



# WILMA

Water Industry  
Licensing  
Management  
Application

NON-COMPLIANCE MANUAL  
Licensee

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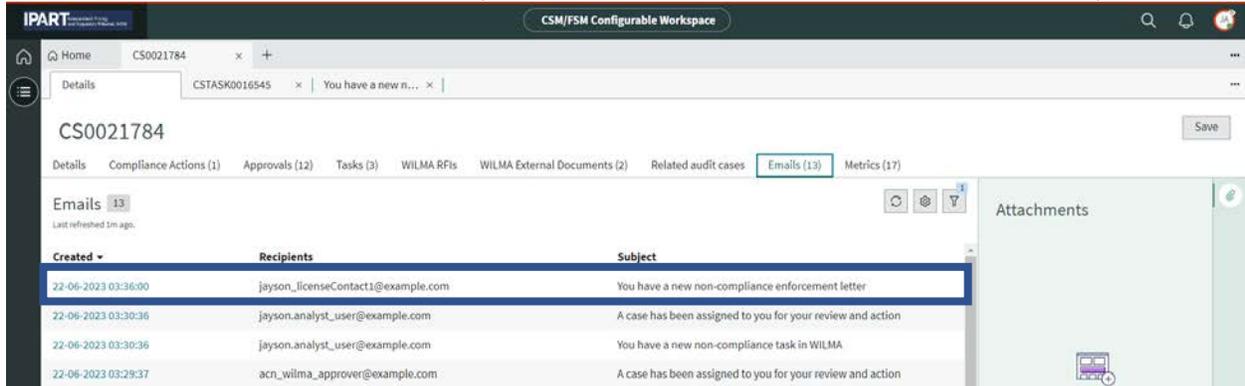
# WILMA Non-compliance Manual

## When a non-compliance case is raised

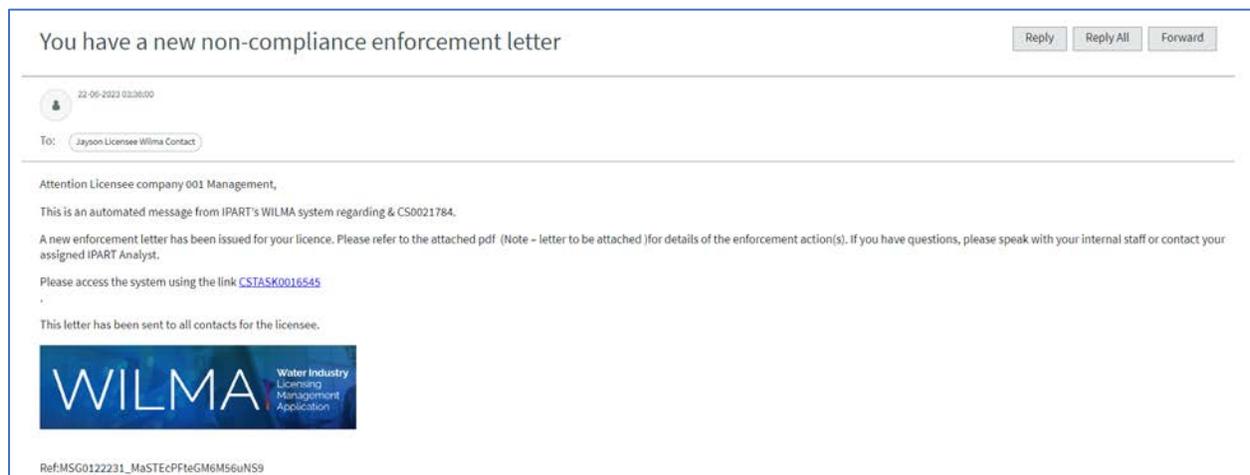
### Letter or notice

#### *Email to Licensee and Licensee Management about the non-compliance*

The Licensee receives an email from the system regarding the non-compliance letter or notice. When an Analyst sends a non-compliance to the Licensee, the system automatically sends an email to the Licensee, informing them about the non-compliance record. This email ensures that the Licensee is promptly informed about the non-compliance and can take the necessary actions.



A Licensee management user, will receive a letter or notice regarding non-compliance (for view only) that they do not need to reply on. Additionally, the system sends an email to Licensee Management, informing them about the raised non-compliance record. This ensures effective communication and awareness of the non-compliance issues.



### Responding to a non-compliance letter or notice

A Licensee contact will have the ability to respond to a non-compliance letter or notice. They can access the assigned task, review the attached letter, and provide a response by either entering text or submitting mandatory files.

