

Shire of Lake Grace – Post-Audit Implementation Plan, May 2021

Recommendation Reference	Non-compliance / controls improvement	Auditor's recommendation	Actions proposed to be taken by the licensee	Responsible officer	Target completion date
1/2021	<ul style="list-style-type: none"> • Numbers: 1, 2, 4, 5, 7, 8, 9, 14, 16, 24, 62, 92, 100, 102, 102A, 117A, 118, 119, 120, 123, 124, 124A-C, 126A-B, 129B-C, 131, 131B-C, 133A, 134, 134A, 159, 161, 165, 166, 167, 171, 172A-B, 181, 182 and 190; • Ratings: as recorded at the individual obligations in Table 7 of the Audit Report; and • Obligations: as recorded at the individual obligations in Table 7 of the Audit Report; and • Details: <ul style="list-style-type: none"> ○ Paxon examined a Shire document entitled: "Wastewater Asset Management – Compliance Obligation Procedure List" (Controls Record). The Controls Record: <ul style="list-style-type: none"> • Was created in September 2017 and revised in February 2021; and 	<p>The Shire should update its Controls Record to:</p> <ul style="list-style-type: none"> • Include all the Shire's obligations in terms of the Water Services Legislation; • Refer to current Water Services Legislation; • Identify, per individual compliance obligation, appropriate policy and procedure documents and responsible employees. <p>The ERA's document entitled: "<i>Water Compliance Reporting Manual – Water Services Act 2012 – May 2020</i>" may help the Shire to develop its own compliance register</p>	<p>Review "Compliance Obligation Procedure List" document and include context and procedures for Obligations 1, 2, 4, 5, 7, 8, 9, 14, 16, 24, 62, 92, 100, 102, 102A, 117A, 118, 119, 120, 123, 124, 124A-C, 126A-B, 129B-C, 131, 131B-C, 133A, 134, 134A, 159, 161, 165, 166, 167, 171, 172A-B, 181, 182 and 190 and update references to legislations and licenses to the current versions.</p>	<p>Technical Officer</p>	<p>31 August 2021.</p>

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	<ul style="list-style-type: none"> • Lists obligations in terms of: <ul style="list-style-type: none"> ○ Water Services Act 2012; ○ Water Services Regulations 2013; ○ Water Services Code of Conduct (Customer Service Standards 2018); and ○ WL22. Hereinafter referred to the Water Services Legislation; ○ However, Paxon found the Controls Record: <ul style="list-style-type: none"> • Does not cover all the Shire's obligations in terms of the Water Services Legislation (and specifically not the obligation recorded in section 21(1)(a) of the Act); • Omits specific Water Services Legislation obligations when addressing a topic; and • Includes references to WL22 version 4 which 				

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	<p>was replaced by version 5.</p> <ul style="list-style-type: none"> ○ Paxon examined a Shire document entitled "<i>Compliance Register</i>". This register records "<i>Details of Non-Compliance</i>" instances. However, the register includes a single entry referenced as "<i>01/2016</i>". Consequently, this register is not being maintained as evident from the instances of non-compliance reported in the Shire's compliance report for 2017-2018, 2018-2019 and 2019-2020. 				
2/2021	Same as 1/2021.	<p>The Shire should immediately record instances of non-compliance with its obligations in terms of the Water Services Legislation in its "<i>Compliance Register</i>". This will help ensure the accuracy and completeness of the Shire's annual</p>	<p>Complete Recommendation 1/2021 to ensure all applicable Compliance Obligations are covered in the "<i>Compliance Obligations Procedures</i>" document. Distribute the revised document to infrastructure staff to increase awareness for what obligations the Shire has to continually monitor to prevent breaches, or to record breaches as they occur.</p>	Technical Officer	31 August 2021.

