

Robe River Mining Co Pty Ltd

Water Services Licence (WL45)

2025 Operational Audit

Final report

October 2025



ASSURANCE
ADVISORY
GROUP

Level 11, 251 Adelaide Terrace
PERTH WA 6000

28 October 2025

Sara O'Connor
Executive Director Regulation
Economic Regulation Authority
Level 4, Albert Facey House
469 Wellington Street
PERTH WA 6000

Dear Sara

Water Service Licence (WL45) – 2025 Operational audit report

We have completed the Water Services Licence Operational Audit for Robe River Mining Co Pty Ltd for the period 1 May 2021 to 30 April 2025 and are pleased to submit our report to you.

I confirm that this report is an accurate presentation of the findings and conclusions from our audit procedures.

If you have any questions or wish to discuss anything raised in the report, please contact Andrew Baldwin at abaldwin@assuranceadvisory.com.au or myself at slinden@assuranceadvisory.com.au.

Yours sincerely

Assurance Advisory Group



Stephen Linden
Director
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1. Independent auditor's assurance report

Modified opinion

We have undertaken a reasonable assurance engagement on Robe River Mining Co. Pty Ltd's (**Robe River**) compliance, in all material respects, with the conditions of its Water Services Licence (WL 45) (the **Licence**) and relevant legislative obligations for the period 1 May 2021 to 30 April 2025. Our evaluation was made against the licence obligations listed in the relevant versions of the Economic Regulation Authority's (the **ERA**) Water Compliance Reporting Manual (the **Reporting Manual**) and in accordance with the ERA's Audit and Review Guidelines: Water Services (**Audit Guidelines**).

In our opinion, based on the procedures we have performed and the evidence we have obtained, except for the effects of the matter described in the Basis for modified opinion paragraph below, Robe River has complied, in all material respects, with its licence conditions and relevant legislative obligations for the period 1 May 2021 to 30 April 2025.

Basis for modified opinion

During the period 1 May 2021 to 30 April 2025, Robe River did not comply with applicable licence obligation as outlined below:

Reporting Manual number and Licence obligation		Description
155	Licence Condition 4.2.1 The licensee must pay the applicable fees and charges in accordance with the Economic Regulation Authority (Licensing Funding) Regulations 2014.	Robe River paid its 2024 Q2 standing charges 21 days late.

We conducted our engagement in accordance with Standard on Assurance Engagements ASAE 3100 *Compliance Engagements* (**ASAE 3100**) issued by the Auditing and Assurance Standards Board.

We believe that the evidence we have obtained is sufficient and appropriate to provide a basis for our conclusion.

Robe River's responsibility for compliance with the conditions of the Licence

Robe River is responsible for:

- Compliance with the Licence as evaluated against the conditions within the Licence, for the period 1 May 2021 to 30 April 2025
- Identifying risks that threaten the conditions within the Licence identified above being met
- Identifying suitable compliance requirements as specified by the ERA
- Identifying, designing and implementing controls to enable the conditions within the Licence to be met and to monitor ongoing compliance.

Our independence and quality control

We have complied with the independence and other relevant ethical requirements relating to assurance engagements, which are founded on fundamental principles of integrity, objectivity, professional competence and due care, confidentiality and professional behaviour. We applied Auditing Standard ASQC 1 *Quality Control for Firms that Perform Audits and Reviews of Financial Reports and Other Financial Information, and Other Assurance Engagements* in undertaking this assurance engagement.

Our responsibilities

Our responsibility is to express an opinion on Robe River's compliance, in all material respects, with the licence obligations as evaluated against its Licence Conditions for the period 1 May 2021 to 30 April 2025. ASAE 3100 requires that we plan and perform our procedures to obtain reasonable assurance about whether Robe River has complied, in all material respects, with the licence obligations as evaluated against its Licence Conditions for the period from 1 May 2021 to 30 April 2025.

A reasonable assurance engagement in accordance with ASAE 3100, to report on Robe River's compliance with the licence obligations as evaluated against its Licence Conditions involves performing procedures to obtain evidence about the compliance activity and controls implemented to meet the conditions within the Licence. The procedures selected depend on our judgement, including the identification and assessment of risks of material non-compliance with the licence obligations as evaluated against its Licence Conditions.

Our procedures included:

- Utilising the Audit Guidelines and the versions of the Water Compliance Reporting Manuals relevant to the audit period as a guide for development of a risk assessment and document review to assess controls
- Development of an Audit Plan for approval by the ERA and an associated work program, set out in Appendix A
- Interviews with and representations from relevant Robe River representatives to gain an understanding of process controls
- Review of documents and walkthrough of processes and controls to support the assessment of compliance and the effectiveness of the control environment in accordance with Licence obligations
- Sample testing where relevant for obligations rated as an audit priority 3 and above in the approved Audit Plan.

Inherent Limitations

Because of the inherent limitations of an assurance engagement, together with the internal control structure, it is possible that fraud, error or non-compliance with compliance requirements may occur and not be detected.

A reasonable assurance engagement relating to the period from 1 May 2021 to 30 April 2025 does not provide assurance on whether compliance with the Licence will continue in the future.

Restricted use

This report has been prepared for use by the intended users as specified in Section 25 of the Water Services Act 2012 for the purpose of expressing an opinion on Robe River's compliance, in all material respects, with the licence obligations as evaluated against its Licence Conditions for the period 1 May 2021 to 30 April 2025. We disclaim any assumption of responsibility for any reliance on this report to any person other than the intended users as specified in Section 25 of the Water Services Act 2012, or for any other purpose other than that for which it was prepared.

Assurance Advisory Group

Stephen Linden

Director

28 October 2025

2. Executive Summary

2.1 Introduction and Background

The Economic Regulation Authority (the **ERA**) has under the provisions of the Water Services Act 2012 (the **Act**), issued to Robe River Mining Co. Pty Ltd (**Robe River**) a Water Services Licence (WL45) (the **Licence**). Robe River is a member of Rio Tinto Iron Ore, a product group of Rio Tinto Limited (**Rio Tinto**). The Utilities Division (**Utilities**), a division within Rio Tinto Iron Ore, manages the WL45 licence on behalf of Robe River.

The Licence relates to Robe River providing a potable water supply and sewerage services in the town of **Pannawonica** in the Pilbara region of Western Australia. The town has approximately 400 residential and commercial properties which were built in 1970 to provide accommodation for mining staff, their families and the small number of non-mining support personnel.

Section 25 of the Act requires Robe River to provide to the ERA an operational audit (the audit) conducted by an independent expert acceptable to the ERA within 24 months after the commencement date, and every 24 months thereafter, unless otherwise approved by the ERA. With the ERA's approval, Assurance Advisory Group (**AAG**) has been appointed to conduct the audit for the period 1 May 2021 to 30 April 2025 (**audit period**).

The audit has been conducted in accordance with the ERA's March 2019 issue of the *Audit and Review Guidelines: Water Services* (**Audit Guidelines**), to assess Robe River's compliance with the conditions of its licence.

2.2 Observations

In considering Robe River's internal control procedures, structure and environment, its compliance culture and its information systems specifically relevant to those licence obligations subject to audit, we observed that:

- All of Robe River's processes and arrangements for managing its Water Services Licence obligations are based on parent company Rio Tinto's policies and procedures and are managed by Rio Tinto Iron Ore's Pilbara Utilities division
- Due to the nature of its water services licence, Robe River has limited obligations in relation to the relevant requirements of the Water Services Code of Conduct (Customer Service Standards)
- Over the four-year audit period, Robe River demonstrated a working understanding and a high level of compliance with its licence obligations, except for the one non-compliance noted.

2.3 Findings

The following tables summarise the assessments made during the audit on Robe River's compliance and the adequacy of controls in place for Robe River to manage its compliance with the relevant obligations or conditions of the Licence.

Table 1 sets out the rating scale defined by the ERA in the Audit Guidelines for the assessment of the level of compliance with the conditions of the Licence. For the highest possible compliance rating to be achieved, Robe River was required to demonstrate it has maintained mature processes and controls, which facilitate compliance with relevant obligations.

Table 1: Control adequacy and compliance rating scale

Controls Rating		Compliance Rating	
Rating	Description	Rating	Description
A	Adequate controls – no improvement needed	1	Compliant
B	Generally adequate controls – improvement needed	2	Non-compliant – minor impact on customers or third parties
C	Inadequate controls – significant improvement required	3	Non-compliant – moderate impact on customers or third parties
D	No controls evident	4	Non-compliant – major impact on customers or third parties
N/P	Not performed – A controls rating was not required	N/R	Not rated – No activity took place during the audit period

Table 5 at section 4 of this report provides further detail on the controls and compliance rating scales. The above rating scale is defined by the Audit Guidelines.

Table 2: Summary of findings, by **compliance and controls ratings**

		Compliance rating					
		1	2	3	4	N/R	Total
Controls rating	A	2					2
	B	1				1	2
	C		1				1
	D						
	N/P	41				168	209
	Total	44	1			169	214

Table 3: Summary of findings, by **audit priority and controls rating**

Audit Priority	Controls rating					Total
	A	B	C	D	N/P	
Priority 1						
Priority 2	2					2
Priority 3						
Priority 4		2	1		209	212
Priority 5						
Total	2	2	1		209	214

Table 4: Summary of findings, by audit priority and compliance rating

Audit Priority	Compliance rating					Total
	1	2	3	4	N/R	
Priority 1						
Priority 2	2					2
Priority 3						
Priority 4	42	1			169	212
Priority 5						
Total	44	1			169	214

Note that, in accordance with the Audit Guidelines:

- Obligations assessed as being “not applicable” to Robe River’s operations have not been included within this report
- A control rating is only provided for those obligations with a Priority 1, 2 or 3 rating, where an obligation is assessed as non-compliant, or where a control improvement opportunity is identified.

Specific assessments for each Licence obligation are summarised at Table 5 in the “Summary of findings” section of this report.

Detailed findings, including relevant observations, recommendations and action plans are located in section 5 “Detailed findings, recommendations and action plans”.

2.4 Robe River’s response to previous audit recommendations

There were no recommendations from the 2021 Operational Audit.

2.5 Current audit non-compliances, recommendations and action plans

A. Resolved during current audit period

B. Unresolved at end of current audit period

Reference (no./year)	Non-compliance / Controls improvement (Rating / Licence obligation reference number and licence obligation / Details of noncompliance or inadequacy of controls)	Auditor’s recommendation	Action taken
1/2025	Obligation 155 – Licence condition 4.2.1 C/2 Robe River paid its 2024 Q2 standing charges 21 days late. Regulatory staff were not aware of the late payment.	Robe River further strengthen its compliance monitoring processes to ensure all ERA licence fees and standing charges are paid in the prescribed timeframe and to ensure any non-compliances are promptly detected and captured in a compliance register.	In September 2025, Robe River confirmed that Rio Tinto’s Accounts Payable processes and system had been updated to set the Economic Regulation Authority vendor details to immediate payment terms for all invoices.

3. Scope of works

3.1 Scope and objectives

We have conducted a reasonable assurance audit in order to state whether, in our opinion, based on our procedures, Robe River has complied, in all material respects, with the conditions of its Licence as outlined in the approved Audit Plan (dated May 2025) during the period 1 May 2021 to 30 April 2025.

Our engagement was conducted in accordance with Australian Standard on Assurance Engagements ASAE 3100 Compliance Engagements, issued by the Australian Auditing and Assurance Standards Board and provides reasonable assurance as defined in ASAE 3100. The procedures we performed are described in more detail in section 3.2 below.

A reasonable assurance engagement in accordance with ASAE 3100 involves performing procedures to obtain evidence about the compliance with the conditions of the Licence. The nature, timing and extent of procedures selected depend on the assurance practitioner's professional judgement, including the assessment of the risks of material misstatement in compliance with the conditions of the Licence. In making those risk assessments, we considered internal controls in relation to compliance with the conditions of the Licence.

ASAE 3100 also requires us to comply with the relevant ethical requirements of the Australian professional accounting bodies.

The ERA has summarised the requirements of the applicable legislation that it expects to be reported upon and included in the scope of this audit in its Water Compliance Reporting Manual.

The Audit Plan approved by the ERA for this audit sets out Robe River's Licence obligations confirmed to be included in the scope of the audit, along with the risk assessments and audit priority assigned to each licence obligation.

