

Table 1 Auditor Recommendations Status Update

Recommendation Indicate New/Outstanding	Page	Current Status (implemented, partially implemented, not implemented)	Actions Taken to Implement since PA Report	Planned Actions for Implementation	Timeline for Implementation
Outstanding - Up-to-date, tested emergency preparedness plans for each of its major dams (i.e. Rafferty, Grant Devine (formerly Alameda), Qu’Appelle River and Gardiner	368	Partially implemented	1. Trained WSA staff on Incident Command System (ICS) 2. Further implemented Mass Notification System [These are the result of recommendations from the Rafferty Test exercise]	1. Finalize directive to formalize scope and testing frequency of Emergency Action Plans. 2. Update and testing of each EAP. Update will incorporate recommendations from 2018 training exercise	FY2023 – see table below for details
Outstanding -  Set processes that ensure manuals always include complete procedures to operate, maintain and monitor dam safety.	369	Partially implemented	Continued preparation of manuals	1. Complete Gardiner Dam OMS FY2020 2. Prepare Rafferty Dam OMS FY2020 3. Prepare Grant Devine OMS FY2021 4. Prepare Qu’Appelle Dam OMS FY2022	FY2022

**3.1 More Testing of Emergency Preparedness Plans Required**

- We continue to implement recommendations from Rafferty Test exercise summary report and the status of them is:
  - Completed: 2
  - In progress: 4

- Not started: 6
  - Not accepted: 1
- Many of the recommendations will be implemented through revisions to the existing Emergency Preparedness Plans for each of the major dams. Following the revisions, testing exercises will be completed as outlined in our draft directory.

Table 2 Proposed Schedule for Updating and Testing of Emergency Action Plans

<b>Dam</b>	<b>Update</b>	<b>Testing</b>
Gardiner Dam	FY2022	FY2023
Qu'Appelle River Dam	FY2020	FY2021
Rafferty Dam	FY2020	FY2023
Grant Devine Dam	FY2021	FY2022

### 3.2 Required Manuals Remain Unfinished

- The schedule to complete the OMS manuals is listed in the Status Update table above
- The outstanding manuals are being prepared by Dam Safety (OMS manuals) and Hydrology (Reservoir Operating Plan)

Recommendation (All items are new)	Page	Current Status (implemented, partially implemented, not implemented)	Action Taken to Implement since PA Report	Planned Actions for Implementation	Timeline for Implementation
1. We recommend that the Water Security Agency approve finalized policies related to its regulation of drainage of water on agricultural lands	186	Partially Implemented	<p>Completed draft of suite of <b>Compliance Polices including:</b>  Roles &amp; Responsibilities - Approved Aug 19  Compliance Framework - Approved Aug 19 and others get list from Etienne)  Compliance Priorities - Approved Aug 19</p> <p>Completed draft of <b>Network Policy - approved in principle - Aug 2019</b>  Finalized &amp; Approved Policies include the:  RFA Policy (approved April 18, 2019)  Point of Adequate Outlet (approved April 18, 2019)  Channelization Policy (approved April 18, 2019)  Wetland Consolidation Policy (approved April 18, 2019)  Amendment Policy (approved November 22, 2019)  Term Length Policy (approved November 22, 2019)  Land Control Policy (approved November 22, 2019)</p>	Mitigation policy drafted and currently undergoing consultations. Also operational policies are currently being developed.	<p>Compliance policy complete, strategy for implementation to be completed for March 2020. MoE C&amp;FS to align protocol by April 202 (full implementation of the policies may take up to 12 months)</p> <p>Finalized policies will be reviewed on a 5 year cycle</p>

