

## Post Audit and Post Review Implementation Plan

### Performance Audit

Reference (No/year)	Non Compliance/Controls (Rating / Legislative Obligation / Details of Non-Compliance or inadequacy of controls)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
<b>2011 Operational Audit</b>					
2011-2012	<p>CR: 4 LO: Clause 5.1</p> <ul style="list-style-type: none"> <li>▪ The City has identified legislation and regulations applicable to the operation of their organisation and provision of the services and these are listed in Section 5 - Regulatory Requirements of the Asset Management Plan; and</li> <li>▪ In addition, Federal, State and Local acts, laws and policies related to the City's sustainability and waste services are listed (and hyperlinked) in Section 7 of its Standard Operating Procedures (SOP) Manual, August 2012.</li> </ul>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ Although relevant legislation is listed in the AMP and in the SOP Manual, a reference in these sections to the officer/department responsible for monitoring applicable legislation and the workflow process/procedure for identifying / implementing / seeking exemption is recommended.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ The CKB AMP and SOP documents have not yet been updated to include all of the compliance obligations that originate from the Water Services Licence. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>▪ The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	<p>CKB has implemented a restructure to create a Water Services section adding additional Engineers and Water Technical Officers to the organisation.</p> <p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines march 2019.</p> <p>Separate SOP documents will be prepared for Wastewater Services and Recycled Water Services with each to be incorporated into the overarching Asset Management Plan. The AMP documentation will comply with the ERA Audit Guidelines March 2019.</p> <p>Development of an AMP documentation will comply with the ERA Audit Guidelines March 2019.</p>	<p>Water Services Unit</p> <p>Water Services Project Manager (WSPM)</p> <p>WSPM</p>	<p>15 November 2019</p> <p>11 March 2020</p>
<b>2015 Operational Audit</b>					
A2/2015	<p><b>4:</b> NR D LO: Act: 22 and WSOL - Version 5: 28.1.</p> <p>Paxon has noted that the CKB's Reporting Matrix does not provide for compliance with this stipulation (provision of water services outside of the operating area of the license) and only lists some compliance obligations and the calendar month it is to be performed.</p> <p>Paxon has noted that the CKB Reporting Matrix does not list any reporting obligation in respect of changes to CKB's asset management system.</p> <p><b>7:</b> NR D LO: Act: 24(1)(b) and WSOL - Version 5: 20.2.</p> <p><b>156:</b> 2D LO: Act: 12 and WSOL - Version 5: 5.1.</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ The CKB Reporting Matrix should list all compliance obligations that originate from its Water Services Operating Licence (WSOL).</li> <li>▪ The CKB should maintain a list of reportable events and incidents of a non-repetitive nature ("once-off" or "specific event" reporting obligations). This list should be added as an attachment to the Reporting Matrix</li> <li>▪ The Reporting Matrix should also be changed to include the following information: <ul style="list-style-type: none"> <li>– Operating Licence reference;</li> <li>– Compliance requirement;</li> <li>– Frequency of action specified;</li> <li>– (Next) due date;</li> </ul> </li> </ul>	<p>The matrix will be developed and included in the SOPs</p> <p>Workflows being set up in CKB's Document Management System (ECM) to capture this data</p> <p>The matrix will be developed and included in the SOPs</p>	<p>WSPM</p> <p>WSPM</p> <p>WSPM</p>	<p>15 November 2019</p> <p>1 July 2019</p> <p>15 November 2019</p>

Reference (No/year)	Non Compliance/Controls (Rating / Legislative Obligation / Details of Non-Compliance or inadequacy of controls)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<p><b>163,171 and 182:</b> NR D LO: Act: 12 and WSOL - Version 5: 15.I(a), (b) and (c), 20.2 and 28.I(b)</p>	<ul style="list-style-type: none"> <li>- Responsible officer; and</li> <li>- Notes.</li> </ul> <ul style="list-style-type: none"> <li>■ A specific person should be allocated responsibility for:                             <ul style="list-style-type: none"> <li>- Ensuring compliance with the dates disclosed in the Reporting Matrix; and</li> </ul> </li> <li>■ Continually updating the Reporting Matrix.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ The CKB AMP and SOP documents have not yet been updated to include all of the compliance obligations that originate from the Water Services Licence. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>■ The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	<p>The matrix will be developed and included in the SOPs</p> <p>The AMP will include a "Review" section detailing how and what will be reviewed annually. The Reporting Matrix will be included in the review process.</p> <p>Separate SOP documents will be prepared for Wastewater Services and Recycled Water Services with each to be incorporated into the overarching Asset Management Plan. The AMP documentation will comply with the ERA Audit Guidelines March 2019.</p> <p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines march 2019.</p>	<p>WSPM</p> <p>WSPM</p> <p>WSPM</p> <p>WSPM</p>	<p>15 Nov 2019</p> <p>11 Mar 2020</p> <p>15 Nov 2019</p> <p>11 Mar 2020</p>
A3/2015	<p><b>6:</b> 2C LO: Act: 24(1)(a) &amp; 24(2) and WSOL - Version 5: 20.1.</p> <p>CKB has stated that it does not have any specific asset management documentation for the non-potable water supply services it provides, nor a standard operating procedures manual.</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>■ An appropriate asset management system should be documented for the non-potable water supply services being provided by CKB. Alternatively, the current asset management system for the sewerage services should be appropriately updated to include those services.</li> <li>■ An operating procedures manual for the non-potable water supply services that CKB provides should be documented. Alternatively, the current SOP Manual for the sewerage services should be appropriately updated to include those services.</li> </ul> <p><b>Further action required</b></p> <p>The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</p>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines march 2019.</p> <p>Separate SOP documents will be prepared for Wastewater Services and Recycled Water Services with each to be incorporated into the overarching Asset Management Plan. The AMP documentation will comply with the ERA Audit Guidelines March 2019.</p> <p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines march 2019</p>	<p>WSPM</p> <p>WSPM</p> <p>WSPM</p>	<p>11 Mar 2020</p> <p>15 Nov 2019</p> <p>11 Mar 2020</p>
<p><b>96 &amp; 97:</b> 1D LO: Water Services Code of Conduct (Customer Service Standards) 2013 (Code of Conduct): clauses 10(3), 10(4) and WSOL - Version 5: 5.3</p>					
<p><b>98, 103, 104 &amp; 105:</b> NR D LO: Code of Conduct: clauses 10(5), 13(1), (13(2) and 14(1) and WSOL -Version 5: 5.3.</p>					
<p><b>106:</b> 2B LO: Code of Conduct: clause 15 and WSOL - Version 5: 5.3.</p>					
<p><b>175, 177, 178, 179 &amp; 180:</b> NRD</p>					