3.2 Approach and work schedule

Our approach for this audit involved the following activities, which were undertaken during period May to August 2025:

- Utilising the Guidelines and Reporting Manuals as a guide, developed a risk assessment, which involved discussions with key staff and document review to assess controls
- Consideration of the compliance results reported in the 2021, 2022, 2023 and 2024 Annual compliance reports submitted by Robe River to the ERA
- Developed an Audit Plan (see Appendix A) for approval by the ERA, and an associated work program
- Obtained information and explanations from relevant Robe River representatives to gain an understanding of process controls (see Appendix B for staff involved)
- Reviewed relevant documentation and walked through processes and controls to assess overall compliance and effectiveness in accordance with Licence obligations (see Appendix B for reference listing)
- Tested relevant obligations and where there was relevant activity, determined whether transactions complied with the requirements of the obligation
- Obtained representations from Robe River staff regarding:

- The existence or relevance of activity subject to compliance obligations throughout the audit period
- Compliance with obligations where 100% testing was not performed
- Validated findings with Robe River staff.

The majority of audit fieldwork was performed remotely (via email exchange and Microsoft Teams calls), with a minor contribution provided through a site visit to Robe River's operations in the Pilbara Region of WA.

4. Summary of Ratings

Table 1 in section 2 above sets out the rating scale defined by the ERA in the Audit Guidelines for the assessment of the level of compliance with the conditions of the Licence. For the highest possible compliance rating to be achieved, Robe River was required to demonstrate it has maintained effective processes and controls, which facilitate compliance with relevant obligations.

The remainder of this report provides:

- A summary of the findings for the compliance obligations (at Table 5 below)
- Detailed findings, including relevant observations and recommendations (at Section 5).

Table 5: Compliance Ratings

Refer to Detailed Findings at Section 5 and Audit Plan at Appendix A for descriptions of the obligations. Note that detailed findings are not presented for those obligations assessed to be not applicable to Robe River's operations for the period subject to audit - refer to the Audit Plan at Appendix A for further explanation.

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
9 Water Services Act 2012												
2	Section 21(1)(b)	Priority 4					N/P					N/R
3	Section 21(1)(c)	Priority 4					N/P	1				
4	Section 22	Priority 4					N/P					N/R
5	Section 23	Priority 4					N/P	1				
6	Section 24(1)(a) Section 24 (2) to July 2024	Priority 4					N/P	1				
7	Section 31(3) to October 2021	Priority 4					N/P					N/R
8	Section 24(1)(c)	Priority 4					N/P	1				
8A	Section 24(2) from July 2024	Priority 4					N/P	1				
9	Section 25	Priority 4					N/P	1				
10	Section 26(3)	Priority 4		B				1				
13	Section 36	Priority 4					N/P					N/R
14	Section 60	Priority 4					N/P					N/R
15	Section 70(2)	Priority 4					N/P	1				
16	Section 77(3)	Priority 4					N/P					N/R
17	Sections 82(4) and (5)	Priority 4					N/P					N/R
18	Section 84(2)	Priority 4					N/P					N/R
19	Section 87(2)	Priority 4					N/P					N/R
20	Section 90(7)	Priority 4					N/P					N/R
21	Section 95(3)	Priority 2	A					1				
22	Section 96(1)	Priority 4					N/P					N/R
23	Section 96(5)	Priority 4					N/P					N/R

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
24	Section 98(3)	Priority 4					N/P					N/R
25	Section 106(2)	Priority 4					N/P					N/R
28	Section 119(2)	Priority 4					N/P					N/R
29	Section 122(2)	Priority 4					N/P					N/R
30	Section 125(2)	Priority 4					N/P					N/R
31	Section 128(4)	Priority 4					N/P					N/R
32	Section 129(5)	Priority 4					N/P					N/R
33	Section 139(3)	Priority 4					N/P					N/R
34	Section 141(1)	Priority 4					N/P					N/R
35	Section 142	Priority 4					N/P					N/R
36	Section 143(2)	Priority 4					N/P					N/R
37	Section 143(3)	Priority 4					N/P					N/R
38	Section 144(3)	Priority 4					N/P					N/R
39	Section 145(2)	Priority 4					N/P					N/R
40	Section 147(3)	Priority 4					N/P					N/R
41	Section 147(4)	Priority 4					N/P					N/R
42	Section 151(1)	Priority 4					N/P					N/R
43	Section 151(2)	Priority 4					N/P					N/R
44	Section 152(3)	Priority 4					N/P					N/R
45	Section 153(3)	Priority 4					N/P					N/R
45A	Section 161(1) from July 2024	Priority 4					N/P					N/R
46	Section 166(5)	Priority 4					N/P					N/R
47	Section 166(6)	Priority 4					N/P					N/R
48	Section 170	Priority 4					N/P					N/R
49	Section 173(4)	Priority 4					N/P					N/R
50	Section 174(1)	Priority 4					N/P					N/R
51	Section 174(3)	Priority 4					N/P					N/R
52	Section 175(2)	Priority 4					N/P					N/R
53	Section 175(5)	Priority 4					N/P					N/R
54	Section 176(1)	Priority 4					N/P					N/R
55	Section 176(3)	Priority 4					N/P					N/R
56	Section 176(4)	Priority 4					N/P					N/R
57	Section 181	Priority 4					N/P					N/R
58	Section 186	Priority 4					N/P					N/R
59	Section 187(1)-(3)	Priority 4					N/P					N/R
60	Section 190(4)	Priority 4					N/P					N/R
61	Section 190(5)	Priority 4					N/P					N/R
62	Section 210(5)	Priority 4					N/P	1				

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
63	Section 218(2)	Priority 4					N/P					N/R
64	Section 218(3)	Priority 4					N/P					N/R
10 Water Service Regulations												
65	Regulation 23(2)	Priority 4					N/P					N/R
66	Regulation 24(4)	Priority 4					N/P					N/R
67	Regulation 26(3)	Priority 4					N/P					N/R
68	Regulation 26(5)	Priority 4					N/P					N/R
69	Regulation 29(1)	Priority 4					N/P					N/R
70	Regulation 42(2)	Priority 4					N/P					N/R
71	Regulation 43(3)	Priority 4					N/P					N/R
72	Regulation 43(6)	Priority 4					N/P					N/R
74	Regulation 60(2)	Priority 4					N/P					N/R
75	Regulation 63	Priority 4					N/P					N/R
88A	Regulation 80(H)	Priority 4					N/P					N/R
89	Regulation 85	Priority 4					N/P					N/R
11 Water Services Code of Conduct (Customer Service Standards) 2018 & 224												
92	Clause 8(1)-(3)	Priority 4					N/P	1				
93	Clause 9(2)and(4)	Priority 4					N/P					N/R
94	Clause 10(2)	Priority 4					N/P					N/R
95	Clause 11(2)	Priority 4					N/P					N/R
96	Clause 11(3)	Priority 4					N/P					N/R
97	Clause 11(4)	Priority 4					N/P					N/R
98	Clause 11(5)	Priority 4					N/P					N/R
98A	Clause 11(6)	Priority 4					N/P					N/R
99	Clause 12(3)	Priority 4					N/P					N/R
99A	Clause 12(1) from July 2024	Priority 4					N/P					N/R
99B	Clause 12(2) from July 2024	Priority 4					N/P					N/R
99C	Clause 12(4) from July 2024	Priority 4					N/P					N/R
99D	Clause 12(5) from July 2024	Priority 4					N/P					N/R
100	Clause 13(2)	Priority 4					N/P					N/R
100A	Clause 13(7)	Priority 4					N/P					N/R
101	Clause 13(3)	Priority 4					N/P					N/R
101A	Clause 13(4)	Priority 4					N/P					N/R
102A	Clause 13(5)	Priority 4					N/P					N/R
103	Clause 14(1)	Priority 4					N/P					N/R
104	Clause 14(2)	Priority 4					N/P					N/R
104A	Clause 15(3)	Priority 4					N/P					N/R

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
105	Clause 16(1)	Priority 4					N/P					N/R
106	Clause 17(2) and (3)	Priority 4					N/P					N/R
107	Clause 18(2)	Priority 4					N/P					N/R
108	Clause 18(3)	Priority 4					N/P					N/R
109	Clause 18(4)	Priority 4					N/P					N/R
110	Clause 18(5)	Priority 4					N/P					N/R
111A	Clause 19(2)	Priority 4					N/P					N/R
112A	Clause 19(3)	Priority 4					N/P					N/R
112B	Clause 19(4)	Priority 4					N/P					N/R
112C	Clause 19(5)	Priority 4					N/P					N/R
113	Clause 21(1)	Priority 4					N/P					N/R
113A	Clause 21(2) from July 2024	Priority 4					N/P					N/R
113B	Clause 21(3) from July 2024	Priority 4					N/P					N/R
114	Clause 22(1)	Priority 4					N/P					N/R
115	Clauses 22(2) & (4)	Priority 4					N/P					N/R
116	Clause 22(3)	Priority 4					N/P					N/R
117	Clause 20(5) (2018) to July 2024	Priority 4					N/P					N/R
117A	Clause 20(1)	Priority 4					N/P					N/R
118	Clause 24	Priority 4					N/P					N/R
119	Clause 25(1)	Priority 4					N/P					N/R
120	Clause 25(2)	Priority 4					N/P					N/R
121	Clause 26	Priority 4					N/P					N/R
122	Clause 27(1)	Priority 4					N/P					N/R
123	Clause 28	Priority 4					N/P					N/R
123A	Clause 29(1)-(2) from July 2024	Priority 4					N/P					N/R
124A	Clause 29(2) (2018) to July 2024	Priority 4					N/P					N/R
124B	Clause 30(1)	Priority 4					N/P					N/R
124C	Clause 28(4) (2018) to July 2024	Priority 4					N/P					N/R
124D	Clause 30(4) from July 2024	Priority 4					N/P					N/R
124E	Clause 30(6) from July 2024	Priority 4					N/P					N/R
124F	Clause 30(7) from July 2024	Priority 4					N/P					N/R
124G	Clause 31(1) from July 2024	Priority 4					N/P					N/R
124H	Clause 31(2) from July 2024	Priority 4					N/P					N/R

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
124I	Clause 31(3) from July 2024	Priority 4					N/P					N/R
124J	Clause 31(4) and (5) from July 2024	Priority 4					N/P					N/R
125	Clauses 32(1) and (2)	Priority 4					N/P					N/R
126A	Clause 32(3)	Priority 4					N/P					N/R
126B	Clause 32(4)	Priority 4					N/P					N/R
127	Clause 32(5)	Priority 4					N/P					N/R
128	Clause 32(6)	Priority 4					N/P					N/R
129A	Clause 29(7) (2018) to July 2024	Priority 4					N/P					N/R
129B	Clause 32(7)	Priority 4					N/P					N/R
129C	Clause 32(8)	Priority 4					N/P					N/R
130A	Clause 33(2)	Priority 4					N/P					N/R
130B	Clause 33(3)	Priority 4					N/P					N/R
131A	Clause 33(4)(a)	Priority 4					N/P					N/R
131B	Clause 33(4)(b)	Priority 4					N/P					N/R
131C	Clause 33(4)(c)	Priority 4					N/P					N/R
133	Clause 34(4) and (5)	Priority 4					N/P					N/R
133A	Clause 35	Priority 4					N/P					N/R
134	Clause 36(1)(a)-(c)	Priority 4					N/P					N/R
134A	Clause 36(1)(d)-(e)	Priority 4					N/P					N/R
135	Clause 43(1)	Priority 4					N/P					N/R
136	Clause 43(2)	Priority 4					N/P					N/R
137A	Clause 39(1)	Priority 4					N/P					N/R
137B	Clause 39(2)	Priority 4					N/P					N/R
137C	Clause 39(3)	Priority 4					N/P					N/R
138	Clause 40(1)(a) and -(c) -(h). 40(1)(b) to July 2024	Priority 4					N/P					N/R
138B	Clause 41	Priority 4					N/P					N/R
139	Clause 42	Priority 4					N/P					N/R
142	Clause 44(5)	Priority 4					N/P					N/R
144	Clause 44(6)	Priority 4					N/P					N/R
144A	Clause 46(1)	Priority 4					N/P	1				
144B	Clause 46(2)	Priority 4					N/P	1				
144C	Clause 47(1)	Priority 4					N/P	1				
144D	Clause 47(2)	Priority 4					N/P	1				
144E	Clause 48	Priority 4					N/P	1				
145	Clause 49(1)	Priority 4					N/P	1				
146	Clause 49(2)	Priority 4					N/P	1				
147	Clause 49(3)	Priority 4					N/P	1				

