



POST-AUDIT IMPLEMENTATION PLAN

Operational Audit 2020

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Table 1 – Response to Current Audit Recommendations

Recommendation (no./year)	Reference details	Auditor's Recommendation	Management response	Delivery details
1/2020	- Number: 89; - Ratings: controls – A and compliance -3; - Obligations: Regulations, regulation 85 and WL2 version 10, clause 4.1.1	Aqwest must ensure compliance notices comply with regulation 85 of the Regulations by: - Including a brief description of the possible consequences under the Act of not complying with the notice; and - Referring to the right of review under the Act in relation to the notice and who may apply for review.	Aqwest will update compliance notices for testing and maintenance of backflow prevention devices and access to meters as follows: - Including a brief description of the possible consequences under the Act of not complying with the notice; and - Referring to the right of review under the Act in relation to the notice and who may apply for review.	Responsible Officer: General Manager Water Services Completed February 2021
2/2020	- Number: 92; - Ratings: controls – A and compliance - 2; - Obligations: 2018 Code of Conduct, clauses 8(1) – (3) and WL2 version 10, clause 4.1.1; and	Aqwest must publicly make available appropriate reference to the following stipulations of clause 8(2) of the 2018 Code of Conduct: - Entitlements under section 73 of the Act to the provision of water supply services; and - Aqwest's functions under section 21 concerning the provision of water supply services.	Aqwest has updated its website to reference the following: - Entitlements under section 73 of the Act to the provision of water supply services; and - Aqwest's functions under section 21 concerning the provision of water supply services.	Responsible Officer: General Manager Business Services Completed February 2021
3/2020	- Number: 102A - Ratings: controls – A and compliance - 2; - Obligations: 2018 Code of Conduct, clause 13(6) and WL2 version 10, clause 4.1.1; and referred to in clause 13(6) of the 2018 Code of Conduct, excluding references to clauses:	Aqwest must ensure tax invoices comply with clauses 13(6)(h) and 13(6)(i) of the 2018 Code of Conduct respectively by stating: - Website contains information about complaints; and - Bill can be reviewed in accordance with the licensee's review procedure	Aqwest has updated its tax invoices to include: - Website contains information about complaints; and - Bill can be reviewed in accordance with the licensee's review procedure.	Responsible Officer: General Manager Financial Services Completed February 2021

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Recommendation (no./year)	Reference details	Auditor's Recommendation	Management response	Delivery details
	13(6)(h) – website contains information about complaints; and 13(6)(i) – statement that bill can be reviewed in accordance with the licensee's review procedure mentioned in clause 20 of the 2018 Code of Conduct (the sampled tax invoices merely state the website contains further information regarding the review of accounts).	mentioned in clause 20 of the 2018 Code of Conduct.		
4/2020	- Number: 107; - Ratings: controls – A and compliance - 2; - Obligations: 2018 Code of Conduct, clause 18(2) and WL2 version 10, clause 4.1.1; and	Aqwest must ensure it complies with clause 18(2) of the 2018 Code of Conduct. Aqwest must limit the recovery of undercharged amounts from customers to water services provided in the 12-month period ending on the day Aqwest informs the customer of the undercharging.	Aqwest has updated its procedures and undertaken staff training to ensure recovery of undercharged amounts does not exceed a period of 12 months from the date the customer is notified.	Responsible Officer: General Manager Financial Services Completed December 2020
5/2020	- Number: 116; - Ratings: controls – A and compliance - 2; - Obligations: 2018 Code of Conduct, clause 20(4) and WL2 version 10, clause 4.1.1; and mentioned in section 222(2)(k) of the Act (which includes applications to be made to the State Administrative Tribunal.	Aqwest must update its “Bill Review” statement to include an appropriate reference to making an appeal from, or applying for a review of, the decision under regulations mentioned in section 222(2)(k) of the Act.	Aqwest has updated its bill review statement to ensure an appropriate reference to making an appeal from, or applying for a review of, the decision under regulations mentioned in section 222(2)(k) of the Act.	Responsible Officer: General Manager Financial Services Completed December 2020
6/2020	- Numbers: 130 and 130A; - Ratings: controls – A and compliance - 2; - Obligations:	Aqwest should clearly record in its payment plans whether such plans are entered into due to an assessment of:	Aqwest has updated its payment plans to ensure clarity of whether plans are entered into due to:	Responsible Officer: General Manager Financial Services