The screenshot shows the WILMA user interface for a task titled 'CSTASK0016545'. The task is currently in the 'Awaiting Response' state. The interface includes a header with the WILMA logo and user information 'Jayson Licensee Wilma Contact'. A navigation bar contains links for 'My draft cases', 'My submitted cases', 'Tasks', 'RFIs', 'My organisation details', 'Knowledge articles', and 'My technical support cases'. The task details section shows the task number 'CSTASK0016545', case number 'CS0021784', and case type 'Non-compliances'. The subject is 'A non-compliance letter has been issued. Please review the details in the email and submit your response'. A 'Task Response' field is present but empty. Below this is a 'Submitted Details' section with fields for 'Action due date' and 'Action resolution date' (set to '22-06-2023').

Once they complete the requirements and submit their response, the task's state changes to "Responded"

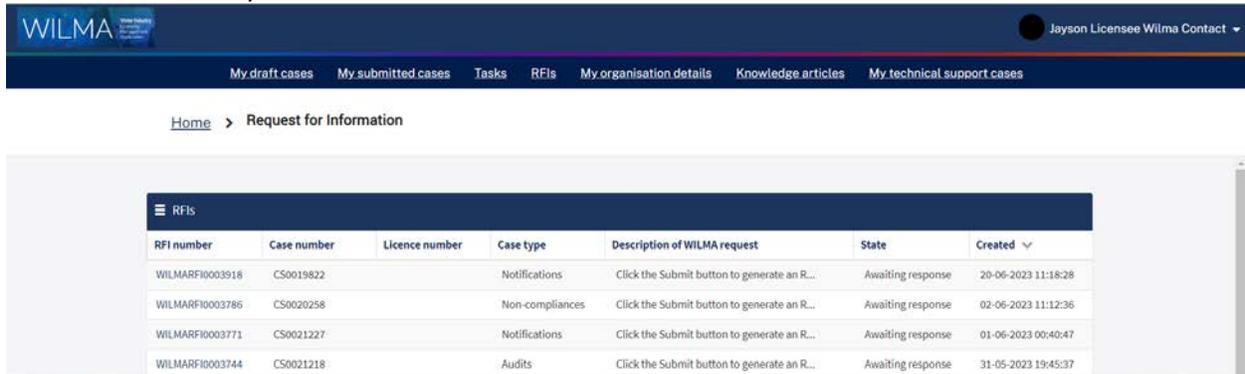
This screenshot shows the same WILMA task 'CSTASK0016545' after it has been completed. The state has changed from 'Awaiting Response' to 'Responded'. The 'Task Response' field now contains the text 'test attachment on letter request'. The 'Action resolution date' remains '22-06-2023'. A blue box highlights the 'Responded' state in the dropdown menu. The footer of the page includes links for 'Copyright', 'Disclaimer', and 'Privacy'.

The overall case will be marked as "Letter - response received." With these capabilities, can effectively address the non-compliance as a Licensee.

## RFI (Request for Information)

### *Licensee responding to the RFI*

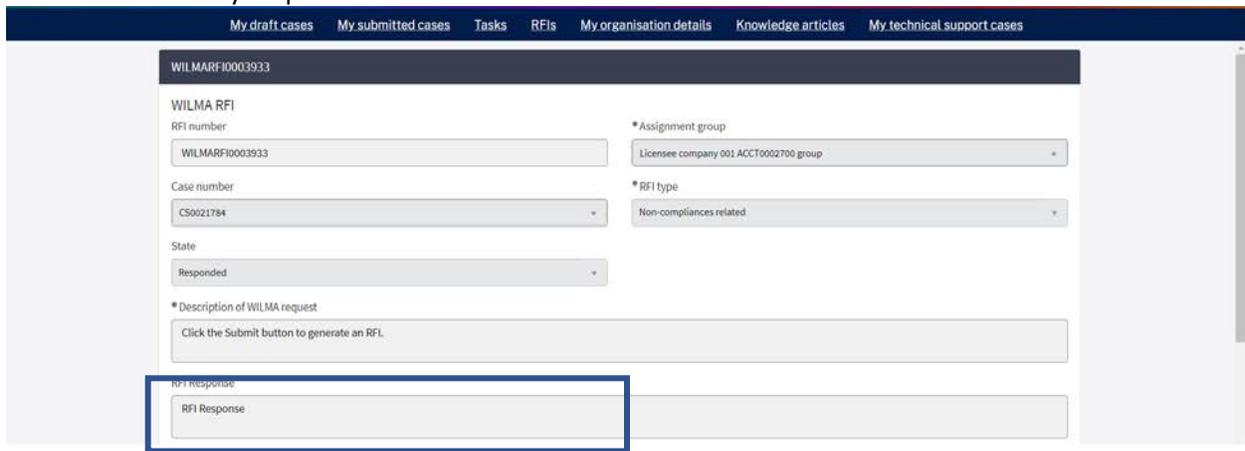
A Licensee contact will have the ability to receive and respond to RFI (Request for Information) requests from the iPART Analyst.