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
148A	Clause 49(4)	Priority 4					N/P	1				
149	Clause 49(5)	Priority 4					N/P	1				
149A	Clause 50	Priority 4					N/P					N/R
150	Clause 51(1)	Priority 4					N/P					N/R
152	Clause 51(2) and (3)	Priority 4					N/P					N/R
153	Clause 52(1)	Priority 4					N/P	1				
154	Clause 52(2)	Priority 4					N/P	1				
154AA	Clause 52(3) From July 2024	Priority 4					N/P	1				
154A	Clause 52(4)	Priority 4					N/P	1				
154B	Clause 54(2)	Priority 4					N/P	1				
154CC	Clause 54(3) From July 2024	Priority 4					N/P					N/R
154C	Clause 55	Priority 2	A					1				
154D	Clause 56	Priority 4					N/P					N/R
12 Licence Conditions												
155	Clause 4.2.1	Priority 4			C				2			
159	Clause 4.1.2	Priority 4					N/P					N/R
160	Clause 4.6.1	Priority 4					N/P	1				
161	Clause 5.2.1	Priority 4					N/P	1				
162	Clause 5.3.4	Priority 4					N/P	1				
163	Clauses 4.7.1(a), (b), (c)	Priority 4					N/P					N/R
165	Clause 4.8.1	Priority 4					N/P	1				
167	Clause 4.8.2	Priority 4					N/P	1				
168	Clauses 3.8.1 and 3.8.2	Priority 4					N/P					N/R
169	Clauses 3.8.1	Priority 4					N/P	1				
170A	Clauses 5.1.2(a), (b)	Priority 4					N/P					N/R
171	Clauses 5.1.3	Priority 4					N/P					N/R
172	Clauses 5.1.7	Priority 4					N/P	1				
172A	Clauses 6.1.1	Priority 4					N/P					N/R
172B	Clauses 6.1.2	Priority 4					N/P					N/R
181	Clauses 6.3.1	Priority 4					N/P					N/R
182	Clauses 4.4.1(b)	Priority 4					N/P					N/R
184	Clauses 7.1.1	Priority 4					N/P	1				
184A	Clauses 7.1.2	Priority 4					N/P					N/R
184B	Clauses 7.1.3	Priority 4					N/P					N/R
185	Clauses 7.1.4	Priority 4					N/P	1				
186	Clauses 7.1.5	Priority 4					N/P	1				
187	Clauses 7.1.6	Priority 4					N/P					N/R
188	Clauses 7.1.7	Priority 4					N/P					N/R

No	Obligation reference	Audit Priority	Controls rating					Compliance rating				
			A	B	C	D	N/P	1	2	3	4	N/R
189	Clauses 7.1.8	Priority 4					N/P	1				
190	Schedule 2 to July 2024	Priority 4					N/P	1				
190A	Schedule 2 Clause 1.1 from July 2024	Priority 4					N/P	1				
190B	Schedule 2 Clause 1.2 from July 2024	Priority 4					N/P					N/R
190C	Schedule 2 Clause 1.3 from July 2024	Priority 4					N/P					N/R
13 Water Services Code of Practice (Family Violence) 2020												
191	Clause 5(1)	Priority 4					N/P	1				
192	Clause 5(2)	Priority 4					N/P					N/R
193	Clause 6	Priority 4					N/P	1				
194	Clause 7	Priority 4					N/P					N/R
195	Clause 8(1)	Priority 4					N/P					N/R
196	Clause 8(2)	Priority 4					N/P	1				
197	Clause 9	Priority 4		B								N/R
198	Clause 10	Priority 4					N/P	1				

5. Detailed findings, recommendations and action plans

This section has been structured in subsections for the relevant Codes and Regulations against which we assessed Robe River's compliance. The sections are:

- 4.1 Water Services Act
- 4.2 Water Services Regulations
- 4.3 Water Services Code of Conduct (Customer Service Standards)
- 4.4 Other licence conditions
- 4.5 Water Services Code of Practice (Family Violence)

Each section contains:

- **Assessment of compliance and control adequacy** – the conclusions from our audit procedures and our assessment of Robe River's compliance with the applicable obligations
- **Findings** – the auditor's understanding of the process and any issues that have been identified during the audit
- **Recommendations (if any)** – for improvement or enhancement of the process or control (note that no recommendations are made for this audit).

The compliance and control adequacy ratings have been summarised below for each sub-section.

Controls adequacy rating						Compliance rating					
A	B	C	D	NP	Total	1	2	3	4	NR	Total
4.1 Water Services Act											
1	1			59	61	10				51	61
4.2 Water Services Regulations											
				12	12					12	12
4.3 Water Services Code of Conduct (Customer Service Standards)											
1				103	104	17				87	104
4.4 Other Licence Conditions											
		1		28	29	13	1			15	29
4.5 Water Services Code of Practice (Family Violence) 2020											
	1			7	8	4				4	8
2	2	1		209	214	44	1			169	214

5.1 Water Services Act

No	Obligation under Condition	Findings	
2	The licensee must if requested, offer to provide the water service authorised by the licence to any other person (not covered by section 21(1)(a) of the Act) within the operating area of the licence on reasonable terms, unless provision of the service is not financially viable or is otherwise not practicable. <i>Section 21(1)(b)</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no requests for water services by any other persons (not covered by section 21(1)(a) of the Act) within the operating area of the licence during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: N/R
3	The licensee must provide, operate and maintain the water service works specified by the ERA in the licence for the purposes of section 11(3). <i>Section 21(1)(c)</i>	We confirmed the operation and maintenance of the required water services works specified in the licence and noted the <i>Rio Tinto Iron Ore, Utilities Division Asset Management Improvement Plan – Water and wastewater services (2025)</i> documents how Robe River has designed its operations to meet this core obligation.	
	Priority 4	Controls rating: N/P	Compliance rating: 1
4	The licensee must notify the ERA as soon as practicable before commencing to provide the water service outside of the operating area of the licence. <i>Section 22</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no operations outside the operating area during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: N/R
5	All water service works used by the licensee in the provision of a water service must be held by the licensee, or must be covered by a works holding arrangement. <i>Section 23</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed all water services works were held by or under contract for operation by Robe River or related corporate entities within the Rio Tinto Group during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: 1
6	The licensee must provide for an asset management system in respect of the licensee's water service works. <i>Section 24(1)(a)</i> <i>Section 24 (2) to July 2024</i>	Through consideration of Robe River's asset management improvement plan 2025 and previous updates, we determined that Robe River had provided for an asset management system for the period 1 May 2021 to July 2024.	
	Priority 4	Controls rating: N/P	Compliance rating: 1
7	The licensee must give details of the asset management system and any changes to it to the ERA (the licence prescribes timeframes for providing this information to the ERA – see obligations 170A and 171). <i>Section 31(3) to October 2021</i>	Through consideration of Robe River's asset management improvement plan 2025 document control section, we noted that there had been no changes made for the period 1 May 2021 to October 2021. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: N/R

No	Obligation under Condition			Findings
8	A licensee must provide the ERA with a report by an independent expert as to the effectiveness of its asset management system every 24 months, or such longer period as determined by the ERA. <i>Section 24(1)(c)</i>			The previous asset management system review for Robe River was performed by Quantum Assurance in June 2021, in accordance with the ERA's requirements. Assurance Advisory Group (AAG) was appointed by the ERA on 27 March 2025 to undertake the 2025 Asset Management System Review for the period 1 May 2021 to 30 April 2025.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
8A	The licensee's asset management system must include the measures to be taken by the licensee for the proper maintenance of the water service works and the provision and operation of the water service works, and other water service works necessary for the provision of the water service. <i>Section 24(2) from July 2024</i>			Through consideration of Robe Rivers Asset Management Improvement Plan we observed that the Robe River's maintenance policy statement includes ' <i>effective upkeep of asset to ensure reliability</i> '. We also observed that the plan refers to operational and maintenance policies and procedures which are documented in Site Reliability Plans and within the SAP system, and are linked to service levels such as drinking water quality, maintenance of pressure and flow, water and sewer system performance.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
9	A licensee must, not less than once every 24 months, or such longer period as determined by the ERA, provide the ERA with an operational audit conducted by an independent expert appointed by the ERA. <i>Section 25</i>			The previous operational audit for Robe River's WL45 was conducted by Quantum Assurance in June 2021, in accordance with the ERA's requirements. Assurance Advisory Group (AAG) was appointed by the ERA on 27 March 2025 to undertake the 2025 Operational Audit for the period 1 May 2021 to 30 April 2025.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
10	The licensee must comply with each code of practice made by the Minister to the extent to which it applies to the licensee. <i>Section 26(3)</i>			The Water Services Code of Practice (Family Violence) 2020 applied to Robe River's water services during the audit period and obligations are listed and assessed in this report at obligation 191 to 198. The assessments applied to this obligation reflect the assessments made for Obligations 191 to 198.
	Priority 4	Controls rating: B	Compliance rating: 1	
13	If the licensee ceases to provide a water service in an area, the licensee must ensure that the water service works are left in a safe condition and must not remove any part of the works except with the approval of the Minister. <i>Section 36</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed there were no known cessations of water services in the operating area during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
14	If the licensee is the supplier of last resort for a designated area in relation to the provision of a particular water service, the licensee must perform the functions of the supplier of last resort and must comply with the relevant duties and carry out the relevant operations specified. <i>Section 60</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed Robe River was not appointed as a supplier of last resort during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition	Findings	
15	The licensee must not supply water services to customers unless the licensee: - is a member of the water services ombudsman scheme; and - is bound by the scheme; and - will comply with any decision or direction of the water services ombudsman under the scheme. <i>Section 70(2)</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed Robe River has been a member of the water services ombudsman scheme since 2015 and has complied with all known scheme requirements during the audit period. We noted that Robe River is listed as a member on the Energy and Water Ombudsman's website.	
	Priority 4 Controls rating: N/P Compliance rating: 1		
16	The licensee must take reasonable steps to minimise the extent or duration of any interruption of water services it is responsible for. <i>Section 77(3)</i>	Interruption of water supply is addressed in the <i>Standard connections for water, sewerage and electricity supply</i> document and addresses planned and unplanned interruption and commits to prompt repairs and taking all reasonable actions to rectify supply issues. During the Asset Management System Review process we noted there were no interruptions to water services during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4 Controls rating: N/P Compliance rating: N/R		
17	If a person must give the licensee notice of any building work to be carried out on land in the operating area of a license, the licensee must return a copy of the plans and specifications contained in the notice with any written directions about the proposed building work that the licensee considers necessary to ensure the safety and efficacy of the provision of water services provided, or to be provided. The licensee must do this within 7 days of receiving the fee for dealing with the notification. Sections 82(4) and (5)	We reviewed Robe River's <i>Development and planning process</i> document and <i>Development and planning policy</i> and <i>Keeping your distance – a guide for undertaking works near our water and electrical infrastructure</i> document and noted these documents outline any processes and approvals required before commencing building works. The Senior Advisor Regulatory Compliance, Utilities confirmed all building work in the area is managed by Rio Tinto and the one new connection for Pannawonica town during the audit period was a Rio Tinto managed project. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4 Controls rating: N/P Compliance rating: N/R		
18	If the licensee has given a notice under section 83(3)(a) of the Act, and the licensee is satisfied that the person given the notice is not going to comply with the notice within a reasonable time, the licensee must give the person 21 days' notice of its intention to commence the works. <i>Section 84(2)</i>	<i>Obligations 18-20</i> The Senior Advisor Regulatory Compliance, Utilities confirmed all building work in the area is managed by Rio Tinto and there were no notices given for any additional water services works during the audit period. Therefore, these obligations were not relevant to Robe River's activities during the audit period.	
	Priority 4 Controls rating: N/P Compliance rating: N/R		
19	If a person makes an application with the State Administrative Tribunal for a review of a decision in respect of the licensee providing additional water services when a person has not responded to the licensee's notice, the licensee cannot provide the works until the application has been finally dealt with, except in limited circumstances. <i>Section 87(2)</i>		
	Priority 4 Controls rating: N/P Compliance rating: N/R		