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	- o 2013 Code of Conduct, clause 27 (2) and WL2 version 9, clause 3.1.1; and - o 2018 Code of Conduct, clause 30(2) and WL2 version 10, clause 4.1.1;	• Payment difficulties; or • Financial hardship. This distinction is vital as the levy of interest and fees are: • Discretionary for payment plans based on assessed payment difficulties; and • Prohibited for payment plans based on assessed financial hardship.	• Payment difficulties; or • Financial hardship.	Completed February 2021
7/2020	• Number: 137C • Ratings: controls – A and compliance - 3; • Obligations: 2018 Code of Conduct, clause 36(3) and WL2 version 10, clause 4.1.1;	Aqwest must include appropriate references in its restriction notices to the following stipulations of clause 36(3) of the 2018 Code of Conduct: • Existence and operation of the licensee's complaints procedure mentioned in clause 46; • Procedures available to the customer under the Act as to applying to the water services ombudsman under a scheme approved under section 65, including providing a Freecall telephone number for the office of the water services ombudsman; and • Applicable procedures for the restoration of the water supply once the water supply restriction has started.	Aqwest has updated the information on restriction notices to include: • Existence and operation of the licensee's complaints procedure mentioned in clause 46; • Procedures available to the customer under the Act as to applying to the water services ombudsman under a scheme approved under section 65, including providing a Freecall telephone number for the office of the water services ombudsman; and • Applicable procedures for the restoration of the water supply once the water supply restriction has started.	Responsible Officer: General Manager Financial Services Completed December 2020
8/2020	• Number: 146; • Ratings: controls – A and compliance - 2;	Aqwest should update its complaints procedure to ensure it complies with AS/NZS 10002-2014.	Aqwest will update its complaints procedure to ensure it complies with AS/NZS 10002-2014.	Responsible Officer: General Manager Business Services Due: 31 March 2021

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Recommendation (no./year)	Reference details	Auditor's Recommendation	Management response	Delivery details
	Obligations: 2018 Code of Conduct, clause 46(2) and WL2 version 10, clause 4.1.1; and			
9/2020	- Number: 148A; - Ratings: controls – A and compliance - 2; - Obligations: 2018 Code of Conduct, clause 46(4) and WL2 version 10, clause 4.1.1	Aqwest's complaints procedure, as available on the internet, must list the procedures available to the customer under the Act as to: - Applying directly to the Water Services Ombudsman; or - Making an appeal from, or applying for a review of, the decision that gave rise to the complaint, if an appeal or review is available under regulations mentioned in section 222(2)(k) of the Act.	Aqwest will update the complaints procedure, as available on the internet, to list the options available to the customer for: - Applying directly to the Water Services Ombudsman; or - Making an appeal from, or applying for a review of, the decision that gave rise to the complaint, if an appeal or review is available under regulations mentioned in section 222(2)(k) of the Act.	Responsible Officer: General Manager Business Services Due: 31 March 2021
10/2020	- Number: 154; - Ratings: controls – A and compliance - 2; - Obligations: 2018 Code of Conduct, clause 49(2) and WL2 version 10, clause 4.1.1.	Aqwest must ensure that its website contains information stating that in the case where a customer disputes an estimate on which a bill is based, the customer may request a meter reading (if the water service is metered and the meter is operable) and in any event a revised bill and that if the customer so requests, information about the fees that apply.	Aqwest updated the website to ensure it contains information stating that the customer disputing a bill estimate may request: - A meter reading (as long as the service is metered, and the meter is operable) - A revised bill - Information about the fees that apply to their request.	Responsible Officer: General Manager Financial Services Completed February 2021

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Table 2 – Response to Previous Audit Recommendations (Unresolved at End of Current Audit Period)

Recommendation (no./year)	Reference details	Auditor's Recommendation	Management response	Delivery details
6/2017	- Number: 92; - Ratings: controls – D and compliance -2; - Obligations: Water Services Code of Conduct (Customer Service Standards) 2013 ("Code of Conduct") – clause 7 and WSL – clause 3.1.1	Aqwest should provide written information to customers in respect of the stipulations of the clauses 2(a)(i) and 2(d), 2 (e) and 2(f) of the Water Services Code of Conduct (Customer Service Standards) 2013.	Aqwest has made changes in line with recommendation 2/2020	Responsible Officer: General Manager Business Services Completed February 2021
9/2017	- Number: 102; - Ratings: controls – A and compliance – 2; - Obligations: Code of Conduct – clause 12(3) and WSL – clause 3.1.1	Aqwest should ensure that bills refer to the fact complaints about the provision of a water service by the licensee or a failure by the licensee to provide a water service can be made in accordance with the licensee's complaints procedure.	Aqwest has made changes in line with recommendation 3/2020	Responsible Officer: General Manager Financial Services Completed February 2021