



Shire of Dumbleyung

2021 Post Audit Implementation Plan

Water License WL16

**Economic Regulation Authority
May 2021**

1. Objectives and Scope

The objective was to provide the Economic Regulation Authority (ERA) with an independent implementation plan to address the identified recommendation/s from the licensee's 2020 Audit and Review.

This implementation plan covers the recommendations from the audit covering the period from 1 December 2017 to 30 November 2020 as carried out by Quantum Assurance dated March 2021.

The recommendations have been reviewed against the *Water Services Code of Conduct (Customer Service Standards) 2018* and as such the Actions Proposed to be Undertaken by the Licensee, Responsible Person/s and Target Completion Dates are presented below.

2. Implementation Plan

Table of Current Audit Non- Compliances, Recommendations and Actions Proposed to be Undertaken

A. Unresolved at end of current audit period (30 November 2020)					
Recommendation (no./year)	Non-Compliance/Controls Improvement (Rating/Licence obligation ref. and obligation/Non-compliance or inadequacy of control)	Auditor's Recommendation	Action Proposed to be taken by the Licensee	Responsible Person/s	Target Completion Date
1/2020	<p>B2</p> <p>Obligations 100, 102, 102A, 150</p> <p><i>Water Services Code of Conduct (Customer Service Standards) 2018 - Clause 13(6)</i></p> <p>Rates Notices</p> <p>Each bill must contain the prescribed information.</p> <p>Each bill must inform the customer of the specified information and where further details can be obtained and include the prescribed information.</p> <p>From review of a sample of Rates Notices issued in 2018/19, 2019/20 and 2020/21, the audit found the Rates Notice did not include:</p>	<p>As recommended in the previous audit, the Rates Notices should be updated to include:</p> <ul style="list-style-type: none"> Contact details for account, payment and general enquires for use by customer with hearing or speech impairment; A statement that the website contains information about estimates, meter reading 	<p>The licensee will ensure that the Rates Notice will be updated with:</p> <ol style="list-style-type: none"> Contact details for account, payment and general enquires for use by customer with hearing or 	Manager of Finance	31 August 2021

	<ul style="list-style-type: none"> Contact details for account, payment and general enquires for use by customer with hearing or speech impairment; A statement that the website contains information about estimates, meter reading and testing, complaints and review; and A Statement that the Rates Notices can be reviewed in accordance with the Shire's review procedure. <p>The Payroll & Rates Officer has prepared a draft of the update of Rates Notices for 2021/22 that includes the required information.</p>	<p>and testing, complaints and review.; and</p> <ul style="list-style-type: none"> A Statement that the Rates Notices can be reviewed in accordance with the Shire's review procedure. (and include the link to the detailed information on the website). 	<p>speech impairment.</p> <ol style="list-style-type: none"> A statement that the Shire's website contains information about estimates, meter reading and testing, complaints and review. Provide a website link on the Notice. A statement that the Rates Notices can be reviewed in accordance with the Shire's review procedure (and include the link to the detailed information on the website). 		
2/2020	<p>B2</p> <p>Obligation 119</p> <p><i>Water Services Code of Conduct (Customer Service Standards) 2018 - Clause 13(6)</i></p> <p>Payment Methods</p> <p>The previous auditor confirmed with the Rates & Payroll Officer and by review of a sample of Rates Notices for 2018/19, 2019/20 and 2020/21 that the Shire did allow customers to pay bills using any of the prescribed methods of:</p> <ul style="list-style-type: none"> Direct credit/EFT; By mail; By phone; and In person. 	<p>The Shire should amend the Rates Notices to include payment methods of Direct Debit and Centrepay to comply with the stipulations of clause 21(1) of the Code of Conduct.</p>	<p>The licensee will ensure that the Rates Notice includes payment methods of Direct Debit and Centrepay to comply with the stipulations of clause 21 (1) of the Code of Conduct.</p>	<p>Manager of Finance</p>	<p>31 August 2021</p>

	<p>As reported in the previous audit, the payment methods did not include payment by direct debit or Centrepay.</p> <p>The Shire has not amended the Rates Notices to include payment methods of Direct Debit and Centrepay to comply with the stipulations of clause 21(1) of the Code of Conduct.</p> <p>The Payroll & Rates Officer has prepared a draft of the update of Rates Notices for 2021/22 that includes the required information.</p> <p>The Shire's Financial Hardship Policy does include these payment options, including Centrepay. The Customer Service Charter is considered adequate if the Rates Notices include the Centrepay option..</p>				
3/2020	<p>B2</p> <p>Obligation 154A</p> <p><i>Of Debit - Clause 49(3)</i></p> <p>Website Link to Code of Conduct</p> <p>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.</p> <p>The auditor noted that the Customer Service Charter available on the Shire's website includes a list of the compliance obligations for the Code of Conduct but there is no direct link on the Shire's website to the current code on the Western Australian legislation website.</p>	<p>The Shire should include a link on the website to the current version of the Water Services Code of Conduct on the WA Government legislation website at:</p> <p>Western Australian Legislation - Water Services Code of Conduct (Customer Service Standards) 2018</p>	<p>The licensee will include the website link to the current version of the Water Services Code of Conduct on the WA Government legislation website at:</p> <p>Western Australian Legislation - Water Services Code of Conduct (Customer Service Standards) 2018</p>	<p>Chief Executive Officer</p>	<p>29 October 2021</p>

<p>4/2020</p>	<p>C2 Obligation 167 <i>Water Services Act 2012 Section 12</i></p> <p>Annual Performance Report to ERA</p> <p>The licensee must provide the ERA with the data required for performance reporting purposes that is specified in the Water, Sewerage and Irrigation Licence Performance Reporting Handbook, and the National Performance Framework that apply to the licensee.</p> <p>The auditor confirmed by review of the performance data on the ERA's website that the Performance Reports to the ERA for 2017/18, 2018/19 and 2019/20 had been submitted. The Shire was unable to provide a copy of the Performance Reports and the underlying data due to a staffing change.</p>	<p>The recordkeeping system needs to be improved to record the submission of the annual Performance Reports, the source of the underlying data and the acknowledgment of receipt from the ERA. A separate digital folder should be set up for all correspondence with the ERA.</p>	<p>The licensee shall implement a separate digital file to record the submission of the annual Performance Reports, the source of the underlying data and the acknowledgment of receipt from the ERA (i.e. all correspondence with the ERA).</p>	<p>Chief Executive Officer</p>	<p>30 September 2021</p>
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