No	Obligation under Condition			Findings
20	If the licensee gives a compliance notice to a person who is undertaking construction or carrying out similar works in the vicinity of water service works, the licensee must, to the extent practicable, consult with the owner of the land on which the obstruction is located or the activity is taking place if the person to be given the notice is not the owner of the land. <i>Section 90(7)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
21	The licensee cannot cut off the supply of water to an occupied dwelling unless the occupier agrees to that. <i>Section 95(3)</i>			We reviewed Robe River's <i>Water Service Interruptions Guideline</i> and observed that it is Rio Tinto policy that the supply of water services to a customer is to be maintained, except for when maintenance is necessary or due to unforeseen circumstances. The <i>Standard connections for water, sewerage and electricity supply</i> also states that Rio Tinto will not cut off the supply of water to an occupied dwelling unless the occupier has agreed to this. The Senior Advisor Regulatory Compliance, Utilities confirmed that: - It is Robe River's practice to not disconnect supply unless it receives a written request by the owner/tenant or due to a health or safety threat - Robe River did not cut off the supply of water to any occupied dwelling during the audit period. In our review of Robe River's work performed on occupied dwellings during the audit period, we did not sight any evidence of the supply of water being cut off.
	Priority 2	Controls rating: A	Compliance rating: 1	
22	If the licensee provides water supply reticulation works, or enters into an agreement for the provision of water supply reticulation works, the licensee must install fire hydrants attached to those works in accordance with the requirements of FESA, or the relevant local government as to the location and type of hydrant. <i>Section 96(1)</i>			<i>Obligations 22 and 23</i> We observed that Pannawonica is not listed as a fire district in the Fire Brigades Act 1942 and is therefore not subject to FESA requirements or requests. The Senior Advisor Regulatory Compliance, Utilities confirmed that: - Rio Tinto has installed and maintains fire hydrants which are listed in SAP and - There have been no requests by the Local Government Authority regarding fire hydrants during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
23	The licensee must comply with requests made by FESA or a local government under sections 96(3) and 96(4) of the Act to the extent practicable and within a reasonable time. <i>Section 96(5)</i>			Therefore, these obligations were not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
24	If required to by the Minister, the licensee must connect a wastewater inlet on land to the sewerage works of the licensee. <i>Section 98(3)</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that no written notice requiring connection to the town's sewerage works has been received by the Minister during the audit period. Therefore, this obligation was not relevant Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
25	The licensee must include the information specified in a compliance notice given in relation to failure to maintain fittings, fixtures and pipes. <i>Section 106(2)</i>			<i>Obligations 25-29</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no compliance notices issued during the audit period. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
28	The licensee must include the information specified in a compliance notice given in relation to the matters set out in section 119(1). <i>Section 119(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
29	If a person makes an application to the State Administrative Tribunal under section 122(1), the licensee cannot take, or continue to take, action against the person except in the circumstances specified. <i>Section 122(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
30	If the licensee provides a water supply, sewerage or drainage service to 2 or more dwellings on land by a single property connection, the licensee may apportion fees. The licensee cannot apportion fees to the extent inconsistent with any agreement related to such a provision of services, or section 66 of the Strata Titles Act 1985. <i>Section 125(2)</i>			<i>Obligations 30 and 31</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that customers in the operating area are not charged for water or sewerage services. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
31	If the licensee has previously lodged a memorial with the Registrar, the licensee must lodge a withdrawal of memorial with Registrar along with the prescribed specified fee (if any) if the charge or contribution has been paid. <i>Section 128(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
32	If a routine inspection or maintenance is likely to cause disruption to the occupants of a place at least 48 hours’ notice of a proposed entry must be given to the occupier of the place unless the occupier agrees otherwise. <i>Section 129(5)</i>			We observed that the <i>Power of Entry for Maintenance Purposes</i> and the <i>Standard Work Procedure – Working at premises and in roads</i> documents refer to the relevant legislation s129 of the Water Services Act that 48 hours’ notice is required for routine inspection or maintenance likely to cause disruption. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no instances during the audit period where routine inspection or maintenance was likely to cause disruption to the occupants of a place. Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
33	If the licensee removes or erects a fence or gate when exercising a works power conferred by the Act, the licensee must take all reasonable steps to notify the owner before doing so. <i>Section 139(3)</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that Robe River remained the owner of all properties in the township. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
34	A person authorised by the licensee may enter a road and exercise a works power of the licensee without consent, notice or warrant unless the exercise of the power involves opening or breaking up the surface of the road, or would cause a major obstruction of the road or disruption of the traffic, in which case the licensee must give at least 48 hours' notice to the public authority that has control or management of the road. <i>Section 141(1)</i>			We reviewed the procedure <i>SWP Water Service Act 2012 requirements Working at premises and in roads</i> and observed reference to the requirements of the legislation. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no such works carried out by Robe River during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
35	The licensee must comply with sections 143 and 144 of the Act in relation to the proposed major works, and has given any notice required by section 148. <i>Section 142</i>			<i>Obligations 35-41</i> We reviewed the procedure <i>SWP Water Services Act 2012 requirements - Major and general works</i> and observed references to the legislation requiring the licensee to obtain regulatory approvals and giving notice to the community and stakeholders. The Senior Advisor Regulatory Compliance, Utilities confirmed that no major works occurred during the audit period. Therefore, these obligations were not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
36	Before the licensee submits a proposal for the provision of major works to the Minister, the licensee must prepare, publish and make available plans and details of those major works as specified. <i>Section 143(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
37	The licensee must, within 5 days of publishing the plans and details on the licensee's website, give notice setting out the matters specified in section 143(4) to the persons and agencies specified. <i>Section 143(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
38	The licensee must have regard to an objection or submission lodged within the relevant period. <i>Section 144(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
39	If the licensee makes alterations to the plans or details referred to in section 143(2), the licensee must give written notice of the alterations to any person who is likely to be adversely affected by those alterations. <i>Section 145(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
40	The licensee must comply with a direction given by a Minister in respect of a proposal to provide water service works that are major works under section 143(3). <i>Section 147(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
41	If the Minister gives a direction that further notices in relation to the proposed major works be given under section 143(3), the licensee must resubmit the proposal. <i>Section 147(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
42	A licensee proposing to provide water service works that are general works must prepare plans and details of the proposed works and publish and make them available for inspection. <i>Section 151(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
43	The licensee must give a notice of general works setting out the matters referred to in section 151(3) to the persons and agencies specified. <i>Section 151(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
44	The licensee must give a notice of general works setting out the matters referred to in section 151(3) to the persons and agencies specified. <i>Section 152(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
45	If the licensee makes alteration to those plans or details referred to in section 151, the licensee must give written notice of the alterations to any person who is likely to be adversely affected by those alterations. <i>Section 153(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

Obligations 42-45

The Senior Advisor Regulatory Compliance, Utilities confirmed that:

- SWP Water Services Act 2012 requirements - Major and general works procedure covers the requirements to prepare plans and give notice of general works
- No water service works that were general works were undertaken during the audit period.

Therefore, these obligations were not relevant to Robe River’s activities during the audit period.

Obligations 42-45

The Senior Advisor Regulatory Compliance, Utilities confirmed that:

- *SWP Water Services Act 2012 requirements - Major and general works* procedure covers the requirements to prepare plans and give notice of general works
- No water service works that were general works were undertaken during the audit period.

Therefore, these obligations were not relevant to Robe River's activities during the audit period.

No	Obligation under Condition			Findings
45A	A licensee, when providing water service works, may: - deviate from any plan or description of, or proposal for, those works and - make any modification to the plan, description or proposal that is required by the circumstance, if the deviation or modification is agreed to in writing by the owner and occupier of the affected land. <i>Section 161(1) from July 2024</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that: <i>Core Services - SWP Water Services Act 2012 requirements - Major and general works</i> procedure covers the requirements to communicate and obtain agreement from the occupier (customer) for any change to plans for undertaking water service works - No relevant water service works were undertaken during the audit period. Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
46	On being advised by the Minister that an interest in land is appropriate to the licensee’s needs, the licensee is required to acquire the interest. <i>Section 166(5)</i>			<i>Obligations 46-48</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that General Lease N105619 Pannawonica town and the surrounding tenure for assets is all held by Robe River Joint Venture, of which Robe River is a member and the JV manager. Therefore, these obligations, were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
47	Any costs incurred in taking an interest in land are to be paid by the licensee. <i>Section 166(6)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
48	The licensee must not sell an interest in land if the purchaser would hold a parcel of land that did not comply with the minimum lot size and zoning requirements under the Planning and Development Act 2005, unless the Minister permits the licensee to do so. <i>Section 170</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
49	In relation to entry to a place for the purposes of doing works, in the circumstances specified the licensee is required to give 48 hours’ notice of proposed entry to a place to the occupier or owner, as applicable, unless the occupier or owner agrees otherwise. <i>Section 173(4)</i>			<i>Obligations 49-51</i> We observed that the obligations: - To provide at least 48 hours’ notice of entry; - For a notice to be in writing and set out the purpose of the entry including any work proposed to be carried out; and - For, when practicable, and when it will not compromise the reason for entry, to give notice of entry to the occupier even if in a particular instance the licensee may enter a place under the Act without having to give notice of proposed entry; are all stated in the <i>Working at premises and in roads</i> and <i>Compliance Officers (Water) internal guideline</i> document. The Senior Advisor Regulatory Compliance, Utilities confirmed that during the audit period:
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
50	Notice of a proposed entry by the licensee must be in writing and must set out the purpose of the entry, including (if applicable) any work proposed to be carried out. <i>Section 174(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
51	Even if in a particular instance the licensee may enter a place under the Act without having to give notice of proposed entry, the licensee must when practicable, and when it will not compromise the reason for entry, give notice of entry to the occupier. <i>Section 174(3)</i>			- No access was required by the Water Compliance Officer - No notices were required - There were no known non-compliances with the procedure and no relevant community customer complaints. Therefore, these obligations were not relevant to Robe Rivers activities during the audit period. <i>Obligations 52-57</i> We observed that the specific actions required in relation to entry to premises, including leaving a notice or copy of the warrant in a prominent position in the dwelling if it is unoccupied, leaving the premises as soon as practicable after being notified that the owner or occupier has refused or withdrawn their consent are all addressed in the <i>Working at premises and in roads</i> and the <i>Compliance Officers (Water) internal guideline</i> documents. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no instances which required entry to dwellings during the audit period. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
52	If an occupier is present when the licensee proposes to enter a dwelling, the licensee must perform the specified actions before entering the premises. <i>Section 175(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
53	If the licensee enters a dwelling that is unoccupied, the licensee must leave a notice, which includes the specified information, or a copy of the warrant (as applicable) in a prominent position in the dwelling before leaving the dwelling. <i>Section 175(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
54	If the licensee has entered a place with or without consent, the licensee must leave the premises as soon as practicable after being notified that the owner or occupier has refused or withdrawn their consent. <i>Section 176(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
55	The licensee must produce their certificate of authority if asked to do so, and must not perform, or continue to perform, a function under the Act if they are not able to do so. <i>Section 176(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
56	If the licensee enters or proposes to enter a place, and the owner or occupier requests the licensee produce evidence of authority for that entry, then the licensee must leave the place if they are unable to do so unless the owner or occupier agrees otherwise <i>Section 176(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
57	The licensee, or a person assisting the licensee, must, as far as is practicable comply with any reasonable request from the owner or occupier intended to limit interference with the lawful activities of the owner or occupier. <i>Section 181</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
58	If the licensee applies for a warrant, the application must contain the specified information. <i>Section 186</i>			<i>Obligations 58-61</i> We observed these obligations are stated in the <i>Compliance Officers (Water) internal guideline</i> document. The Senior Advisor Regulatory Compliance, Utilities confirmed there were no warrants issued. This was also confirmed upon review of the <i>Compliance Officers (Water) Notices Issued Register</i> . Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
59	If the licensee applies for a warrant to enter, the application must be made in accordance with the procedures specified depending on the location of the applicant and the justice. <i>Section 187(1)-(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
60	Unless required to give a copy of the warrant, the licensee executing the warrant must produce the warrant for inspection by the occupier of the place concerned on entry (if practicable), and if requested to do so. <i>Section 190 (4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
61	On completing the execution of a warrant the licensee must record the specified information on that warrant. <i>Section 190(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
62	If the licensee designates a person as an inspector or compliance officer, the licensee must give that person a certificate of authority that includes certain specified information. <i>Section 210(5)</i>			We observed that the last audit reported that two persons were designated as Compliance Officers (Water) and the Certificates of Designation were sighted and included the prescribed information. The Senior Advisor Regulatory Compliance, Utilities confirmed that upon retirement of the two compliance officers, one other person was designated as a Compliance Officer (Water) from 10/7/2023 and we sighted the certificate of designation which includes the specified information.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
63	In the exercise or purported exercise of a power under the Act, the licensee must ensure that, to the extent practicable, the free use of any place is not obstructed, and that as little damage, harm or inconvenience is caused as is possible. <i>Section 218(2)bb</i>			We observed this obligation is stated in the <i>Core Services – Working at premises and in roads</i> and <i>Power of Entry for Maintenance Purposes</i> documents. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no known instances of entry and no relevant community customer complaints during the audit period. Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
64	If the licensee does any physical damage in the exercise of a works power or a power of entry, the licensee must ensure that the damage is made good, and pay compensation to the extent that it is not practicable to make good the damage. <i>Section 218(3)</i>			We observed this obligation is stated in the <i>Power of Entry for Maintenance Purposes</i> document. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no claims of physical damage in relation to the exercise of a works power or a power of entry. Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