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	<p><i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 13(6) (Obligation 102A)</i></p> <p>The rates notices used for billing customers for sewerage services do not include:</p> <ul style="list-style-type: none"> <li>▪ the telephone number of the 24 hour information line provided in accordance with clause 45</li> <li>▪ contact details for account, payment and general enquiries for use by customers with hearing or speech impairment</li> </ul> <p>for a residential customer, the telephone number for interpreter services together with the National Interpreter Symbol and the words "Interpreter Services".</p>				
A4/2019	<p>NP/NR <i>Clause 3.1.1</i> <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 18(2) (Obligation 107)</i></p> <ul style="list-style-type: none"> <li>▪ The text in the Customer Service Charter does not specify that CKB can only recover undercharged amounts in the 12 month period ending on the day on which the licensee informed the customer of the undercharging.</li> </ul>	We recommend that CKB adds this disclaimer to the text include in the Customer Service Charter.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies	WSPM	15 Nov 2019
A5/2019	<p>NP/NR <i>Clause 3.1.1</i> <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 18(4) (Obligation 109)</i></p> <p>The text in the Customer Service Charter does not specify that CKB must not charge interest or late payment fees on an undercharged amount.</p>	We recommend that CKB adds this to the text include in the Customer Service Charter.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies	WSPM	15 Nov 2019
A6/2019	<p>NP/NR <i>Clause 3.1.1</i> <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 18(5) (Obligation 110)</i></p> <p>Although the text in the Customer Service Charter informs customers that "The City of Kalgoorlie-Boulder can make special financial arrangements to assist customers experiencing hardship in the payment of their accounts." this text does not specify that CKB must allow a customer to pay an undercharged amount by way of a repayment plan that has effect for the duration of the shorter of the prescribed periods starting on the day that the bill in clause 18(3) is issued.</p>	We recommend that CKB adds additional text to the Customer Service Charter to inform the customers of the requirements under this obligation.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies	WSPM	15 Nov 2019
A7/2019	<p>NP/NR <i>Clause 3.1.1</i> <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 19(2) (Obligation 111A)</i></p> <p>The Customer Service Charter informs customers that "If an error is made resulting in the customer paying more than the correct amount, the excess amount shall be held in credit for a future charge, or refunded, at the discretion of the customer." However, the text does not specify the requirement to undertake this within 15 business days.</p>	We recommend that CKB adds text to the Customer Service Charter to specify the requirement to credit the overcharged amount to the customer's account or send the customer a notice informing the customer of the overcharging and recommending options for how the overcharged amount may be refunded or credited to the customer's account within 15 business days.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies	WSPM	15 Nov 2019

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A8/2019	<p><i>NP/NR</i>  <i>Clause 3.1.1</i>  <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 19(3) (Obligation 112A)</i></p> <p>The Customer Service Charter informs customers that "If an error is made resulting in the customer paying more than the correct amount, the excess amount shall be held in credit for a future charge, or refunded, at the discretion of the customer." However, the text does not specify that requirement to undertake this within 15 business days.</p>	<p>We recommend that CKB text to the Customer Service Charter to inform customers that it must refund any overcharged amount, or credit the overcharged amount to the customer's account within 15 business days of the licensee receiving the instructions.</p>	<p>The Customer Service Charter is being updated to reflect the newly adopted Financial policies</p>	WSPM	15 Nov 2019
A9/2019	<p><i>NR/NP</i>  <i>Clause 3.1.1</i>  <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 19(4) (Obligation 112B)</i></p> <p>The Customer Service Charter informs customers that "If an error is made resulting in the customer paying more than the correct amount, the excess amount shall be held in credit for a future charge, or refunded, at the discretion of the customer." However, the text does not specify the requirements under this obligation.</p>	<p>We recommend that CKB adds to the text included in the Customer Service Charter to specify that it must credit the overcharged amount to the customer's account before the end of the period of the next 15 business days if instructions from the customer about the refunding or crediting of the overcharged amount have not been received at the end of the period of 10 business days starting on the day an overcharging notice is sent.</p>	<p>The Customer Service Charter is being updated to reflect the newly adopted Financial policies</p>	WSPM	15 Nov 2019
A10/2019	<p><i>B2</i>  <i>Clause 3.1.1</i>  <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 20(2) (Obligation 114)</i></p> <p>At the time of the audit, CKB were not able to provide a written procedure for the review of a bill at the customer's request. As a result, we consider that CKB was non-compliant with this obligation during the audit period.</p>	<p>We recommend that CKB develops a written procedure for the review of a bill on the customer's request.</p> <p>We note that a procedure has been added to the CKB website since the audit.</p>	Complete		
A11/2019	<p><i>B2</i>  <i>Clause 3.1.1</i>  <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clauses 20(3) &amp; (6) (Obligation 115)</i></p> <p>At the time of the audit, CKB's bill review procedure was not available on its website. As a result, we consider that CKB was non-compliant with this obligation during the audit period.</p> <p>We note that procedure has been added to the CKB website since the audit.</p>	<p>We recommend that CKB develops a written procedure for the review of a bill on the customer's request that includes the specified information and is available on CKB's website and a hardcopy provided to a customer upon request at no charge</p> <p>We note that a procedure has been added to the CKB website since the audit.</p>	Complete		
A12/2019	<p><i>B2</i>  <i>Clause 3.1.1</i>  <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 20(4) (Obligation 116)</i></p> <p>At the time of the audit, CKB were not able to provide a written procedure for the review of a bill at the customer's request. As a result, we consider that CKB was non-compliant with this obligation during the audit period.</p>	<p>We recommend that CKB develops a written procedure for the review of a bill that meets the requirements of this obligation.</p> <p>We note that a procedure that meets the requirements of the obligation has been added to the CKB website since the audit.</p>	Complete		

