provision of direct debit services available as identified in its Financial Hardship Policy and as consistent with the Authority's Financial Hardship Policy Guidelines.	Under development	DCEO	Aug '15
12/2015	<p><i>Non-compliance – B3</i></p> <p><i>Water Services Code of Conduct (Customer Service Standards) 2013, Clause 35(1)</i></p> <p><i>The Licensee's complaints procedure is not fully documented</i></p>	Prepare and implement a complaints handling procedure consistent with the requirements of AS ISO 10002 and Clause 35 of the Water Service Code of Conduct	The Complaints Handling Policy has been updated accordingly. It will be put on the Shire website in July.	MDS	Mid July 15
13/2015	<p><i>Non-compliance – B3</i></p> <p><i>Water Services Code of Conduct (Customer Service Standards) 2013, Clause 35(2)</i></p> <p><i>The Licensee's complaints procedure is not fully documented or consistent with AS ISO 10002</i></p>	Refer to recommendation 12/2015	12/2015		
14/2015	<p><i>Non-compliance – B3</i></p> <p><i>Water Services Code of Conduct (Customer Service Standards) 2013, Clause 35(3)</i></p> <p><i>Licensee's complaints procedure does not fully</i></p>	Refer to recommendation 12/2015	12/2015		

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	<i>address the matters specified in relation to lodgement of complaints, responding to complaints, dispute resolution arrangements and resolving complaints.</i>				
15/2015	<i>Non-compliance – B3 Water Services Code of Conduct (Customer Service Standards) 2013, Clause 35(4) Licensee's complaints procedure does not fully address the requirements about informing customers that they do not have to use the licensee's complaints procedure, the procedures under the Act and the costs and benefits of the different complaints resolution approaches.</i>	Refer to recommendation 12/2015	12/2015		
16/2015	<i>Non-compliance – B3 Water Services Code of Conduct (Customer Service Standards) 2013, Clause 35(6) Licensee's complaints procedure consistent with Clause 35 is not publically available</i>	Refer to recommendation 12/2015	12/2015		
17/2015	<i>Non-compliance – B2 Water Services Code of Conduct (Customer Service Standards) 2013, Clause 37(1)</i>	Provide the following information publically: <ul style="list-style-type: none"> <li>• Bill payment methods</li> <li>• Exemptions, rebates and discounts</li> </ul>	Bill payment methods are listed on the Shire leaflet. Rebate information is on the website. Re-publishing of this info on the website has been requested.	MDS	Sep '15 / Mid Jul '15

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Reference (no./year)	Details of Non Compliance or improvement required	Auditor's recommendation	Management action	Position Responsible (i.e. CEO, EHO etc)	Target Date for Completion
	<i>The licensee does not make all of the prescribed information publicly available</i>	available Large print services	Large print documents have been created and will be on the Shire website in July 2015.		
18/2015	<i>Non-compliant - B2 Water Services Act 2012, Section 12 (Clause 16) The licensee did not provide a compliance report to the Authority for 2012/13 reporting period.</i>	Refer to recommendation 04/2015	04/2015		
19/2015	<i>Non-compliant - B2 Water Services Act 2012, Section 12 (Clause 20) The licensee notification to the Authority of a material change to the asset management system was longer than the prescribed 10 days following the post implementation review.</i>	Refer to recommendation 04/2015	04/2015		
20/2015	<i>Non-compliant – B2 Water Services Act 2012, Section 29 (Clause26)  The licensee has not complied with all the duties imposed on it by the Act as it was unable to meet all Code requirements.</i>	Refer to recommendation 04/2015	04/2015		

### Post-Review Implementation Plan

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Reference (no./year)	Asset System Deficiency	Auditor's recommendation	Management action	Position Responsible (i.e. CEO, EHO etc)	Target Date for Completion
21/2015	B2 <i>Environmental Analysis</i> <i>Asset Management Plan has some out dated references</i>	We recommend that the asset management plan be updated to reflect the requirements of the new operating licence version and the new legislative framework.	The AMP has been updated in terms of new licensing.	MDS / CEO	Completed
22/2015	B2 <i>Environmental Analysis</i> <i>The operational audit has found that the Shire has not complied with all of its regulatory requirements.</i>	We recommend that the Shire prepare a compliance register based on the Authority's Compliance Report Manual to assist in keeping track of its statutory and regulatory obligations. The observations table in this audit report may be used as the basis for this.	Refer to 04/2014	Refer to 04/2014	Completed
23/2015	B2 <i>Risk Management</i> Risks are documented in a risk register and treatment plans are actioned and monitored	Areas of the risk assessment are out of date and it would benefit from a review to confirm its currency and alignment with existing operating practices.	AMP has been updated	MDS / CEO	Completed
24/2015	B2 <i>Contingency planning</i> <i>Some contingency plans have been tested but a long term testing program and record is needed.</i>	We recommend that the Shire prepares a matrix which summarises when each contingency plan was last tested and evaluated and uses this to schedule future testing.	Completed	MDS / CEO	Completed