5.2 Water Services Regulations

No	Obligation under Condition			Findings
65	If the licensee provides a water supply service in respect of a multi-unit development, the licensee must, on the request of the owner or the strata company, assess whether a sub-meter is satisfactory for measuring the quantity or flow of water passing through a pipe supplying water to the unit <i>Regulation 23(2)</i>			<i>Obligations 65-68</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that Pannawonica properties are not metered, and customers are not charged. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
66	If the licensee gives a compliance notice to a person in respect of access to meters, the notice must specify the specified information. <i>Regulation 24(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
67	If the owner or occupier requests the licensee to test a meter and pays the charge (if any) for testing that type of meter, the licensee must test the meter in accordance with a procedure approved by the CEO for the purpose of this regulation. <i>Regulation 26(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
68	If a meter test finds that the meter is outside the prescribed tolerance applicable, the licensee must take the specified actions, bear the costs of testing and refund or credit any charges paid under regulation 26(3). <i>Regulation 26(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
69	The licensee must, on the written request of a developer who is required to pay the licensee an infrastructure contribution in respect of a subdivided lot, defer the payment of the contribution unless regulations 29(3) or 29(4) applies. <i>Regulation 29(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
70	The written order requiring the owner or occupier of land to install a backflow prevention device must set out the date by which the device must be installed and tested (which must be at least 7 days after the day on which the order is given to the owner or occupier). <i>Regulation 42(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
71	The compliance notice given by the licensee to the owner or occupier of land must specify that the backflow prevention device be tested or maintained in accordance with the standard and the date by which the testing or maintenance is required to be done (which must be at least 7 days after the day the notice is given to the owner or occupier). <i>Regulation 43(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
72	The compliance notice requiring the owner or occupier of land to have their backflow prevention device made good as specified in the notice must include the work that is required to be done, the manner in which the work is to be done and the date by which the work is to be done (which must be at least 7 days after the day the notice is given to the owner or occupier). <i>Regulation 43(6)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
74	If the licensee proposes to exercise a works power in a road and considers that it is necessary to alter the position of infrastructure, the licensee must notify the person who is responsible for the infrastructure and may request that the person make the alterations within the time specified in the notice. <i>Regulation 60(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
75	If the licensee opens or breaks up the surface of a road, the licensee must complete the relevant work and reinstate and make good the road, and must take all reasonable measures to prevent that part of the road from being hazardous. <i>Regulation 63</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
88A	The licensee must, within 60 days after receiving a water efficiency management plan from an owner or occupier of a non-residential lot, approve the plan, request further information, or request a revised plan by written notice. <i>Regulation 80(H)</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that no water efficiency management plans were received during the audit period. Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
89	Compliance notices issued by the licensee must include a brief description of the possible consequences under the Act of not complying with the notice, and the rights of review under the Act in relation to the notice and who may apply for review. <i>Regulation 85</i>			We observed that this obligation is stated in the <i>Compliance Officers (Water) internal guideline</i> document. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no notices issued during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

5.3 Water Services Code of Conduct (Customer Service Standards)

No	Obligation under Condition			Findings
92	The licensee must have written information for customers about the specified matters regarding connections and the information must be publicly available. (Note: the information required by subclause 8(2)(a) applies to the Water Corporation, Bunbury Water Corporation and Busselton Water Corporation only and the information required by subclause 8(2)(g) applies only to licensees that supply potable water). <i>Clause 8(1)-(3)</i>			We reviewed the <i>Rio Tinto Pilbara Tenant Welcome Pack</i> and noted it: - Includes information about tenant water supply, and - Is publicly available on the Rio Tinto website.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
93	The licensee must ensure that, in any 12-month period, 90% of water supply service connections are completed before the end of 10 business days, starting on the day on which the customer has paid the relevant fees and complied with the relevant requirements. <i>Clause 9(2) and (4)</i>			The Senior Advisor Regulatory Compliance, Utilities advised there was one new connection for Pannawonica during the audit period. As there is no charge for connections this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
94	If the licensee charges a fixed charge, the licensee must issue a bill for a fixed charge to each customer at least once in every 12-month period. <i>Clause 10(2)</i>			<i>Obligations 94 to 124J</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that Pannawonica properties are not metered, and customers are not charged. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
95	If the licensee charges a quantity charge, the licensee must issue a bill for a quantity charge to each customer at least once in every 4-month period to each customer. <i>Clause 11(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
96	A bill for usage must be based on a meter reading to ascertain the quantity supplied or discharged. <i>Clause 11(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
97	If an accurate meter reading is not possible, a bill for usage must be based on an estimate, in accordance with the specified regulations (if any), of the quantity of water supplied or wastewater discharged. (Note: The Water Services Regulations 2013 did not address the estimation of bills at the time this Reporting Manual was published). <i>Clause 11(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
98	If an accurate meter reading is not possible and there are no applicable regulations, a bill for usage must be based on a reasonable estimate of supply or discharge using one of the specified methods. <i>Clause 11(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
98A	Despite subclauses 11(4) and (5), a bill for usage based on a meter reading must be issued at least once in every 12-month period. <i>Clause 11(6)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
99	A bill must be sent to the address of the place where the water service is provided or, to another nominated address nominated by the customer. <i>Clause 12(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
99A	A licensee must allow a customer to choose to receive bills by post or email. <i>Clause 12(1) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
99B	A licensee must inform the customer of any charge for sending a bill when offering the choice under subclause 12(1). <i>Clause 12(2) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
99C	A bill sent by email must be sent to an email address provided by the customer. <i>Clause 12(4) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
99D	A licensee must not charge for sending a bill when any one of the specified situations apply to the customer. <i>Clause 12(5) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
100	Each bill must contain the prescribed information. <i>Clause 13(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
100A	A bill issued for 2 or more water services must specify the charge payable for each water service. <i>Clause 13(7)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
101	Each bill for usage for a metered water service must contain the specified information. <i>Clause 13(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
101A	If a bill for usage for a metered water service was based on an estimate, the bill must inform the customer that the licensee will tell the customer the prescribed information on request. <i>Clause 13(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
102A	Each bill must contain the prescribed information. <i>Clause 13(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
103	If a bill is based on an estimate, the licensee must tell the customer on request the basis of the estimate and the reason for the estimate. <i>Clause 14(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
104	If a bill is based on an estimate, the licensee must make any adjustments to the next bill to take into account the extent to which the estimate was not reasonable having regard to a subsequent and accurate meter reading. <i>Clause 14(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
104A	Each bill for usage to which clause 15 applies must, in addition to the requirements of clause 13, contain the specified information. <i>Clause 15(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
105	The licensee must provide to the customer on request either or both of the following: • a meter reading and a bill to determine the outstanding charges for a period that is not the same as the usual bill cycle, • if the customer disputes an estimate on which a bill is based, a meter reading and revised bill. <i>Clause 16(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
106	The licensee must have a written policy, standard or set of guidelines (available on the licensee’s website and a hardcopy provided to a customer upon request at no charge) in relation to granting a discount to a customer whose meter reading indicates a water usage that is higher than normal for the customer but is likely to have been wasted because of a leak from the customer’s system. <i>Clause 17(2) and (3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
107	The licensee cannot recover an undercharged amount from a customer unless it is for water services provided in the 12-month period ending on the day on which the licensee informed the customer of the undercharging. <i>Clause 18(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
108	An undercharged amount must be the subject of, and explained in, a special bill or a separate item in the next bill. <i>Clause 18(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
109	Subject to subclauses 18(6), (7), (8) or (9), the licensee must not charge interest or late payment fees on an undercharged amount. <i>Clause 18(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
110	The licensee must allow a customer to pay an undercharged amount by way of a repayment plan that has effect for the duration of the shorter of the specified periods starting on the day that the bill in subclause 18(3) is issued. <i>Clause 18(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
111A	The licensee must, within 15 business days of becoming aware of an overcharge, credit the overcharged amount to the customer’s account or send the customer a notice informing the customer of the overcharging and recommending options for how the overcharged amount may be refunded or credited to the customer’s account. <i>Clause 19(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
112A	If the licensee sends the customer an overcharging notice and receives instructions from the customer about the refunding or crediting of the overcharged amount, the licensee must refund the overcharged amount, or credit the overcharged amount to the customer’s account within 15 business days of the licensee receiving the instructions. <i>Clause 19(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
112B	If instructions from the customer about the refunding or crediting of the overcharged amount are not received by the licensee by the end of the period of 10 business days starting on the day on which an overcharging notice is sent, the licensee must credit the overcharged amount to the customer’s account before the end of the period of the next 15 business days. <i>Clause 19(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
112C	The licensee must notify the customer immediately after crediting the overcharged amount to the customer’s account under clause 19. <i>Clause 19(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
113	The licensee must review a bill on the customer’s request. <i>Clause 21(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
113A	The licensee must inform the customer of the outcome of a review of the customer’s bill as soon as practicable or otherwise less than 20 business days from the day the customer’s request for review was received. <i>Clause 21(2) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
113B	If the licensee does not complete a review before the end of the 20 business days, the licensee must notify the customer of the status of the review as soon as practicable after the end of that period. <i>Clause 21(3) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
114	The license must have a written procedure for the review of a bill on the customer’s request. <i>Clause 22(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
115	The review procedure in clause 220(1) must include the specified information and be available on the licensee’s website and a hardcopy provided to a customer upon request at no charge. <i>Clause 22(2) and (4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
116	The review procedure must state that the customer may, but is not required 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. <i>Clause 22(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
117	The licensee must inform the customer of the outcome of a review of the customer’s bill as soon as practicable or otherwise less than 15 business days from the day the customer’s request for review was received. <i>Clause 20(5) (2018) to July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
117A	The licensee must notify each of its customers of any change to the amount or rate of a water service charge in accordance with the requirements in subclause 20(2). <i>Clause 20(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
118	The time set by the licensee for the payment of a bill must be after 14 days from when the bill is issued. <i>Clause 24</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
119	The licensee must allow a customer to pay a bill using any of the specified methods selected by the customer. <i>Clause 25(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
120	The licensee must, when offering bill payment method options, inform the customer of the fees and charges (if any) associated with each bill payment method offered. <i>Clause 25(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
121	Before receiving a bill payment by direct debit the licensee must obtain written or oral express consent of the customer or of an adult person nominated by the customer to give consent. <i>Clause 26</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
122	The licensee must accept payment in advance from a customer on a customer's request <i>Clause 27(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
123	The licensee must on request and at no charge redirect a customer's bills because of the customer's absence or illness. <i>Clause 28</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
123A	For each bill issued, the licensee must allow customers (all residential customers and the business customers who have notified the licensee that they are experiencing payment difficulties) to select one of the following options: • Additional time to pay a bill or • Choosing a payment plan for an amount owing by the customer to the licensee. <i>Clause 29(1)-(2) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124A	The licensee must advise a customer who has been assessed as experiencing payment difficulties that they have a right to pay the bill under a payment plan or other arrangement under which the customer is given more time to pay the bill or arrears, and the licensee must offer to enter into an appropriate plan or arrangement with the customer. <i>Clause 29(2) (2018) to July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124B	When formulating a payment plan to assist a customer, the licensee must take the customer's capacity to pay any bill. In the case of a bill for usage, the licensee must also take into account how much water has been supplied or wastewater has been discharged in previous billing periods. <i>Clause 30(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
124C	The licensee must consider and decide whether or not the payment plan or other arrangement for a customer who has been assessed as experiencing payment difficulties should be interest-free, or fee-free, or both. <i>Clause 28(4) (2018) to July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124D	If a customer accepts a payment plan, the licensee must provide the customer the specified information in writing within 5 business days of the customer accepting the payment plan, unless the customer has provided the specified information in the preceding 12 months. <i>Clause 30(4) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124E	A licensee must, in relation to a residential customer for whom a payment plan is being considered, offer the customer assistance to manage their bills for ongoing provision of services during the period of the payment plan. <i>Clause 30(6) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124F	A licensee must, in relation to a business customer, consider and decide whether or not a payment plan should be interest-free, fee-free or both. <i>Clause 30(7) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124G	A licensee must review a payment plan at the request of a customer. <i>Clause 31(1) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124H	The licensee must offer to vary a payment plan if a review of the payment plan, under subclause 31(1), indicates that the customer is unable to meet the payment plan obligations. <i>Clause 31(2) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
124I	The licensee must, within 5 business days after the customer accepts an offer to vary the payment plan, provide the customer with information that clearly explains, and assists the customer to understand the variation. <i>Clause 31(3) from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
124J	A licensee must not vary a payment plan without the customer’s agreement, where the agreement relates to the particular variation rather than under a general agreement to future variations. <i>Clause 31(4) and (5) from July 2024</i>			<i>Obligations 125 to 129C</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that the ERA advised Robe River that it does not require a financial hardship policy as it does not charge for a water service at Pannawonica. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
125	The licensee must have a written policy in relation to financial hardship that is approved by the ERA. <i>Clauses 32(1) and (2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
126A	Unless the ERA approves otherwise, the licensee’s financial hardship policy must comply with the ERA’s guidelines (if any) in relation to financial hardship policies. <i>Clause 32(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
126B	Unless the ERA approves otherwise, amendments to the licensee’s financial hardship policy must be approved by the ERA and comply with the ERA’s guidelines (if any) in relation to financial hardship policies. <i>Clause 32(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
127	The licensee’s financial hardship policy must be in effect within 6 months of the day of the grant of the licence. <i>Clause 32(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
128	The licensee's financial hardship policy must be available on the licensee’s website and a hardcopy provided to a customer upon request at no charge. <i>Clause 32(6)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
129A	The licensee must review its financial hardship policy at least once in every 5-year period. <i>Clause 29(7) (2018) to July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
129B	The licensee must review its financial hardship policy if directed to do so by the ERA. <i>Clause 32(7)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
129C	A licensee must consult with relevant consumer organisations whenever the licensee is developing a financial hardship policy or making a material amendment to its financial hardship policy. <i>Clause 32(8)</i>			<i>Obligations 130A to 144</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that as Pannawonica properties are not metered and customers are not charged there is no billing of water services for Pannawonica. Therefore, these obligations were not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
130A	The licensee must advise a residential customer who has been assessed by the licensee as experiencing financial hardship that they have a right to pay the bill under an interest-free and fee-free payment plan or other arrangement under which the customer is given more time to pay the bill or arrears, and the licensee must offer to enter into an appropriate plan or arrangement with the customer. <i>Clause 33(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
130B	When formulating a payment plan or other arrangement for a residential customer assessed by the licensee as experiencing financial hardship, the licensee must take the customer’s capacity to pay the bill into account. In the case of a bill for usage, the licensee must also take into account how much water has been supplied or wastewater has been discharged in previous billing periods. <i>Clause 33(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
131A	The licensee must consider reducing the amount owing by the customer. <i>Clause 33(4)(a)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
131B	The licensee must review, upon request, how a customer is paying a bill under subclauses 33(2) and (3) and revise the payment plan or arrangement if the review indicates the customer is unable to meet the obligations. <i>Clause 33(4)(b)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
131C	The licensee must provide the specified written information to a customer. <i>Clause 33(4)(c)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
133	The licensee must have written information regarding the payment schemes and other assistance that is available to customers. The information must be available on the licensee’s website and a hardcopy provided to a customer upon request at no charge. <i>Clause 34(4) and (5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
133A	The licensee must not charge interest or fees for late payment of a bill by a customer in the specified circumstances. <i>Clause 35</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
134	The licensee must not commence or continue proceedings to recover a debt from a customer if the customer is complying with a payment plan or other arrangement, or is being assessed for financial hardship. <i>Clause 36(1)(a)-(c)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
134A	The licensee must not commence or continue proceedings to recover a debt from a customer if a complaint made by the customer to the licensee or water services ombudsman, which directly relates to the water service charge to which the debt relates, is not resolved by the licensee (or is not determined or is upheld by the ombudsman). <i>Clause 36(1)(d)-(e)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
135	If the licensee has cut off or reduced the rate of flow of water to land under section 95(1)(b) of the Act, the licensee must restore the supply of water if the amount owing is paid, or if the customer enters into a payment arrangement for the amount owing that is satisfactory to the licensee. <i>Clause 43(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
136	If the licensee has, under section 95(1)(a), (c), (d) or (e) of the Act, cut off or reduced the flow of water, the licensee must restore the supply of water if the licensee is satisfied that the reason for the disconnection or reduction no longer applies. <i>Clause 43(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
137A	The licensee must not start a water supply restriction unless the licensee has given the customer a reminder notice (that includes the information specified in clause 38), the water service charge has still not been paid in full, and the licensee has given the customer a restriction notice. <i>Clause 39(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
137B	The licensee must not give a customer a restriction notice less than 7 days before the day on which the water supply restriction is proposed to start. <i>Clause 39(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
137C	The restriction notice must include the specified information <i>Clause 39(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
138	The licensee must not start a water supply restriction if any of the specified circumstances apply. <i>Clause 40(1)(a) and -(c) -(h).</i> <i>Clause 40(1)(b) to July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
138B	The licensee must not start a water supply restriction on or during the specified times. <i>Clause 41</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
139	The licensee must not, under section 95(1)(b) or (2) of the Act, reduce the rate of flow of water to a customer to below 2.3 litres each minute. <i>Clause 42</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
142	The licensee (other than the Water Corporation) must restore a water supply to land within the specified timeframe, unless the licensee and customer expressly agree otherwise. <i>Clause 44(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
144	The licensee (other than the Water Corporation) must ensure that there is at least a 90% compliance rate with subclause 44(5) in any 12 month period ending on 30 June. <i>Clause 44(6)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
144A	The licensee must give notice of a planned service interruption to each customer that will be affected by the service interruption. <i>Clause 46(1)</i>			<i>Obligations 144A and 144B</i> The Senior Advisor Regulatory Compliance, Utilities confirmed that all outages both planned and unplanned are captured in Robe River's SAP system. We observed that Robe River's <i>Standard connections for water, sewerage and electricity supply</i> document addresses interruption to supply of water and commits Robe River to: • Advising customers of planned service interruptions • Giving customers 48 hours' notice before the start of the service interruption and if not possible, at the earliest practicable time before the start of the service interruption. We sighted a sample <i>Water Outage Notice</i> dated 22 September 2023 advising of an outage on 24 September 2023, with requires with the obligation to give notice of the planned interruption.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
144B	The notice of a planned service interruption must be given within the specified timeframes. <i>Clause 46(2)</i>			<i>Obligations 144C and 144D</i> We observed that Robe River's <i>Standard connections for water, sewerage and electricity supply</i> document, <i>Standard Work Procedures Return of Potable Water Mains to Service (Drinking Water Quality) – Pipe Break and Utilities Division Sewer Overflow:</i> Provides a contact number to advise Robe River of the event and commits Robe River to: (a) Attend and take all reasonable actions to rectify the situation, (b) Reduce the potential or actual impact on i. customers ii. the community iii. property; and iv. the environment (c) and promptly clean up the event. In the event of a wastewater spill the documents commit Robe River to minimise the effects of the spill and cleaning up of the area including disinfection.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
144C	The licensee must have policies, practices and procedures for dealing with and minimising the impact of a burst, leak or blockage in its water supply works or sewerage works. <i>Clause 47(1)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
144D	The policies, practices and procedures under subclause 47(1) must deal with the specified matters. <i>Clause 47(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
144E	The licensee must provide a 24- hour information line by means of which, at the cost of a local telephone call (excluding mobile telephones), a customer can notify the licensee of emergencies and faults, and get information about the reason for, and the expected duration of, any unplanned service interruption. <i>Clause 48</i>			We observed that Robe River provides a 24-hour information line which is published in the <i>RT-Pilbara-Pannawonica Welcome Pack</i> and available on the Rio Tinto website.
	Priority 4	Controls rating: N/P	Compliance rating: 1	