<p>2. We recommend that the Water Security Agency require documentation of all aspects of watershed risk before approving applications for drainage works</p>	189	Implemented	<p>Complete:  Watershed vulnerability risk assessment file facesheet has been created (December 2018)  Represents step one of the risk assessment.  The file face sheet will be completed by QP and validated by WSA staff.  Risk facesheet was introduced and operationalized with WSA staff on April 24, 2019 through staff workshop  Materials are developed and workshop being delivered to new and existing QPs throughout 2019/20 fiscal year. BRACE training will supplement further.  Updated operational Documents (D1, D2, D3 and D4 completed) - procedural and operational guidelines provided to techs to instruct them on how to handle applications. In total 15 of 24 policies are complete with remaining 9 policies in progress</p>	<p>Training underway and ongoing for WSA staff and QPs through development of webinar and other support materials</p>	Ongoing
<p>3. WSA formalize a process to periodically reassess watersheds in the province for risk of flooding</p>	189	Partially Implemented	<p>Complete:  Revised policy to include ongoing assessment and review. Included reassessment of the map on 5 year cycle or when new improved data is available. (completed December 2018)</p>	<p>Review of current Watershed Vulnerability Map and appropriate revisions yet to be made. Collaborate with Ministry of Environment on revisions.</p>	Completed review of watershed flooding risk by December 2019
<p>4. We recommend that the Water Security Agency develop policies on water quality and wetland requirements to use when assessing risks of drainage works</p>	190	Partially Implemented	<p>Drafted:  Mitigation Policy that addresses regulatory response to water quality and wetland retention requirements  Consulted on appropriate policies and procedures with stakeholders through AWMPAC and have recently significantly broadened consultation engagement with more ag, environmental and other stakeholders  Staff must now ensure water quality and wetland components are evaluated through the risk of projects at the local and watershed scale</p>	<p>Ongoing training and technical support - please refer to recommendations #2 and #6 for actions</p>	<p>Full implementation of all components of the policy may take <u>up to</u> 12 months once fully approved.</p> <p>Ongoing</p>
<p>5. We recommend that the Water Security Agency publish expected timeframes to resolve requests for assistance on unapproved drainage works</p>	191	Partially implemented	<p>Complete:  RFA Policy establishes recommended timelines (approved April 18, 2019)  Initial Draft of Request for Assistance manual developed for review  Initial internal review of draft RFA manual completed November 28, 2018, Second internal review is ongoing at this time.</p>	<p>Revise and finalize Request for Assistance manual to provide operational guidance</p> <p>Operational support to be provided through webinars and other formats for staff.</p>	<p>RFA Manual to be finalized and completed by December 31, 2019</p> <p>Ongoing</p>

<p>6. We recommend that Water Security Agency staff consistently follow established processes to document risk assessments when reviewing applications for drainage works</p>	<p>192</p>	<p>Implemented</p>	<p>Complete:  Watershed vulnerability risk assessment file facesheet has been created (December 2018)  Represents step one of the risk assessment.  The file face sheet will be completed by QP and validated by WSA staff.  Risk facesheet was introduced and operationalized with WSA staff on April 24, 2019 through staff workshop  Materials are developed and workshop being delivered to new and existing QPs throughout 2019/20 fiscal year. BRACE training will supplement further.  Updated operational Documents (D1, D2, D3 and D4 completed) - procedural and operational guidelines provided to techs to instruct them on how to handle applications.</p>	<p>Training underway and ongoing for WSA staff and QPs through development of webinar and other support materials</p>	<p>Ongoing</p>
<p>7. We recommend that the Water Security Agency consistently follow established processes when assessing requests for assistance on unapproved drainage works</p>	<p>193</p>	<p>Partially Implemented</p>	<p>Complete:  RFA Policy establishes recommended timelines (approved April 18, 2019)  Initial draft of Request for Assistance manual developed for review  Initial internal review of draft RFA manual completed November 28, 2018. Second internal review currently underway.</p>	<p>Revise and finalize Request for Assistance manual to provide operational guidance  Operational support provided through webinars and other formats</p>	<p>RFA Manual to be finalized and completed by December 31, 2019  Ongoing</p>