The screenshot shows the WILMA user interface. At the top, there is a navigation bar with the WILMA logo and the user name 'Jayson Licensee Wilma Contact'. Below the navigation bar, there are several menu items: 'My draft cases', 'My submitted cases', 'Tasks', 'RFIs', 'My organisation details', 'Knowledge articles', and 'My technical support cases'. The main content area shows a breadcrumb trail 'Home > Request for Information' and a table of RFIs.

RFI number	Case number	Licence number	Case type	Description of WILMA request	State	Created
WILMARF0003916	CS0019822		Notifications	Click the Submit button to generate an R...	Awaiting response	20-06-2023 11:18:28
WILMARF0003786	CS0020258		Non-compliances	Click the Submit button to generate an R...	Awaiting response	02-06-2023 11:12:36
WILMARF0003771	CS0021227		Notifications	Click the Submit button to generate an R...	Awaiting response	01-06-2023 00:40:47
WILMARF0003744	CS0021218		Audits	Click the Submit button to generate an R...	Awaiting response	31-05-2023 19:45:37

When an RFI is received, they can proceed to respond to it. After submitting RFI response, the state of the RFI is changed to "Responded." It's important to note that the user cannot make any further modifications to my response once it has been submitted.



The screenshot shows the WILMA user interface for editing an RFI. The top navigation bar is the same as in the previous screenshot. The main content area shows the details for RFI WILMARF0003933. The form includes fields for 'RFI number' (WILMARF0003933), 'Case number' (CS0021784), 'State' (Responded), 'Assignment group' (Licensee company 001 ACCT0002700 group), and 'RFI type' (Non-compliances related). The 'Description of WILMA request' field contains the text 'Click the Submit button to generate an RFI'. The 'RFI response' field is highlighted with a blue box and contains the text 'RFI Response'.

For the additional attachments, one can upload on the “Submitted Details” section

Submitted Details

External Documents

Actions	Document category	Document Name	Date Attached
	Audit - Proposal	Consultant Material.docx	30-06-2023
	Audit - Draft Report	Delivery Program Extract.docx	30-06-2023
		Consultant Material.docx	30-06-2023

Proceed to Upload

Attachments  
 Consultant Material.docx Delivery Program Extract.docx Consultant Material.docx

Add attachments

Save Submit RFI

Required information **RFI Response**

**NOTE: Licensees will have access to delete attachments that were added by IPART but ensure NOT TO delete. Audit tracking is enabled to track such changes.**

Once the documents are uploaded make sure to add a category by clicking on the “Edit Row” icon under “Actions column”, then the Edit Row dialog box will pop-up and the Licensee will have the options on what categories to add accordingly to the specific RFI.

Edit Row

Document category

-- None --

Audit - Proposal

Audit - Draft Report

Audit - Final Report

Deed poll

Licence plans

Cancel Save

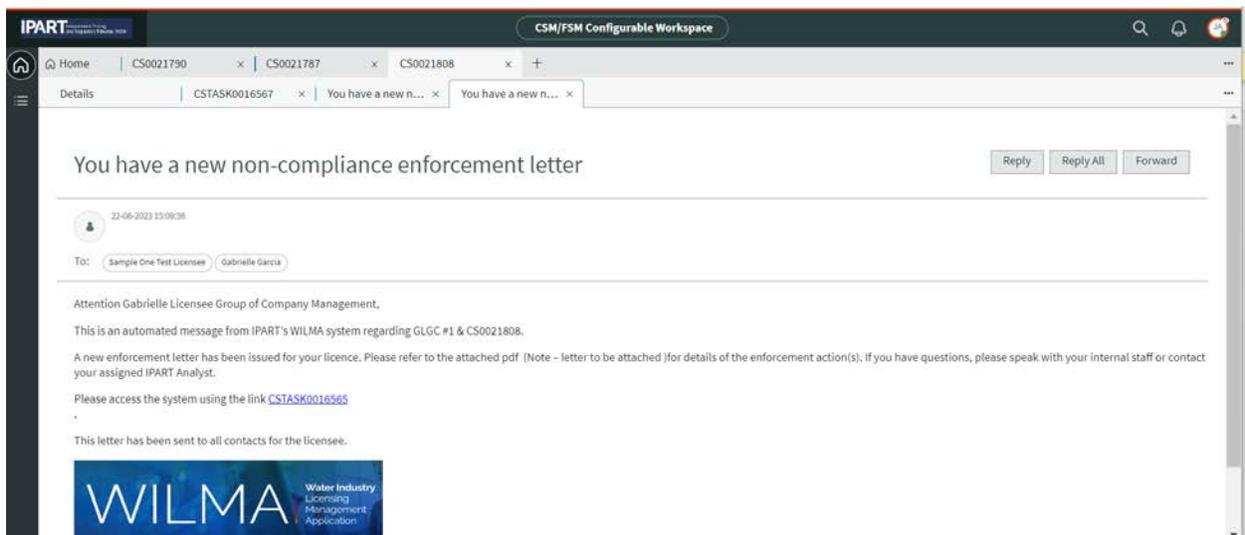
Once the RFI has been completed you can select the “Submit RFI” button