No	Obligation under Condition			Findings
145	The licensee must have a written complaints procedure in relation to investigating and dealing with complaints of customers about the provision of water services by the licensee or a failure by the licensee to provide a water service. <i>Clause 49(1)</i>			<i>Obligations 145-149</i> We reviewed Robe River’s Pilbara Utilities electricity and water services <i>Customer Complaint Form</i> and <i>Complaint and dispute resolution policy</i> and observed that these documents: • Include the required information in relation to: ○ Investigating and dealing with complaints of customers about the provision of water services or a failure to provide a water service ○ lodgement of complaints, acknowledging complaints, responding to complaints and, dispute resolution arrangements ○ Procedures available to the customer under the Act as to applying to the water services ombudsman or making an appeal from, or applying for a review of, the decision that gave rise to the complaint • Are available on Rio Tinto’s website. The Senior Advisor Regulatory Compliance, Utilities confirmed that hard copies are available to customers upon request and at no charge and no requests were made during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
146	The licensee's complaints procedure must be developed using as minimum standards the relevant provisions of AS 10002:2 2022 and the ERA's guidelines (if any). <i>Clause 49(2)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
147	The licensee's complaints procedure must provide for the matters specified in relation to lodgement of complaints, acknowledging complaints, responding to complaints and, dispute resolution arrangements. <i>Clause 49(3)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
148A	The licensee's complaints procedure must list the procedures available to the customer under the Act as to applying to the water services ombudsman or making an appeal from, or applying for a review of, the decision that gave rise to the complaint, if an appeal or review is available under regulations mentioned in section 222(2)(k). <i>Clause 49(4)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
149	The licensee's complaints procedure must be available on the licensee’s website and a hardcopy provided to a customer upon request at no charge. <i>Clause 49(5)</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
149A	A licensee must inform the customer of the outcome of a complaint and, unless the customer has advised the licensee that the complaint has been resolved in a manner acceptable to the customer, provide information as specified in subclause 50(b). <i>Clause 50</i>			We noted the <i>Complaint and dispute resolution policy</i> includes a commitment to inform the customer of the outcome of a complaint and provides information about the right to apply to the water services ombudsman as well as the freecall telephone number. The Senior Advisor Regulatory Compliance, Utilities confirmed that no complaints were received by Robe River during the audit period. Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition			Findings
150	The licensee must provide a customer with the specified services or documents on request and at no charge. <i>Clause 51(1)</i>			We sighted evidence of the information being provided in Robe River's <i>Complaint and dispute resolution policy</i> . The Senior Advisor Regulatory Compliance, Utilities confirmed: - The information was available in the required formats and at no charge, and - Robe River received no such request during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
152	The licensee must make available to each customer, on request and, 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 within 5 business days after the request is made. <i>Clause 51(2) and (3)</i>			We noted the <i>Pilbara Utilities electricity and water services Privacy policy</i> states any request for access to personal information will be provided within 5 business days. The Senior Advisor Regulatory Compliance, Utilities confirmed, noting that usage is not metered or invoiced: - The information was available and at no charge, and - Robe River received no such request during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
153	The licensee must make the information publicly available. <i>Clause 52(1)</i>			As Robe River did not charge its customers for water services, clauses 52 (1) (a) to (c), (g) and (h) did not apply to Robe River's activities during the audit period. We observed: - The <i>Rio Tinto Pilbara Tenant Welcome Pack</i> includes information regarding water and sewerage services, requiring customers to ensure meters are accessible, and the sustainable use of water - The <i>Standard connections for water, sewerage and electricity supply</i> document includes information about the quality of water and its management, interruptions to water supply and commitment to not cut water supply unless agreed to by customers - The <i>Invoicing and meter reading policy</i> includes reference to an authorised person being able to enter a place without consent to read a meter. In regard to clauses 52 (1) (d)-(f), (i)-(l), the Senior Advisor Regulatory Compliance, Utilities confirmed the Robe River policies that provide information on these requirements are available on the Rio Tinto website and hard copies are available on request.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
154	The licensee must ensure that the specified information about bills may be obtained from its website. <i>Clause 52(2)</i>			As Robe River did not charge its customers for water services, clauses 52 (2) (a) to (e) did not apply to Robe River during the audit period. The Senior Advisor Regulatory Compliance, Utilities confirmed the information about the customer complaints procedure per Clause 52(2)(f) is available on the Rio Tinto website and hard copies are available on request.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
154AA	A licensee must ensure that the specified information about Part 9 may be obtained from its website. <i>Clause 52(3)</i> From July 2024			We observed the <i>Standard connections for water, sewerage and electricity supply</i> document includes information about applying for a preserved water supply and is available on the Rio Tinto website. The Senior Advisor Regulatory Compliance, Utilities confirmed the relevant "specified information" (regarding applying for preserved supply register) set out in Clause 52(3) of the Code was available to customers and published on the Rio Tinto website from July 2024 to 30 April 2025.
	Priority 4	Controls rating: N/P	Compliance rating: 1	