<p>8. We recommend that Water Security Agency staff follow established processes to escalate identified actions on unapproved drainage works within a reasonable timeframe</p>	<p>194</p>	<p>Partially Implemented</p>	<p>Complete: RFA Policy establishes recommended timelines (approved April 18, 2019)</p> <p>Initial draft of Request for Assistance manual developed for review Initial internal review of draft RFA manual completed November 28, 2018. Second review currently underway.</p> <p>Also Complete: Draft of Compliance Policy</p> <p>Developed Compliance Plan templates Templates finalized November 22, 2018</p> <p>Developing supporting operational procedures that will outline decision making processes which support prioritization of WSAs regulatory response to unapproved works</p>	<p>Revise and finalize Request for Assistance manual to provide operational guidance.</p> <p>Draft Compliance Policy for review Finalize compliance plan templates</p> <p>Pilot compliance plan templates to be implemented in all new priority networks established as of November 1, 2019</p> <p>Templates to be reviewed at 6 and 12 months intervals</p> <p>Finalize draft operational procedures for internal review</p>	<p>RFA Manual to be finalized and completed by December 31, 2019</p> <p>Ongoing Compliance policy to be completed by September 2019</p> <p>Review of template pilot process April 2019 and November 2019</p> <p>April/September 2019 for 6 &amp; 12 month reviews</p> <p>April 2020</p>
<p>9. We recommend that the Water Security Agency develop a prioritization plan to identify and bring unapproved high-risk drainage works into compliance</p>	<p>195</p>	<p>Partially Implemented</p>	<p>Complete: Draft of Compliance Policy</p> <p>Developed Compliance Plan templates Templates finalized November 22, 2018</p> <p>Developing supporting operational procedures that will outline decision making processes which support prioritization of WSAs regulatory response to unapproved works</p>	<p>Draft Compliance Policy for review Finalize compliance plan templates</p> <p>Pilot compliance plan templates to be implemented in all new priority networks established as of November 1, 2019</p> <p>Templates to be reviewed at 6 and 12 months intervals</p> <p>Finalize draft operational procedures for internal review</p>	<p>Compliance policy to be completed by September 2019</p> <p>Review of template pilot process April 2019 and November 2019</p> <p>April/September 2019 for 6 &amp; 12 month reviews</p> <p>April 2020</p>

<p>10. We recommend that the Water Security Agency periodically report to senior management on actions taken to address non-compliance of unapproved drainage works</p>	<p>195</p>	<p>Implemented</p>	<p>Complete:  Holding weekly and quarterly Regional Managers meetings with senior management staff to discuss issues around actions taken to address non-compliance of unapproved drainage works. EC member participates on weekly calls.</p> <p>Develop a formal reporting structure to ensure frequent communication with executive management through meetings, closing binders and other reporting methods</p> <p>Development of approved formal reporting structure, complete.</p> <p>Developed suite of metrics for WSA quarterly reporting and status updates</p>	<p>Implemented</p>	<p>Implemented</p>
<p>11. We recommend that the Water Security Agency report to the public on its regulation of the drainage of water on agricultural lands</p>	<p>196</p>	<p>Implemented</p>	<p>Completed:  Information provided to WSA Planning and Business Improvement for inclusion in Annual Report (March 2019)</p>	<p>Implemented</p>	<p>Implemented</p>

## Status Update – Business Continuity Plan

Recommendation Indicate New/Outstanding	Page	Current Status (implemented, partially implemented, not implemented)	Actions Taken to Implement since PA Report	Planned Actions for Implementation	Timeline for Implementation
<b>Outstanding</b>	2016 – Page 106  2017 – Page 102  2018 – Page 104	<b>Not implemented</b>	Request for Proposals being prepared to consider path forward	Consider proposals from consultants as to path forward on data disaster recovery	Proposals from consultant to be considered not later than <b>March 31, 2020</b> on data disaster recovery;