The screenshot shows the WILMA system interface. At the top, there is a navigation bar with the WILMA logo and a user profile for 'Jayson Licensee Wilma Contact'. Below the navigation bar, there are several tabs: 'My draft cases', 'My submitted cases', 'Tasks', 'RFIs', 'My organisation details', 'Knowledge articles', and 'My technical support cases'. The main content area is a form for submitting an RFI. It includes fields for 'Watchlist group', 'Watch list', 'Description of WILMA request', 'Additional details to the case', and 'RFI Response'. There is a section for 'Submitted Details' and 'External Documents' which contains a table with columns for 'Actions', 'Document category', 'Document Name', and 'Date Attached'. The table has one row with a document named 'Simple Gantt Chart1.xlsx' attached on '26-06-2023'. Below the table is a checkbox labeled 'Proceed to Upload'. At the bottom of the form, there is an 'Attachments' section showing the same document and a 'Submit RFI' button.

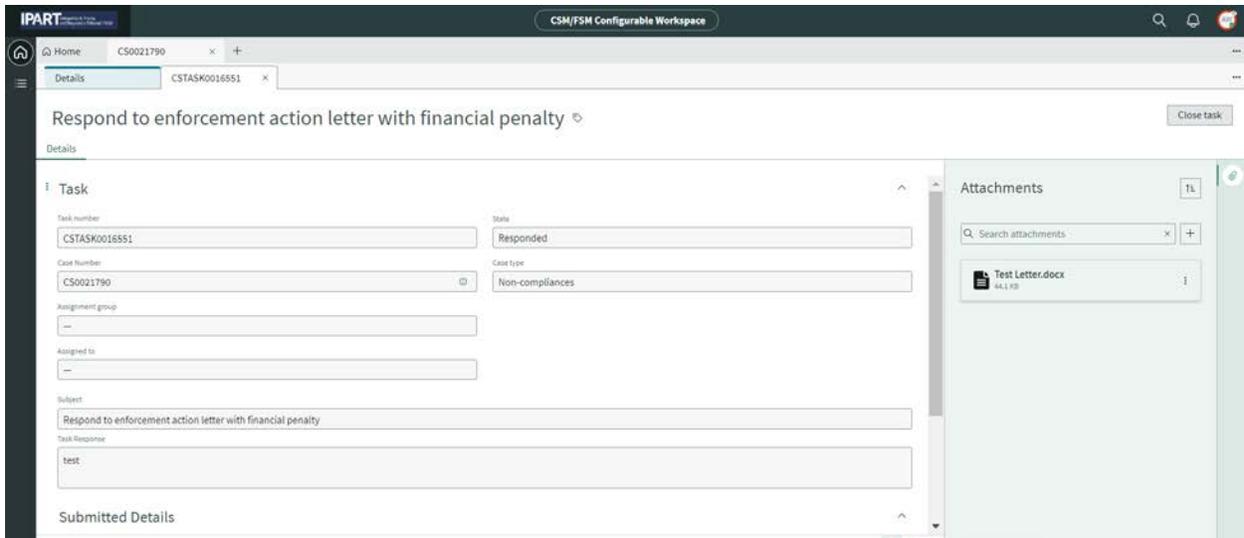
Enforcement action letter

*Responding to enforcement action letter*

A Licensee contact will have the ability to receive and view the enforcement action letter with or without financial penalty. When the letter is sent by iPART, the system sends an email to Licensee contacts.



Upon logging into the system, user can access the task details and navigate to the corresponding case details. This allows them to open and view the received enforcement action letter.



If with financial penalty, the Licensee has the ability to attach proof of payment in response to the enforcement letter. They can then upload the payment evidence and provide task response, which is mandatory. After submitting response, the state of the task changes to "responded."

If letter received is without financial penalty, after submitting the response, the state of the task changes to "responded," and the state of the case is set to "Action without FP response received." The Analyst can then proceed with the necessary actions based on the response received.