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		compliance reports provided to the ERA.			
3/2021	<ul style="list-style-type: none"> • Numbers: 55 and 56; • Ratings: controls – A and compliance – 3; • Obligations: Act, sections 176(3) and (4) and WL22, version 5, clause 4.1.1; and • Details: Paxon confirmed by interview of the Shire's Technical Officer that, during the Audit Period, no Shire representatives performing sewerage works carried certificates of authority. 	<p>The Shire must issue its representatives with certificates of authority. These certificates should:</p> <ul style="list-style-type: none"> • Record the full name of the representative; and • Refer to sections 115 and 116 of the Act. 	<p>Create a template for certificates of authority that contain, per s. 211 of the Act:</p> <ul style="list-style-type: none"> - A recent passport-size photograph of the person; - The person's name; - A statement to the effect that the person is an inspector or compliance officer for the purposes of this Act; - The provisions under which the inspector or compliance officer may exercise powers; - Any limitations or restrictions that apply to the exercise of the powers of the inspector or compliance officer; and - The expiry date of the certificate. <p>So that they can be issued whenever required. Provisions shall be under s. 115 and 116 of the Act for the Shire's purposes.</p>	Technical Officer	31 May 2021.
4/2021	<ul style="list-style-type: none"> • Number: 92: • Ratings: controls – D and compliance – 2; • Obligations: Water Services Code of Conduct (Customer Service Standards) 2018 (2018 Code of Conduct), 	The Shire must comply with the stipulations of regulation 8(2)(f) of the 2018 Code of Conduct by having publicly available written information for	Decide on the amount to be charged for both administration of new connections and inspection of completed connections for inclusion into next financial year's Fees & Charges (to be adopted with the Annual Budget).	Technical Officer, Manager Corporate Services	31 August 2021 (expected month of Annual Budget adoption).

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	<p>clauses 8(1) to 8(3) and WL22 version 5, clause 4.1.1; and</p> <ul style="list-style-type: none"> • Details: <ul style="list-style-type: none"> ○ The Wastewater Charter addresses the fact an administration fee and installation inspection charge are payable for sewerage service connections; and ○ Paxon could not find any references to the amounts of the administration fee and installation inspection charge payable for sewerage service connection in either the Wastewater Charter or in other documents found on the Shire's website. 	<p>customers regarding the amounts of the administration fee and installation inspection charge for sewerage service connections.</p>			
5/2021	<ul style="list-style-type: none"> • Number: 114D; • Ratings: controls – B and compliance – 2; • Obligations: 2018 Code of Conduct, clause 44(2) and WL22 version 5; and • Details: Paxon examined a Shire document entitled: 	<p>The Shire should ensure its Contingency Plan addresses the event of a wastewater spill from its sewerage works. The Contingency Plan should provide for compliance with the stipulations of clauses 44(2)(c) and (d)</p>	<p>In the "<i>Contingency Planning</i>" document, add to rising main spills and gravity main bursts and spills sections about mitigation of damage and inconvenience to a customer if the spill enters their property (as opposed to land owned by the Shire) and clean-up/disinfection after the spill has been stopped.</p>	Technical Officer	Completed.

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	<p><i>"Wastewater Asset Management – Contingency Planning"</i> (Contingency Plan). The Contingency Plan does not provide for compliance with the stipulations of:</p> <ul style="list-style-type: none"> ○ Clause 44(2)(c) – the action or actions that must be taken to ensure that, in the event of a wastewater spill for the sewerage works of the Shire onto a customer's property, damage and inconvenience to the customer and other persons or entities are minimised; and ○ Clause 44(2)(d) – the action or actions that must be taken to ensure that, in the event of a wastewater spill from the sewerage works of the Shire, the spill is promptly cleaned, and the affected areas is disinfected. 	<p>of the 2018 Code of Conduct.</p>			
6/2021	<ul style="list-style-type: none"> ● Number: 165; 	<p>The Shire must timely provide the ERA with specified information</p>	<p>Standing charge data for the period 2020-2021 was delivered to ERA on 31 July 2020, well before the 31</p>	<p>Technical Officer</p>	<p>Ongoing.</p>

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	<ul style="list-style-type: none"> • Ratings: controls – D and compliance – 2; • Obligations: Act, section 12 and WL22 version 5, clause 4.8.1; and • Details: <ul style="list-style-type: none"> ○ The Shire's compliance report for 2018-2019 records the Shire did not submit the standing charge data requested by the ERA by 30 September 2018; and ○ The Shire's compliance report for 2019-2020 records the Shire did not submit the standing charge data requested by the ERA by 30 September 2019. 	<p>relevant to the operation of WL22 version 5 of the licensing scheme, or the performance of the ERA's function under the Act in the manner and form specified by the ERA.</p>	<p>August 2020 deadline. Management receives the initial request from ERA to submit customer account numbers which now get forwarded to Technical Officer quicker for action.</p> <p>No completion date given as it is a yearly recurring obligation.</p>		