No	Obligation under Condition			Findings
154A	The licensee must ensure that its website contains a link to the current version of this code appearing on the WA legislation website. <i>Clause 52(4)</i>			We observed the Rio Tinto website, Water Reports and Publications section includes a link to the current version of the Water Service Code of Conduct (Customer Service Standards) 2024.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
154B	The licensee must maintain an up-to-date preserved supply register for the purposes of Part 9 of the Code if the licensee meets the criteria in clause 54(1). The register must record the prescribed information in clauses 54(2)(b) and 54(4). <i>Clause 52(2)</i>			We sighted Rio Tinto's Preserved Supply Register and confirmed it included the prescribed information and was up to date. We observed there was one preserved supply customer recorded for the Pannawonica township during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
154CC	The licensee must, within 5 business days after recording a person on the register, provide the specified information in writing to the person. <i>Clause 54(3)</i> From July 2024			We observed the <i>Standard connections for water, sewerage and electricity supply</i> and <i>RTIO Utilities Division End to End Billing Procedure Manual</i> documents include the requirement to provide the prescribed information in writing within 5 business days. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no new persons added to the Preserved Supply Register for Pannawonica between July 2024 to 30 April 2025.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
154C	The licensee must not, under section 95(1)(b) of the Act, reduce the rate of flow of a supply of water to a supply address recorded on the preserved supply register. <i>Clause 55</i>			Through discussion with the Senior Advisor Regulatory Compliance, Utilities and review of relevant documentation, we observed that: - There was one preserved supply customer recorded for the Pannawonica township during the audit period - Pannawonica residents (Robe River's customers) are not billed for water services, therefore restrictions to water supply are not carried out as a means for collecting debts for non-payment of accounts - Robe River's <i>Invoicing and meter reading policy</i> includes a statement that preserved supply customers will not have their water flow reduced due to non-payment - No reductions in the rate of flow of supply of water occurred in Pannawonica during the audit period.
	Priority 2	Controls rating: A	Compliance rating: 1	
154D	Despite clause 46(3), in the case of a service interruption that will affect a supply address recorded on the preserved supply register, the notice required by clause 46(1) must be given in the specified manner. <i>Clause 56</i>			We observed the <i>Standard connections for water, sewerage and electricity supply</i> states that Robe River will: - Notify preserved supply customers in writing, at least three business days in advance, when work is planned in their area which will require an interruption to their water supply, and - Use their best endeavours to obtain acknowledgement from the preserved supply customer, someone else residing at the property or other nominated person, prior to proceeding with the planned interruption. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no known restrictions during the audit period, therefore no notifications were required. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

5.4 Licence Conditions

No	Obligation under Condition	Findings	
155	The licensee must pay the applicable fees and charges in accordance with the Economic Regulation Authority (Licensing Funding) Regulations 2014. <i>Clause 4.2.1</i>	We sighted evidence that Robe River: • Paid the 2023 and 2024 annual licence charges by the due date (noting that the 2024 licence charge was due outside the audit period), • Paid the Q4 2022, Q4 2023 and Q4 2024 standing charges by the due date. The Senior Advisor Regulatory Compliance, Utilities confirmed that all other relevant fees and charges due during the audit period were paid by the due dates. However, upon notification by the ERA, we subsequently verified that Robe River paid the Q2 2024 standing charge 21 days after the due date and therefore determined that Robe River was non-compliant with this obligation. Regulatory staff were not aware of the 2024 Q2 late payment and subsequent non-compliance with this licence obligation until being notified by the ERA. Subsequent investigation by Robe River determined that the late payment was a result of a change in Rio Tinto's accounts payable processes, which resulted in the previous immediate payments for ERA invoices being replaced with Rio Tinto's standard payment terms, being 45 days. In September 2025, Robe River confirmed that Rio Tinto's Accounts Payable processes and system had been updated to set the Economic Regulation Authority vendor details to immediate payment terms for all invoices. Recommendation 1/2025 <i>Robe River further strengthen its compliance monitoring processes to ensure all ERA licence fees and standing charges are paid in the prescribed timeframe and to ensure any non-compliances are promptly detected and captured in a compliance register.</i>	
	Priority 4	Controls rating: C	Compliance rating: 2
159	The licensee must comply with a direction from the ERA in relation to a breach of applicable legislation. <i>Clause 4.1.2</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed that the ERA did not issue a direction in relation to a breach of applicable legislation during the audit period. Furthermore, there were no known non-compliances during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: N/R
160	The licensee and any related body corporate must maintain accounting records that comply with standards issued by the Australian Accounting Standards Board or equivalent International Accounting Standards. <i>Clause 4.6.1</i>	We sighted Robe River's Special purpose 2021 financial report and General purpose financial statements for 2022, 2023 and 2024 and noted they had been prepared in accordance with the applicable Australian Accounting Standards – Simplified Disclosures as issued by the Australian Accounting Standards Board. Those reports and statements were audited by KPMG.	
	Priority 4	Controls rating: N/P	Compliance rating: 1
161	The licensee must comply with any individual performance standards specified by the ERA. <i>Clause 5.2.1</i>	We sighted Robe River's annual Performance Reports and observed water flow and pressure testing results for 2021/22, 2022/23 23/24 and 2024 were reported as within the requirements. We also viewed three samples of pressure and flow testing completed during the audit period and noted that the test results were within the required pressure and flow requirements. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no additional performance standards imposed on Robe River during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: 1

No	Obligation under Condition			Findings
162	The licensee must cooperate with the independent expert and comply with the ERA's audit and review guidelines dealing with the operational audit. <i>Clause 5.3.4</i>			The previous operational audit by Quantum Assurance was conducted in June 2021 in accordance with the 2019 Audit and Review Guidelines: Water Licences. With the ERA's approval, AAG was appointed to undertake the 2025 Operational Audit for the period 1 May 2021 to 30 April 2025. The audit plan for this operational audit stated the audit would be conducted in accordance with the ERA's March 2019 issue of the Audit and Review Guidelines: Water Services, was approved by the ERA in May 2025.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
163	The licensee must report to the ERA, in the manner specified, if a licensee is under external administration or there is a change in the circumstances upon which the licence was granted which may affect a licensee's ability to meet its obligations. <i>Clauses 4.7.1(a), (b), (c)</i>			Licence condition 4.7.1 requires Robe River to report to the ERA within prescribed timeframes any of the following: (a) If Robe River was under external administration (b) Any change in Robe River's corporate, financial or technical circumstances in which the Licence was granted, and if that change materially affected Robe River's ability to meet its obligations (c) Any change in the Licensee's name, ABN or address (within 10 business days of the change occurring). The Senior Advisor Regulatory Compliance, Utilities confirmed that during the audit period Robe River had not: • Been under external administration • Undergone any significant change in its corporate, financial or technical circumstances upon which the licence was granted which may affect its ability to meet its obligations • Changed its name, ABN or address. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
165	The licensee must provide the ERA specified information relevant to the operation of the licence or the licensing scheme, or the performance of the ERA's function under the Act in the manner and form specified by the ERA. <i>Clause 4.8.1</i>			<i>Obligations 165 and 167</i> For the years 2021, 2022, 2023 and 2024 we sighted evidence that the: • Annual performance reports; • Annual compliance reports; and • Annual standing charge customer data; were all submitted to the ERA by the due date of 31 August and with the required data. We observed there were no non-compliances reported during the audit period (the non-compliance reported for obligation 155 was not due to be included in an annual compliance report until the 2024/25 report, which was due outside of this audit period).
	Priority 4	Controls rating: N/P	Compliance rating: 1	
167	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. <i>Clause 4.8.2</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
168	Subject to clause 3.8.3, the licensee must publish within the specified timeframe any information that the ERA has directed the licensee to publish under clause 3.8.1. <i>Clauses 3.8.1 and 3.8.2</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed there were no directions to publish information from the ERA during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

No	Obligation under Condition	Findings
169	Unless otherwise specified, all notices must be in writing. <i>Clause 3.8.1</i>	Through examination of relevant communications, we determined that throughout the audit period, Robe River continued to maintain processes and practices to formally respond to all notices in writing, unless the ERA specified otherwise.
	Priority 4 Controls rating: N/P Compliance rating: 1	
170A	The licensee must notify the ERA of the details of the asset management system within five business days from the later of: (a) the commencement date; or (b) the completion of construction of the licensee's water service works. <i>Clauses 5.1.2(a), (b)</i>	The ERA has previously been notified of the details of Robe Rivers asset management system. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4 Controls rating: N/P Compliance rating: N/R	
171	The licensee must notify the ERA of any material change to the asset management system within 10 business days of the change. <i>Clause 5.1.3</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed there were no material changes to Robe River's asset management system requiring ERA notification during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4 Controls rating: N/P Compliance rating: N/R	
172	The licensee must cooperate with the independent expert and comply with the ERA's audit and review guidelines dealing with the asset management system review. <i>Clause 5.1.7</i>	The previous asset management system review for Robe River by Quantum Assurance was conducted in June 2021 in accordance with the 2019 Audit and Review Guidelines: Water Licences. With the ERA's approval, AAG was appointed to undertake the 2025 asset management system review for the period 1 May 2021 to 30 April 2025. The review plan for this AMS review stated the review would be conducted in accordance with the ERA's March 2019 issue of the Audit and Review Guidelines: Water Services, and was approved by the ERA in May 2025.
	Priority 4 Controls rating: N/P Compliance rating: 1	
172A	If the ERA considers that one or more of a licensee's standard terms and conditions of service is no longer in the public interest, the ERA may direct the licensee: a. to amend: i. the standard term or condition of service; or ii. the standard term or condition of service in accordance with a term proposed by the ERA; and b. to do so within a specified period. <i>Clause 6.1.1</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed that no directions were received from the ERA during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4 Controls rating: N/P Compliance rating: N/R	
172B	The licensee must comply with a direction given to the licensee under clause 6.1.1. <i>Clause 6.1.2</i>	The Senior Advisor Regulatory Compliance, Utilities confirmed that no directions were received from the ERA during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4 Controls rating: N/P Compliance rating: N/R	

No	Obligation under Condition			Findings
181	If the licensee is appointed as the supplier of last resort for a designated area in relation to the provision of a particular water service, the licensee must perform the functions of a supplier of last resort, comply with the duties imposed by the Act and carry out its operations under or for the purpose of the last resort plan in accordance with the Act. <i>Clause 6.3.1</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that Robe River was not appointed a supplier of last resort during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
182	If the licensee provides a water service outside of the operating area the licensee must apply to amend the licence unless otherwise notified by the ERA. <i>Clause 4.4.1(b)</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that Robe River did not supply a water service outside the operating area of the licence during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
184	Where the licensee provides potable water, the licensee must enter into a Memorandum of Understanding with the Department of Health as soon as practicable after the commencement date or as otherwise agreed with Department of Health. <i>Clause 7.1.1</i>			We reviewed the Memorandum of Understanding between the Department of Health and Robe River Mining Co Pty Ltd for Drinking Water dated 31 January 2020. Although the term of the Memorandum is five years from the date of signing, we noted that during the audit period the Department of Health extended the Memorandum to 30 June 2025 (which was subsequently further extended to 30 November 2025), ensuring it was current for the duration of the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
184A	Where the licensee provides sewerage services, the licensee must, if required by the Department of Health, enter into a Memorandum of Understanding with the Department as soon as practicable after the commencement date or as otherwise agreed with Department. <i>Clause 7.1.2</i>			Robe River is not required by the ERA to have a Memorandum of Understanding for sewerage services due to it having fewer than 400 customers. We noted the decision in the ERAs <i>Water Licence Review 2019 Final decision 20 April 2020</i> . Therefore, this obligation was not relevant to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
184B	If the licensee provides both potable water and sewerage services, the licensee must enter into a separate Memorandum of Understanding with the Department of Health in respect of each of the potable water service and sewerage service. <i>Clause 7.1.3</i>			Robe River entered into a Memorandum of Understanding between the Department of Health and Robe River Mining Co Pty Ltd for Drinking Water dated 31 January 2020. As per obligation 184A Robe River is not required to enter into a Memorandum of Understanding for sewerage services. Therefore, this obligation was not applicable to Robe River's activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
185	A Memorandum of Understanding must comply with the specified requirements in relation to legal standing of the document and compliance audits by the Department of Health. <i>Clause 7.1.4</i>			We reviewed the Memorandum of Understanding between the Department of Health and Robe River Mining Co Pty Ltd for Drinking Water and observed that clause 16.1 specifies that the Memorandum of Understanding is a legally binding document. The Senior Advisor Regulatory Compliance, Utilities advised no Memorandum of Understanding audits had been initiated by the Department of Health.
	Priority 4	Controls rating: N/P	Compliance rating: 1	

