

Post Audit and Post Review Implementation from Operational Audit from 2022 Operational Audit

May 2023

Performance Audit

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
2022 Operational Audit					
A1/2022	- Number: 116; - Rating D2 The review procedure must state that the customer may, but does not have to, use the licensee's complaints procedure mentioned in clause 46 before or instead of applying to the water services ombudsman or, if available, making an appeal from, or applying for a review of, the decision under regulations mentioned in section 222(2)(k) of the Act.	Recommendation A1/2022: CKB should update the text in its complaints procedures included on the back of rates notices, in the Customer Charter and on the Customer Complaint Form to make the procedure compliant with the requirements of Clause 20(4) of the Water Services Code of Conduct (Customer Service Standards) 2018.	Update the Customer Service Charter, Financial Hardship Policy, Rates Notice and Complaints handling Policy to reflect the standards used and Code of Conduct.	Water Services	Rates Notice Completed 26 April 2023. Customer Charter completed 4 May 2023. Partial Completion 90%, for Policies as of 4 May 2023 awaiting Council Approval. Due June 2023
A2/2022	- Number: 146; - Rating D2 The licensee's complaints procedure must be developed using as minimum standards the relevant provisions of AS/NZS 10002-2014 and the ERA's guidelines (if any).	Recommendation A2/2022: We recommend that CKB should review its "Complaints Handling" policy using as minimum standards the relevant provisions of AS/NZS 10002-2014 and the ERA's "Customer Complaints Guidelines: distinguishing customer queries from complaints".	Update the Customer Service Charter, Financial Hardship Policy, Rates Notice and Complaints handling Policy to reflect the standards used and Code of Conduct.	Water Services	Charter Completed 4 May 2023 Partial Completion 90%, for Policies as of 4 May 2023 awaiting Council Approval. Due June 2023
A3/2022	- Number: 152; - Rating D2 The licensee must make available to each customer, at no charge, the customer's personal account information including information about bills previously issued to the customer and about the quantity of water supplied to, or wastewater discharged by, the customer in previous billing periods.	Recommendation A3/2022 The CKB must make historical financial information regarding sewerage services provided available at no charge.	Update the Customer Service Charter to reflect no charge for historical financial information relating to residential sewerage services.	Water Services	Completed 4 May 2023
A4/2022	- Number: 154A; - Rating D2 The licensee must ensure that its website contains a link to the current version of this code appearing on the website that is maintained by or on behalf of the Western Australian Government and that provides public access to electronic versions of Western Australian legislation.	Recommendation A4/2022 CKB should ensure that its website contains a link to the current version of this code appearing on the website that is maintained by or on behalf of the Western Australian Government and that provides public access to electronic versions of Western Australian legislation	Place link on CKB Water Website to Code of Conduct.	Water Services	Completed on 21 April 2023
A5/2022	- Number: 187; - Rating D2 The licensee must publish in the form agreed with the Department of Health, a Memorandum of Understanding and any amendments to a Memorandum of Understanding within one month of signing or making the amendment.	Recommendation A5/2022 CKB should publish its MoU with the Department of Health in accordance with the requirements included in Clause 16.3 of the MoU.	Place a link on CKB Water Website to copy of MoU	Water Services	Completed on 21 April 2023

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
A6/2022	- Number: 191, 192, 193, 194, 195, 196, 197, 198; - Rating D3	Recommendation A6/2022 CKB to develop a family violence policy related to its licensed water services in accordance with the Water Services Code of Practice (Family Violence) 2020. The policy should be developed to take into consideration the obligations set out in Obligations 191, 192, 193, 194, 195, 196, 197 and 198 of the ERA's Water Compliance Reporting Manual – Water Service Act 2012 – October 2021.	Create Policy using WA Government Policy Template and Code of Practice	Water Services	Partial Completion 90% as 26 April 2023. Awaiting on Council Approval as an amended Policy.
	191 The licensee must have a family violence policy that sets out the matters specified in clause 5(1).				Due June 2023
	192 The licensee must have a family violence policy before the end of the sixmonth period starting on either: 9 December 2020; or if the day of the grant of the licensee's licence is after 9 December 2020, the day of the grant of the licensee's licence.		Create Policy using WA Government Policy Template and Code of Practice		Partial Completion 90% as 26 April 2023. Awaiting on Council Approval as an amended Policy.
	193 A licensee must publish its family violence policy on its website and provide a hard copy of the policy to a customer on request and at no charge.		Once Policy is approved provide a link on the City's website.		Due June 2023
	194 A licensee must review its family violence policy at least once in every 5- year period, and additionally, if directed to do so by the Minister.		Create Policy using WA Government Policy Template and Code of Practice		Partial Completion 90% as 26 April 2023. Awaiting on Council Approval as an amended Policy.
	195 A licensee must maintain adequate records in relation to compliance with this code or any policy made under the code. If the licensee is a government organisation, as defined in section 3(1) of the State Records Act 2000 (WA), then records must be maintained in accordance with its obligations under that Act.		Create Policy using WA Government Policy Template and Code of Practice		Due June 2023
	196 If the licensee is not a government organisation according to the State Records Act 2000 (WA), a record that relates to a customer, must be retained for at least 7 years after the last communication between the licensee and the customer, or water services ombudsman. If the record does not relate to a customer, then the record must be kept for at least 7 years after the record is made.		Create Policy using WA Government Policy Template and Code of Practice		Partial Completion 90% as 26 April 2023. Awaiting on Council Approval as an amended Policy.
	197 When a customer affected by family violence first contacts a licensee about a particular matter relating to the family violence, the licensee must inform the customer of the existence and operation of the licensee's complaints procedure under clause 46 of the Water Services Code of Conduct (Customer Service Standards) 2018.		Create Policy using WA Government Policy Template and Code of Practice		Due June 2023
	198 A licensee must ensure that its website contains a link that provides access to the current version of the code as it appears on the website that is maintained by or on behalf of the Western Australian Government and that provides public access to electronic versions of Western Australian legislation.		Place a link on CKB Water Website to Code of Practice (Family Violence) 2020		Completed on 24 April 2023