Reference (No/year)	Non Compliance/Controls (Rating / Legislative Obligation / Details of Non-Compliance or inadequacy of controls)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
A13/2019	<p>B2</p> <p>Clause 3.1.1</p> <p>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 30(4)(c) (Obligation 131C)</p> <p>CKB's Financial Hardship Policy (16 May 2014) does not provide written information to the customer about:</p> <ul style="list-style-type: none"> <li>▪ the bill payment methods provided by the licensee</li> <li>▪ applying for any other financial assistance to which the customer may be entitled including from Government-funded grant schemes.</li> </ul>	<p>We recommend that CKB updates its Financial Hardship Policy to provide all of the written information required under this obligation.</p> <p>We note that the 2019 update of CKB's Financial Hardship Policy includes information about payment methods.</p> <p>CKB has confirmed that other than concession card holders, there are no other government-funded grant schemes that ratepayers can access to assist them with their rates payments.</p>	Complete		
A14/2019	<p>A1</p> <p>Clause 3.1.1</p> <p>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 32 (Obligation 133A)</p> <p>CKB's Financial Hardship Policy to inform customers does not inform customers that it does not charge interest or fees for late payment of a bill by a customer:</p> <ul style="list-style-type: none"> <li>▪ if a complaint made by the customer to the licensee that directly relates to the non-payment of the bill is not resolved</li> <li>▪ if a complaint made by the customer to the water services ombudsman that directly relates to the non-payment of the bill is not determined or is upheld by the water services ombudsman.</li> </ul>	<p>We recommend that the additional two dot points be added to CKB's Financial Hardship Policy to inform customers of the obligations under this clause.</p> <p>We note that this information has also not been added to the updated January 2019 version of the Financial Hardship Policy.</p>	Complete		
A15/2019	<p>A1</p> <p>Clause 3.1.1</p> <p>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 33(1)(d)-(e) (Obligation 134A)</p> <ul style="list-style-type: none"> <li>▪ CKB does not make its customers aware of its obligations under this clause in the Financial Hardship Policy. We also note that this information is not included in CKB's Customer Service Charter.</li> </ul>	<p>We recommend that CKB updates its Financial Hardship Policy and its Customer Service Charter to make its customers aware of the obligations under this clause.</p>	<p>Financial Hardship Policy complete.</p> <p>The Customer Service Charter is being updated to reflect the newly adopted Financial policies</p>	WSPM	15 Nov 2019
A16/2019	<p>NR</p> <p>Clause 3.1.1</p> <p>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 43(2) (Obligation 144B)</p> <p>CKB's Customer Service Charter informs customers that "Unless interruptions are limited to a few minutes, notification shall be given to domestic customers at least twenty four (24) hours prior and for commercial and industrial customers at least five (5) days prior or by agreement.</p> <p>We note that this does not comply with Clause 43(2)(a) to provide "not less than 48 hours before the start of the service interruption". Although CKB's notice complies with clause 43(2)(b), "if it is not reasonably practicable to comply with paragraph (a), at the earliest practicable time before the start of the service interruption", we consider that CKB is non-compliant against this obligation.</p>	<p>We recommend that CKB revises the information in the Customer Service Charter to inform customers that it will provide at least 48 hours' notice for planned service interruptions.</p>	<p>The Customer Service Charter is being updated to reflect the newly adopted Financial policies</p>	WSPM	15 Nov 2019

Reference (No/year)	Non Compliance/Controls (Rating / Legislative Obligation / Details of Non-Compliance or inadequacy of controls)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
A17/2019	A1 Clause 3.1.1 <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 46(1) (Obligation 145)</i>  We note that the Customer Service Charter references the Department of Water for escalating complaints. This reference is out of date.	We recommend that the details included in the Customer Service Charter be updated to reference the water services ombudsman.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies	WSPM	15 Nov 2019
A18/2019	A1 Clause 3.1.1 <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 46(3) (Obligation 147)</i>  We observed that CKB's Complaints Handling Policy does not set out any dispute resolution arrangements.	We recommend that the documents is revised to include the policies related to these matters.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies	WSPM	15 Nov 2019
A19/2019	B2 Clause 3.1.1 <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 48(1) (Obligation 153)</i>  We reviewed CKB's Customer Service Charter, Financial Hardship Policy and the rates notice template and observed that the specified services related to facilities for customer with hearing or speech impairment and interpreter services are only included in the Financial Hardship policy. Large print versions of any of CKB's available documents are not advertised.	We recommend that CKB provides all the specified services required under Clause 48(1). We also recommend that CKB includes all of the specified services required under the clause in its Customer Service Charter and on its rate notice templates.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies.  Rates Notice Template complete.	WSPM	15 Nov 2019
A20/2019	B2 Clause 3.1.1 <i>Water Services Code of Conduct (Customer Service Standards) 2018 Clause 48(1) (Obligation 153)</i>  We reviewed CKB's Customer Service Charter, Financial Hardship Policy and the rates notice template and observed that the specified services related to facilities for customer with hearing or speech impairment and interpreter services are only included in the Financial Hardship policy. Large print versions of any of CKB's available documents are not advertised.	We recommend that CKB provides all the specified services required under Clause 48(1). We also recommend that CKB includes all of the specified services required under the clause in its Customer Service Charter and on its rate notice templates.	The Customer Service Charter is being updated to reflect the newly adopted Financial policies.  Rates Notice Template complete.	WSPM	15 Nov 2019

**Asset Management Review**

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
<b>2015 Asset Management System Effectiveness Review</b>					
R2/2015	Rating: C2	The 2017 Audit Report included the following recommendation:		WSPM	11 Mar 2020

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<p><i>Component: Asset Planning</i></p> <ul style="list-style-type: none"> <li>■ The AMP combined with CKB's Standard Operating Procedures Manual (SOP) addresses the twelve items of Table 22 of the ERA Guidelines 2014. However, many of the sections of the SOP either:               <ul style="list-style-type: none"> <li>- Include items which should, but are not addressed in the AMP</li> <li>- Overlap items dealt with in the AMP but not cross reference; or</li> <li>- Provide more detailed management information/ procedures than the AMP.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>■ The content of both the AMP and SOP documents should be reviewed and edited to ensure that all twelve items of Table 22 of ERA's Guidelines 2013 are addressed in the AMP and cross referenced to sections of the SOP where the items concerned are subject to specific staff procedures.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>■ The incorporation of the ProMapp process mapping across the various respective organisational units into the AMP has not yet been completed. CKB is conducting ProMapps training in March 2019 and this work will be completed after the training.</li> </ul>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019. The Review Process will be documented in accordance with item 12 of the guidelines.</p>		
<p>R4/2015</p>	<p><i>Rating: C2</i> <i>Component: Asset Planning</i></p> <p>The AMP does not contain an organisation chart, a statement of staff position responsibilities or written procedures for recording, reviewing and response action as currently undertaken.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ The AMP should contain a staff organisation chart and an accompanying description of the responsibilities of each staff position.</li> <li>■ Written procedures should be prepared for recording test and performance results, maintenance, emergencies etc. together with review and response action as currently undertaken.</li> <li>■ A basic schematic of the scheme should be added to the AMP to clarify the collection, treatment and disposal processes.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>■ The incorporation of the ProMapp process mapping across the various respective organisational units into the AMP has not yet been completed. CKB is conducting ProMapps training in March 2019 and</li> </ul>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019</p>	<p>WSPM</p>	<p>11 Mar 2020</p>



Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		this work will be completed after the training.			
R6/2015	<p><i>Rating: B1</i> <i>Component: Environmental Analysis</i></p> <ul style="list-style-type: none"> <li>■ An analysis of the environment in which the sewerage system operates is addressed in various sections of the AMP as follows: <ul style="list-style-type: none"> <li>– Section 2 -The physical environment. (first paragraph);</li> <li>– Section 3 - Levels of Service (availability, capacity, continuity, odour, emergency response and complaints); and</li> <li>– Section 4 - Legislation and licensing environment. Together with the regulatory requirements for independent audits of compliance with CKB's WSOL and review of the adequacy of the management of the systems assets.</li> </ul> </li> </ul>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ The above AMP sections should be combined as appropriate and titled "Environmental Assessment" in accordance with item 4 of Table 22 of ERA Guidelines 2013.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019	WSPM	11 Mar 2020
R7/2015	<p><i>Rating: B1</i> <i>Component: Environmental Analysis</i></p> <ul style="list-style-type: none"> <li>■ Reviewer notes that the cultural environment in which the system operates is not addressed in the AMP. A brief statement is required which outlines prime industries in the area (mining, exploration, agriculture) commercial / industrial / social services in the city (banking, manufacturing, churches, clubs etc.), together with the current population and growth trends and projections to say 2033.</li> </ul>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ The section of the AMP related to Environmental Assessment should include a brief statement which outlines prime industries in the area (mining, exploration, agriculture) commercial / industrial / social services in the city (banking, manufacturing, churches, clubs etc.) together with current population, growth trends, and projections to say 2033.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work</li> </ul>	A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019	WSPM	11 Mar 2020
R8/2015	<p><i>Rating: B1</i> <i>Component: Asset Operations</i></p> <p>CCTV examination is taken before and after clearance of blockages and lining works, plus older areas of the system not previously inspected. At the rate of CCTV inspection currently proposed, a period of some nineteen years will elapse before completion. Similarly, CCTV inspection of manholes (which is not satisfactory in deep sections of the system) will also require a period of nineteen years.</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>■ CKB should significantly increase the annual amount of CCTV inspection of its collection system so that the task can be completed in ten or fewer years.</li> <li>■ CKB should undertake an inspection program for all manholes that will allow completion in five to seven years. Such inspections should involve removal, inspection and greasing of covers and a check on the condition of concrete in</li> </ul>	CKB has commenced a condition assessment programme of all Access Chambers. It is currently estimated the 2940 identified access chambers will be inspected over the next 12 months. The condition assessment identified will be incorporated into the AMP information system.	WSPM	11 Mar 2020

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		<p>walls, base and underside of cover support slabs.</p> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB is continuing to invest in its CCTV inspections. These are currently budgeted at \$120,000/year. The CCTV footage is currently being reviewed and will be used to develop a forward works program. This will be integrated into the AMP.</li> <li>▪ CKB is currently reviewing its AMP document. As part of the AMP development, CKB is developing a program of inspection works</li> <li>▪ The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	<p>CKB is continuing its CCTV inspection program. The condition assessment identified will be incorporated into the AMP information system. The forward works programme will be developed as a part of the development of the AMP.</p> <p>Refer above</p> <p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019</p>	<p>WSPM</p> <p>WSPM</p>	<p>11 Mar 2020</p> <p>11 Mar 2020</p>
R10/2015	<p><i>Rating: B1</i> <i>Component: Asset Operations</i></p> <p>Details of the waste water treatment plant operations and service provision are dealt with partially in the AMP and in more detail in the SOP. Both documents - particularly the AMP should be reviewed and edited.</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ The AMP should include details of the companies contracted to provide services. Reference to staff entering manholes etc. should be deleted from the AMP and inserted in the SOP. Procedures in the AMP - for dealing with blockages, overflows, pump, treatment plant and equipment failures should be included in a separate section of the AMP titled "Contingency Planning".</li> <li>▪ The more specific details in the SOP - of implementing the above procedures should be cross referenced in the AMP.</li> <li>▪ Information regarding the existence and location of operation and management manuals should be included in both the AMP and SOP.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	<p>Separate SOP documents will be prepared for Wastewater Services and Recycled Water Services with each to be incorporated into the overarching Asset Management Plan.</p>	WSPM	15 Nov 2019
R12/2015	<p><i>Rating: B1</i> <i>Component: Asset Operations</i></p>	<p>The 2017 Audit Report included the following recommendation:</p>	<p>Separate SOP documents will be prepared for Wastewater Services and Recycled Water Services with each to be incorporated into the overarching Asset Management Plan.</p>	WSPM	15 Nov 2019

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<ul style="list-style-type: none"> <li>■ CKB's Health Division on behalf of Parks and Reserves, arranges the monthly sampling and testing of the treated effluent being supplied to users and advises the DOH of the results.</li> <li>■ However, although holding a Licence from the DOH for the disposal of treated effluent, CBK has no statement of the separate responsibilities of the Sustainability &amp; Waste Services Division and the Parks &amp; Reserves Division for reporting associated with the licence. As a consequence, an annual report to the DOH as required by CKB's licence has never been submitted. As the treated effluent is being managed, and (in effect) tested by Parks and Reserves division prior to supply, it is considered that in future, all reporting in accordance with the DOH licence should be undertaken by the Parks &amp; Reserves division.</li> </ul>	<ul style="list-style-type: none"> <li>■ In future, all reporting in accordance with CKB's DOH licence should be undertaken by the Parks &amp; Reserves division.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ To address this recommendation, CKB developed a compliance register with the required reporting due dates and responsibilities. As a result of the restructure of the responsibilities, CKB will need to update its Compliance Register to take account of the changes.</li> </ul>	Reporting Matrices will be included in the SOPs for Wastewater and Recycled water	WSPM	11 Mar 2020
R13/2015	<p><i>Rating: B1</i> <i>Component: Asset Maintenance</i></p> <p>The planned maintenance schedule for each year has been entered into the maintenance module of the AMS. But at present there is no provision for recording whether maintenance has actually been undertaken, or the date.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ Confirmation that work has been undertaken and the date of completion should be overtyped in a different colour in the box representing the maintenance item of the AMIS maintenance module.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</li> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	A specialised Asset management Information System for water assets will be sourced during the development of the AMP.	WSPM	11 Nov 2019
R14/2015	<p><i>Rating: B1</i> <i>Component: Asset Maintenance</i></p> <p>The AMP, Section 6 - Maintenance Planning contains a basic schedule of maintenance duties for the sewerage system and is considered adequate - as detailed maintenance requirements are contained in contract documents as discussed in Item 5 - Asset Operations. The maintenance program in Section 4 of the SOP is not considered adequate and should be replaced with that in the AMP.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ The maintenance program in Section 4 of the SOP should be deleted and replaced with cross references to Section 6 of the AMP and the Maintenance module of the AMIS.</li> </ul>	A specialised Asset management Information System for water assets will be sourced during the development of the AMP.	WSPM	11 Nov 2019

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		<p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>			
R15/2015	<p><i>Rating: C3</i> <i>Component: Asset Management Information System</i></p> <p>Microsoft advised Reviewer that, although 1997 Excel software is no longer supported by the company, data captured in Excel 1997 programs should be readily transferable to versions of Excel contained in Windows 2007 or later.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>▪ CBK should establish whether or not the existing AMIS can be converted to a more recent version of Excel (in Windows 2007 or later) before considering purchase and setting up a new asset management system. If conversion is indeed possible, CKB should mount the converted version on its system and complete populating / customising modules as discussed below. Also, a staff member should be selected or appointed and trained with a view to completing and operating the system.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</li> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	A specialised Asset management Information System for water assets will be sourced during the development of the AMP.	WSPM	11 Nov 2019
R16/2015	<p><i>Rating: C3</i> <i>Component: Asset Management Information System</i></p> <ul style="list-style-type: none"> <li>▪ Each asset in the Asset Register is assigned an identifying number and its name, location, installation date, expected life and replacement date, pipe size and material etc. are noted. The register has separate worksheets for Pipelines, Manholes, Pumping Stations, the WWTP and Old Boulder holding ponds</li> </ul>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>▪ The asset Register should be edited to remove or correct generic column headings and that completion of the necessary detail is achieved as soon as possible.</li> </ul>	A specialised Asset management Information System for water assets will be sourced during the development of the AMP.	WSPM	11 Nov 2019

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<ul style="list-style-type: none"> <li>■ A total of 6670 assets are registered. In many cases detail under some headings is missing. In other cases - due to the software being generic, headings are not applicable.</li> </ul>	<p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</li> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>			
R17/2015	<p><i>Rating: C3</i> <i>Component: Asset Management Information System</i></p> <p>CONDITION AND PERFORMANCE - This series of worksheets addresses the condition of all assets i.e., Manholes, Pipes, Pumping Stations, WWTP and the Old Boulder Holding ponds. Headings include asset number, installation date, inspection date, condition and priority for attention if relevant. It is noted that there is no heading for material type in the listing for manholes and pipes. It should not be necessary to refer to other spread sheets or drawings to determine the material when reviewing asset conditions.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ The asset material should be noted in the both the asset and condition registers.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>■ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</li> <li>■ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	A specialised Asset management Information System for water assets will be sourced during the development of the AMP.	WSPM	11 Nov 2019
R18/2015	<p><i>Rating: C3</i> <i>Component: Asset Management Information System</i></p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>■ Maintenance of the treated effluent distribution system should be included in</li> </ul>	A specialised Asset management Information System for water assets will be sourced during the development of the AMP.	WSPM	11 Nov 2019

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<p>While Reviewer is aware that maintenance is undertaken on the treated water distribution system, it is not scheduled in the maintenance module.</p>	<p>the Asset Management spread sheet of the AMIS.</p> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</li> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>			
R19/2015	<p><i>Rating: C2</i> <i>Component: Risk Management</i></p> <ul style="list-style-type: none"> <li>▪ The AMP contains a satisfactory description of the risk assessment procedures leading to the development of the assessment model described in Item 7 above - as does the SOP. However, the overlap is not total. A better approach would be to review and consolidate both into one document for inclusion in both the AMP and SOP. Reference is made in the AMP to the formulation of Risk Management plans. However, these do not appear to have been prepared. Reviewer notes that the "Mitigation and Management Strategies" of the spread sheets mainly refer to "AMP" or more frequently "SOP." These references do not indicate what in fact the mitigating strategies are. Either the strategies should be listed as a series of written plans and referred to directly in the appropriate strategy column - or, explained fully in the column for each occurrence classified as "Significant" or "Major";</li> <li>▪ Reviewer also notes that the occurrence of earthquake, lightning strike - although highly unlikely to occur, are not evaluated in the assessment. Earthquake could cause damage to gravity and - in particular, pressurised rising mains of both the sewerage and re-use systems. Power failure occurrences also, need to be evaluated for the WWTP and treated effluent distribution systems; and</li> <li>▪ No risk evaluation is included for the treated effluent distribution system.</li> </ul>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ The Risk Analysis / Management sections of the AMP and SOP should be reviewed and consolidated into a single document within the AMP.</li> <li>▪ EITHER, a set of Risk Management Plans (as referred to in the AMP) for risks assessed as "Significant or Major" should be prepared and referenced in the Mitigation and Management Strategies column of the Risk Analysis - OR, the Mitigation and Management Strategy proposed should be set out in the Mitigation and Management column for each occurrence.</li> <li>▪ Existing reference to AMP and SOP in the Mitigation and Management column should be replaced with a reference to the actual item of the documents to which they allude.</li> <li>▪ A risk analysis should be included for the treated effluent distribution system.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single</li> </ul>	<p>The Risk Management framework will be developed in accordance with the ERA Audit Guidelines March 2019 as a part of the AMP development.</p>	WSPM	15 Jan 2020

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.			
R21/2015	<p><i>Rating: B1</i> <i>Component: Capital Expenditure Planning</i></p> <ul style="list-style-type: none"> <li>CAPEX plans for the forward budget periods for the financial years 2012/2013, 2013/2014 and 2014/2015 (for rolling ten, five and five years respectively) were provided by the Sustainability and Waste Services division. These plans represent the division's anticipated requirements and expectations, which are subsequently inserted into the budget process via the Development Services Directorate. The CAPEX estimates are derived from asset replacement items set out in the financial module of the AMIS together with other works indicated by asset condition / failures and necessary system upgrades; and</li> <li>Reviewer notes that CAPEX expenditure is not included for the treated effluent disposal system, despite income from the sale of the water (treated effluent) being included in the accompanying Financial Plan for the sewerage system. Such inclusion should be made in order to maintain consistency of approach.</li> </ul>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>Estimates based on escalated 1997 estimates from the Financial Planning module should be reviewed and if necessary upgraded in both Financial and CAPEX planning; and</li> <li>The CAPEX estimates should include expenditure on the treated effluent disposal scheme.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	The Financial Model will be developed in accordance with the ERA Audit Guidelines March 2019 as a part of the AMP development.	WSPM	20 Nov 2019
R22/2015	<p><i>Rating: C4</i> <i>Component: Review of the Asset Management System</i></p> <p>Review of the Asset Management System is not mentioned in the AMP. Reviewer was advised that revisions are usually made in response to asset management reviews and significant changes of practise or procedure. Copies of the AMP were provided for November 2010, July 2012 and Version 141110, denoting its preparation as 10th November 2014. There is no record of any changes made from the previous version, or whether or not a review was conducted of previous versions.</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>A procedure should be introduced to undertake and record a review the Asset Management system on a formal regular basis.</li> <li>The review should be undertaken at intervals not exceeding two years, by a person with a sound knowledge of the sewerage system and the procedures of its operation, maintenance and financing.</li> <li>The review date, reviewer's signature and any section amendments should be listed on the page following the cover sheet - which should be updated for all subsequent reviews.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019. The Review Process will be documented in accordance with item 12 of the guidelines.	WSPM	11 Mar 2020
<b>2017 Asset Management System Effectiveness Review</b>					
R1/2017	<p><i>Rating: B2</i> <i>Component: Asset Planning</i></p>	The 2017 Audit Report included the following recommendations:		WSPM	11 Mar 2020

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<p>In order to allow ready navigation between the AMP and SOP documents, Reviewer considers that both should be subject to additional cross-referencing</p>	<ul style="list-style-type: none"> <li>▪ Additional cross- references should be included in the AMP and SOP to improve navigation between the documents.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>▪ The incorporation of the ProMapp process mapping across the various respective organisational units into the AMP has not yet been completed. CKB is conducting ProMapps training in March 2019 and this work will be completed after the training.</li> </ul>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019.</p>		
<p>R2/2017</p>	<p><i>Rating: B2</i> <i>Component: Asset Planning</i></p> <p>CKB has engaged a consultant to prepare an overarching AMP for the CKB's operations – and that the AMP for the water Services Licence will become a sub-set.</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ Consideration should be given to the preparation of a single AMP (and supporting SOP) that incorporates information and policies common to both the Sewerage and Recycled Water systems in one section, together with separate sections setting out the differing operations and maintenance, contingency, CAPEX and financial planning etc. of each system.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ As for R1/2019</li> </ul>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019.</p>	<p>WSPM</p>	<p>11 Mar 2020</p>
<p>R5/2017</p>	<p><i>Rating: B1</i> <i>Component: Asset Operations</i></p> <p>Pumping Stations (Throssell St and Androvich Way) - procedures are provided for monthly, checks of pumps, power consumption and wash down. Reviewer noted that WTOs are unaware of these procedures, which are therefore not undertaken. The pumping stations are attended only in the event of a fault or failure. The Throssell St station has electronic transfer of alarms to the WTO on call, whereas the Androvich Way has only a visual alarm. Reviewer was advised that this pumping station is fitted with only one pump. Reviewer was prevented from inspecting the Androvich Way pumping station, as the access covers could not be lifted</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ WTOs should be made aware of the requirements and arrange for monthly checking and recording at the pumping stations. Arrangements should be made for existing contractors to assist as necessary.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB to develop an on-call policy and SOP for sewer blockages taking into account Worksafe and EBA conditions of employment.</li> <li>▪ People and Culture to develop an organisational policy for on-call duties and responsibilities.</li> </ul>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019. The Review Process will be documented in accordance with item 12 of the guidelines.</p> <p>The SOPs will document On Call procedures developed from an OHS Risk Register for the operations.</p>	<p>WSPM</p> <p>WSPM</p>	<p>11 Mar 2020</p> <p>15 Nov 2019</p>



Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		<ul style="list-style-type: none"> <li>▪ CKB to implement Regular maintenance Schedules for the WWTW and pumping stations. CKB's electrical and mechanical contractors are also developing their own schedules for work conducted.</li> </ul>	Planned maintenance activities for all assets will be included in the Asset Information Management System and cross referenced in the SOPs	WSPM	15 Nov 2019
R6/2017	<p><i>Rating: B1</i> <i>Component: Asset Operations</i></p> <p>A WTO has been given the task and time period in which to prepare a daily list and description of WWTW general operations tasks. Reviewer considers a pro-forma task check-list should also be prepared. Ideally, each sheet should list each day in a given month.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>▪ A list and description should be prepared of daily operations tasks at the WWTW and be supported by a checklist for recording tasks as undertaken.</li> </ul> <p><b>Further action required</b> Refer to R5/2017</p>	The Wastewater SOP will include the daily operational tasks and checklists	WSPM	15 Nov 2019
R7/2017	<p><i>Rating: B2</i> <i>Component: Asset Maintenance</i></p> <p>The pumping station maintenance checks and inspections should be undertaken monthly rather than "as required" or, "at six monthly intervals"</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ The contract and AMIS maintenance schedules should be compared and, if necessary, corrected.</li> <li>▪ As for Recommendation R5/2017 above - WTOs should be made aware of the requirements and arrange for monthly checking and recording at the pumping stations. Also, that arrangements are made for existing contractors to assist as necessary.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ Refer to R5/2017</li> <li>▪ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</li> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> </ul>	<p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019. The Review Process will be documented in accordance with item 12 of the guidelines.</p> <p>Planned maintenance activities for all assets will be included in the Asset Information Management System and cross referenced in the SOPs</p>	<p>WSPM</p> <p>WSPM</p>	<p>11 Mar 2020</p> <p>15 Nov 2019</p>

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		<ul style="list-style-type: none"> <li>▪ CKB to implement a maintenance checklist to record the undertaking and completion dates of all maintenance and ad hoc work carried out at the WWTP which is to be verified by the WTOs and recorded in the ECM CORE document management system.</li> </ul>			
R8/2017	<p><i>Rating: B2</i> <i>Component: Asset Maintenance</i></p> <p>The Mechanical and Electrical contractors at the WWTP submit their accounts to the WTO for discussion and approval for payment. Although this allows maintenance and ad hoc works to be verified. Reviewer considers there should be provision for the WTO to sign off on the completion and date of each item of scheduled maintenance or ad hoc operation. Similarly, each WTO should be provided with list of the Maintenance items for the sewerage system, pumping stations and WWTP.</p>	<p>The 2017 Audit Report included the following recommendation:</p> <ul style="list-style-type: none"> <li>▪ A check list confirming the undertaking and completion date of maintenance and ad hoc works at the WWTP should be implemented and signed off by the WTO and recorded in CONFIRM. Also, that a list and details of all scheduled maintenance be provided to each WTO.</li> </ul>	Planned maintenance activities for all assets will be included in the Asset Information Management System and cross referenced in the SOPs	WSPM	15 Nov 2019
R9/2017	<p><i>Rating: B1</i> <i>Component: Asset Management Information System</i></p> <p>Completion of four recommendations of the 2015 report</p>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ Relevant sections of Recommendation Nos. R15, R16, R17 and R18 of the 2015 review should be implemented as follows:                             <ul style="list-style-type: none"> <li>– R15/2015 - A staff member should be selected (or appointed) and trained with a view to completing and operating the system.</li> <li>– R16/2015 - The Asset Register should be edited to remove or correct generic column headings and completion of the necessary detail is achieved as soon as possible.</li> <li>– R17/2015 - Asset material should be noted in both the asset and condition registers.</li> <li>– R18/2015 - Maintenance of the treated effluent distribution system should be included in the Asset Management spread sheet of the AMIS.</li> </ul> </li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ CKB had been looking to transfer its water services AMIS to the RAMM software as part of the City-wide Asset improvement project. However, as a result of a new management decision, it was decided to not continue to use RAMM for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few</li> </ul>	<p>CKB has created an Asset Management function within the engineering department. These staff will be trained in the administration of the final AIMS selected.</p> <p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019. The Review Process will be documented in accordance with item 12 of the guidelines.</p>	WSPM  WSPM	11 Mar 2020  11 Mar 2020

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
		<p>years. In the interim, it has reverted to the previous Excel-based AMS that it previously used.</p> <ul style="list-style-type: none"> <li>▪ As part of the implementation of a new AMIS, CKB will need to ensure that the maintenance for the treated water distribution is included.</li> <li>▪ CKB will need to ensure that the asset material should be recorded in the asset register.</li> </ul>	Asset material will be one of the asset attributes collected	WSPM	11 Mar 2020
R10/2017	<p><i>Rating: B2</i> <i>Component: Risk Management</i></p> <ul style="list-style-type: none"> <li>▪ Reference is made in Section 11 of the draft AMP to Risk Management Plans. However, such plans do not exist.</li> <li>▪ The "Mitigation and Management Strategies" column of the spreadsheets mainly refer only to "AMP" or "SOP" - rather than indicating what the mitigating strategies are. The strategies should either refer to appropriate specific (currently non-existent) Risk Management Plan, or SOP procedure - particularly for risks classified as Significant" or "Major".</li> <li>▪ No risk evaluation is included for the treated effluent distribution system.</li> </ul>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>▪ Recommendation R19/2015 should be replaced and implemented as follows: <ul style="list-style-type: none"> <li>– The "Mitigation and Management Strategies" column of the risk assessment spread sheets should either refer to appropriate specific Risk Management Plans, and/or SOP procedure - particularly for risks classified as "Significant" or "Major";</li> </ul> </li> <li>▪ Risk Management Plans should either be prepared or reference to such plans be deleted from the documentation.</li> <li>▪ A risk analysis should be included for the treated effluent distribution system.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>▪ Assets and Procurement to conduct workshops for asset plans with City Presentation &amp; Open Spaces and Waste &amp; Compliance Services for the revisions to the Risk Management Plans.</li> <li>▪ CKB is also looking at additional recruitment for a Senior Assets Engineer and an Engineering Technical Officer to assist in the risk analysis and preparation of the Risk Plans.</li> <li>▪ CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>▪ Risk analysis for the treated effluent distribution system will need to be included in the updated risk assessment.</li> </ul>	<p>The Risk Management framework will be developed in accordance with the ERA Audit Guidelines March 2019 as a part of the AMP development.</p> <p>Recruitment is ongoing</p> <p>A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019.</p> <p>Refer above</p>	WSPM	15 Jan 2020
R11/2017	<p><i>Rating: B2</i> <i>Component: Contingency Planning</i></p>	<p>The 2017 Audit Report included the following recommendations:</p>			

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	There is no procedure for contingency plans to be periodically team tested and amended if necessary	<ul style="list-style-type: none"> <li>A cross reference to Contingency Plans of the SOP should be inserted in the AMP.</li> <li>CKB should implement a procedure for periodic desktop team testing of contingency plans and amendment if necessary.</li> </ul> <p><b>Further action required</b></p> <ul style="list-style-type: none"> <li>CKB is currently reviewing its AMP document. The preparation of the single AMP covering both the wastewater and recycled water systems has not yet been completed. CKB has a deadline of 30 June 2019 for completing this work.</li> <li>This will include implementing a procedure for periodic desktop team testing of the contingency plans and amendment if necessary.</li> </ul>	<p>Contingency Plans will be included in the Asset Management</p> <p>Annual scenario testing will be included in the Contingency Plan</p> <p>Refer above</p> <p>Refer above</p>	<p>WSPM</p> <p>WSPM</p>	<p>15 Jan 2020</p> <p>15 Jan 2020</p>
R14/2017	<p><i>Rating: B2</i></p> <p><i>Component: Review of Asset Management System</i></p> <ul style="list-style-type: none"> <li>The draft SOP document states that an internal review of the AMP should be undertaken annually by the TLWC and WCC.</li> </ul>	<p>The 2017 Audit Report included the following recommendations:</p> <ul style="list-style-type: none"> <li>Reviews should be made to the SOP in addition the AMP.</li> <li>The abbreviations WCC and SAW should be clarified.</li> <li>The risk analysis should be reviewed and updated as for the AMP and SOP;</li> <li>As for Recommendation R10/2019, Risk Management Plans should either be prepared, or reference to such plans be deleted from the documentation.</li> <li>Reviews should be undertaken in accordance with the documentation and timing recommended above.</li> </ul> <p><b>Further action required</b></p> <p>Waste and Compliance SOP has not yet been reviewed and updated. This was planned for January 2019 (outside the current audit period) but had not taken place by the timer of the audit.</p>	<p>Refer above actions</p> <p>The Risk Management framework will be developed in accordance with the ERA Audit Guidelines March 2019 as a part of the AMP development.</p> <p>Separate SOP documents will be prepared for Wastewater Services and Recycled Water Services with each to be incorporated into the overarching Asset Management Plan. The AMP documentation will comply with the ERA Audit Guidelines March 2019.</p>	<p>WSPM</p> <p>WSPM</p>	<p>15 Jan 2020</p> <p>15 Nov 2019</p>
<b>2019 Asset Management System Effectiveness Review</b>					
R1/2019	<p><i>Rating: C2</i></p> <p><i>Component: Asset Planning - Asset management plan covers key requirements</i></p>	We recommend that CKB considers these items in the final AMP that is due to be completed by 30 June 2019.	Demand forecasts will be undertaken for both Wastewater and Recycled Water as part of the AMP development	WSPM	2 Sept 2019

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	The AMP does not include forecasts for the anticipated increase in demand for CKB's non-potable water supply service.				
R2/2019	<i>Rating: C2</i> <i>Component: Asset Planning - Asset management plan covers key requirements</i>  The AMP does not include asset age profiles, asset condition profiles or any plans of the assets.	We recommend that CKB considers these for the final AMP that is due to be completed by 30 June 2019.	Asset condition collection systems will be developed as a part of the asset maintenance programmes. Access Chambers and sewer pipelines condition assessments have already commenced.	WSPM	Ongoing
R3/2019	<i>Rating: C2</i> <i>Component: Asset Planning - Asset management plan covers key requirements</i>  Critical assets listed in the AMP only include the wastewater assets and do not include any of the non-potable water assets.	We recommend that CKB reviews its non-potable water assets to consider the criticality of the assets and includes these items in the final AMP that is due to be completed by 30 June 2019.	A consolidated AMP for both Wastewater and Recycled Water services is being developed in accordance with the ERA Audit Guidelines March 2019.	WSPM	11 Mar 2020
R4/2019	<i>Rating: C2</i> <i>Component: Asset Planning - Asset management plan covers key requirements</i>  CKB's operations and maintenance expenditure out to 2037 included in the AMP shows expenditure as being relative stable across the period. However, no detail as to inclusions in the expenditure have been listed. The capital works that CKB is currently planning would expect to have an impact on the forecast operations and maintenance budget estimates.	We recommend that CKB provides additional clarification for the projected operations and maintenance expenditure in the AMP as no detail as to inclusions/exclusions (e.g. non-infrastructure) have been provided.	Capital budgets and Operational and Maintenance cost structures will be developed as a part of the AMP.	WSPM	20 Nov 2019
R5/2019	<i>Rating: C2</i> <i>Component: Asset Planning - Asset management plan covers key requirements</i>  We note that the graph of expenditure in the AMP does not appear to align with CKB's capital works program out to 2023/24 that has been endorsed by Council.	We recommend that CKB addresses these issues in the preparation of the final AMP due for completion by 30 June 2019.	Capital budgets and Operational and Maintenance cost structures will be developed as a part of the AMP.	WSPM	20 Nov 2019
R6/2019	<i>Rating: B1</i> <i>Component: Asset Creation and Acquisition - Ongoing legal / environmental / safety obligations of the asset owner are assigned and understood</i>  We note that the Water Services Code of Conduct (Customer Service Standards) is not referenced in the legislation included in the AMP. Although the Code of Conduct is specifically included in the list of "State and Federal Government Acts & Regulations" contained in the Waste and Compliance Services SOP Manual, the reference is for the 2013 version of the Code.	We recommend that CKB adds the Code of Conduct to the list of legislation in the AMP and updates the reference in the SOP Manual to the most recent 2018 version.	Will be incorporated into the documentation	WSPM	11 Mar 2020
R7/2019	<i>Rating: B2</i> <i>Component: Asset Operations - Assets are documented in an Asset Register, including asset assessment of assets' physical, structural condition and accounting data</i>  Although CKB was using RAMM as its operational asset register, it was decided to not continue to use the system for the sewer and treated water assets as the software was designed for transport assets and has been considered as not being the most suitable option for the water services assets. CKB is planning on deciding on a more suitable software over the next few years.	We recommend that CKB develops a Roadmap/Action Plan to assist it in making a decision on its AMS. This document should set out the requirements that CKB requires for its AMS, with timelines to complete an assessment of the current system, research for potential options and costs and to undertake implementation. The options analysis should also include maintaining the current Excel-based system.	A specification for the AIM system will be developed during the course of the AMP project	WSPM	30 Aug 2019
R8/2019	<i>Rating: B2</i>	We recommend that additional details be included in the SOP to address these issues.			

Reference (No/year)	Asset System Deficiency (Rating / Asset Management System Component & Effectiveness Criteria / Details of Asset System Deficiency)	Auditor's Recommendation	Corrective Action to be Taken	Responsible Unit(s)	Due Date
	<p><i>Component: Asset Maintenance - Maintenance plans (emergency, corrective and preventative) are documented and completed on schedule</i></p> <p>We note that although the Treated Wastewater for Reuse SOP references "contingency measures, no details are provided as to what measures are available or need to be taken.</p>		Will be included in the new SOPs	WSPM	15 Nov 2019
R9/2019	<p><i>Rating: B2</i></p> <p><i>Component: Risk Management - Risk management policies and procedures exist and are being applied to minimise internal and external risks associated with the asset management system</i></p> <p>CKB is still drafting the Risk Management section to be finalised by 30 June 2019. We note that at present no risk evaluation is included in the AMP for the treated effluent distribution system.</p>	We recommend that CKB reviews and updates its risk assessment against the licence obligations and requirements to ensure that all potential risk hazards and events have been considered and addressed.	This will be developed during the Risk Management Framework stage of the AMP project		
R10/2019	<p><i>Rating: B2</i></p> <p><i>Component: Financial Planning - The financial plan provides projections of operating statements (profit and loss) and statement of financial position (balance sheets) / The financial plan provide firm predictions on income for the next five years and reasonable indicative predictions beyond this period</i></p> <p>The financial plan include in the AMP does not provides projections of operating statements (profit and loss) and statement of financial position (balance sheets). Additionally, the financial plan does not provides firm predictions on income for the next five years and reasonable indicative predictions beyond this period.</p>	We recommend that CKB addresses these omissions when completing the AMP. The document is due to be completed by 30 June 2019.	Capital budgets and Operational and Maintenance cost structures will be developed as a part of the AMP. Projected Profit/Loss and statement of Financial Position together with fees and charges will be made undertaken over a (anticipated at this stage) 15 year horizon.	WSPM	20 Nov 2019