No	Obligation under Condition	Findings	
186	The licensee must comply with the terms of a Memorandum of Understanding. <i>Clause 7.1.5</i>	Through examination of relevant documents and the Robe River website we determined that Robe River complied with the following terms of the Memorandum of Understanding during the audit period: • Provided Drinking Water Quality Annual Reports required by the Memorandum of Understanding for the years 2020/21, 2021/22, 2022/23 and 2023/24 • The Memorandum of Understanding is available on the website • DWQ Annual Reports report that: ○ All materials and substances used in contact with drinking water are approved by the Department of Health ○ Regular meetings are conducted between Utilities and the Department of Health in relation to Drinking Water Quality matters ○ Rio Tinto Iron Ore, Pilbara Utilities recognises and supports the ongoing work of the Advisory Committee for the Purity of Water • Rio Tinto Iron Ore, Pilbara Utilities has a documented incident management protocol for dealing with water quality incidents and incidents are also reported in the DWQ annual reports • The Australian Drinking Water Guidelines published by the National Health and Medical Research Council are reflected in the Rio Tinto <i>Drinking Water Quality Risk Management Plan – Utilities water supply system (Towns)</i> and the Memorandum of Understanding.	
	Priority 4	Controls rating: N/P	Compliance rating: 1
187	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. <i>Clause 7.1.6</i>	The 2021 audit reported that the Memorandum of Understanding was published on the website within one month of signing. The Senior Advisor Regulatory Compliance, Utilities confirmed that other than: • An update to Binding Protocol 3 (for which there is no requirement to publish); and • Extensions to the expiry date of the Memorandum of Understanding there have been no amendments to the Memorandum of Understanding during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: N/R
188	The licensee must publish the audit report on compliance with its obligations under a Memorandum of Understanding on its website within one month of the completion of the audit. <i>Clause 7.1.7</i>	The Senior Advisor Regulatory Compliance, Utilities advised no Memorandum of Understanding audits had been initiated by the Department of Health during the audit period. Therefore, this obligation was not relevant to Robe River's activities during the audit period.	
	Priority 4	Controls rating: N/P	Compliance rating: N/R
189	The licensee must publish, in a form agreed with the Department of Health, any other reports required by the Department of Health or required by a Memorandum of Understanding on the licensee's website, at a reporting frequency specified by the Department of Health. <i>Clause 7.1.8</i>	We observed that the Drinking Water Quality Annual Reports have been published on the Rio Tinto/Robe River website as per the requirements stated in the Memorandum of Understanding.	
	Priority 4	Controls rating: N/P	Compliance rating: 1

No	Obligation under Condition			Findings
190	The licensee must comply with the standards set out in Schedule 2 of the licence. <i>Schedule 2 to July 2024</i>			<i>Obligations 190 and 190A</i> We sighted Robe River’s annual Performance Reports and observed water flow and pressure testing results for 2021/22, 2022/23 23/24 and 2024 were reported as within the requirements. We also viewed three samples of pressure and flow testing completed during the audit period and noted that the test results were within the required pressure and flow requirements. The Senior Advisor Regulatory Compliance, Utilities confirmed that there were no additional performance standards imposed on Robe River during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
190A	The water service works provided by the licensee, for the purpose of water supply services, shall be designed, constructed, operated and maintained to provide continuity of pressure and flow for the services in accordance with the specified standards in Schedule 2. <i>Schedule 2 Clause 1.1 from July 2024</i>			
	Priority 4	Controls rating: N/P	Compliance rating: 1	
190B	The licensee must notify: - new customers upon purchase of the affected property as soon as practicable; and - existing customers at least annually, if the pressure and flow of the water supplied to the customer’s property falls outside of the pressure and flow range standards specified in Schedule 2 clause 1.1. <i>Schedule 2 Clause 1.2 from July 2024</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed that pressure and flow requirements were met during the audit period. We observed the Potable Water System pressure and flow requirements are documented in the <i>Standard connections for water, sewerage and electricity supply</i> . Therefore, this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
190C	The licensee must notify the ERA annually of any restrictions applied in accordance with the Water Services Regulations 2013 to a potable water supply, detailing restrictions by scheme, type (severity), duration, start date and number of services affected. <i>Schedule 2 Clause 1.3 from July 2024</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed there were no restrictions imposed on customers during the audit period. Therefore this obligation was not relevant to Robe River’s activities during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	

4. Water Services Code of Practice (Family Violence) 2020

No	Obligation under Condition			Findings
191	The licensee must have a family violence policy that sets out the matters specified in clause 5(1). <i>Clause 5(1)</i>			We reviewed the Rio Tinto Pilbara Utilities <i>Family Violence guidance for residential water services customer policy</i> and determined that the Policy: - Includes Pannawonica residents and addresses the matters specified in clause 5(1) - Was in place throughout the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
192	The licensee must have a family violence policy before the end of the six month 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. <i>Clause 5(2)</i>			The previous (2021) audit confirmed that Robe River had established a family violence policy by the due date. Therefore, this obligation was not relevant to Robe River during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
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. <i>Clause 6</i>			We sighted the Rio Tinto Pilbara Utilities Family Violence guidance for residential water services customer policy on Rio Tinto's website. The Senior Advisor Regulatory Compliance, Utilities confirmed that a hard copy is available to customers on request and at no charge.
	Priority 4	Controls rating: N/P	Compliance rating: 1	
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. <i>Clause 7</i>			We observed that the Rio Tinto Pilbara Utilities <i>Family Violence guidance for residential water services customer policy</i> was not due for review during the audit period. The Senior Advisor Regulatory Compliance, Utilities advised the policy is due for review in 2026, and confirmed that there was no request from the Minister to review the policy during the audit period. Therefore, this obligation was not relevant to Robe River during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
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. <i>Clause 8(1)</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed: - Robe River, which is not a government organisation, is required to maintain records as per the Rio Tinto retention schedule - There were no records created in relation to compliance with the <i>Water Services Code of Practice (Family Violence) 2020</i> during the audit period.
	Priority 4	Controls rating: N/P	Compliance rating: N/R	
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. <i>Clause 8(2)</i>			The Senior Advisor Regulatory Compliance, Utilities confirmed Robe River is required to maintain records as per the Rio Tinto retention schedule. We sighted evidence that the retention schedule requires documents to be kept for 10 years. In addition, the Senior Advisor Regulatory Compliance, Utilities confirmed that all Customer Services records (including each communication between the licensee and the customer) are retained for at least 7 years.
	Priority 4	Controls rating: N/P	Compliance rating: 1	

No	Obligation under Condition			Findings
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) 2024. <i>Clause 9</i>			Through discussion with the Senior Advisor Regulatory Compliance, Utilities and review of relevant documentation relating to Robe River's family violence policy, procedures and activities, we observed that: • There were no instances during the audit period where a customer advised Robe River of being affected by family violence • Robe River's Family Violence Policy, which is available on Rio Tinto's website, expressly references and provides a link to its complaints procedure • Robe River has maintained an internal procedure manual that provides guidance to staff on managing family violence matters • However, the policy and procedures do not expressly ensure customers are advised of the complaint procedures during a customer's first contact regarding a family violence matter. We raised this matter with Robe River staff as a minor process improvement opportunity. Robe River advised that it subsequently updated the procedure to incorporate this improvement.
	Priority 4	Controls rating: B	Compliance rating: N/R	
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. <i>Clause 10</i>			We sighted and tested the link to the current version of the code provided as it appears on the Western Australian legislation website.
	Priority 4	Controls rating: N/P	Compliance rating: 1	

6. Status of recommendations addressing non-compliances from the previous audit

Not applicable - there were no recommendations from the 2021 operational audit.

Appendix A – Audit Plan

Robe River Mining Co Pty Ltd

Water Services Licence (WL45)

2025 Operational Audit

Audit Plan

May 2025

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Introduction

Overview

The Economic Regulation Authority (the **ERA**) has under the provisions of the Water Services Act 2012 (the **Act**), issued to Robe River Mining Co Pty Ltd (**Robe River**) a Water Services Licence (WL 45) (the **Licence**).

Section 25 of the Act requires Robe River to provide to the ERA an operational audit (the audit) conducted by an independent expert appointed by the ERA every 24-month period unless otherwise approved by the ERA. With the ERA's approval, Assurance Advisory Group (**AAG**) has been appointed to conduct the audit for the period 1 May 2021 to 30 April 2025 (audit period).

The Licence relates to Robe River providing a potable water supply and sewerage services in the town of Pannawonica in the Pilbara region of Western Australia. The town has approximately 400 residential and commercial properties which were built in 1970 to provide accommodation for mining staff, their families and the small number of non-mining support personnel.

The audit will be conducted in accordance with the ERA's March 2019 issue of the *Audit and Review Guidelines: Water Services* (**Audit Guidelines**). In accordance with the Audit Guidelines this document represents the Audit Plan (the **Plan**) that is to be presented to the ERA for approval.

Objective

An operational audit is defined as an assessment of the effectiveness of measures taken by the licensee to meet the quality and performance standards required by the licence. The purpose of the audit is to assess the effectiveness of measures taken by Robe River to meet the conditions of its Licence.

The audit will specifically consider the following:

- *Process compliance* - the effectiveness of systems and procedures in place throughout the audit period, including the adequacy of internal controls
- *Outcome compliance* - the actual performance against standards prescribed in the Licence throughout the audit period
- *Output compliance* - the existence of the output from systems and procedures throughout the audit period (specifically, proper records which provide assurance that procedures are consistently followed and controls are maintained)
- *Integrity of performance* - the completeness and accuracy of the compliance and performance reports provided to the ERA
- *Compliance with any individual licence conditions* – the actual performance against the requirements imposed on Robe River by the ERA or specific matters raised by the ERA.

Scope

The ERA provides guidance on those aspects of the Licence and Robe River's performance criteria, which it expects to be reported upon and included in the scope of the operational audit in its *Water Compliance Reporting Manual* (**Reporting Manual**).

The audit approach applies the singular audit priority assessment approach to identify all applicable licence obligations. Each of the compliance requirements identified in the Reporting Manual have been evaluated for applicability to Robe River's operations and used as the basis for determining the performance criteria to be considered for the audit.

The audit period is from 1 May 2021 to 30 April 2025. Since Robe River's previous operational

audit in 2021, the Reporting Manual has undergone two revisions to reflect changes in water licensees' obligations. The versions of the Reporting Manual relevant to the audit period are March 2021, October 2021 and July 2024.

This audit will use the current July 2024 version of the Reporting Manual as the primary audit reference however the audit will also refer to any relevant part of previous versions in any instance where the obligation is not fully accommodated in the July 2024 version.

Table 1 below outlines the compliance requirements that apply to Robe River's water service operations during the period subject to audit. Where necessary, further explanation is provided to describe the obligation application.

Note that due to Robe River's current operating arrangements, a number of those obligations are not likely to be triggered during the period subject to audit. In such instances, the obligation remains applicable to the scope of this audit, with the audit report to identify and describe instances where an obligation cannot be assessed and rated.

Table 1 – Application of legislative elements to Robe River's water services operations

Legislative element	Application to Robe River's water services operations during the audit period
Water Services Act 2012	61 of the 64 Water Services Act obligations are applicable to Robe River's water services operations.
Water Services Regulations 2013	12 of the 28 Water Services Regulations obligations are applicable to Robe River's water services operations.
Water Services Code of Conduct (Customer Service Standards) 2018, 2024	103 of the 107 Water Services Code of Conduct (Customer Service Standards) obligations are applicable to Robe River's water services operations.
Other Licence Conditions	29 of the 35 Licence compliance requirements – Licence conditions obligations are applicable to Robe River's water services operations.
Water Services Code of Practice (Family Violence) 2020	All 8 of the Water Services Code of Practice (Family Violence) obligations are applicable to Robe River's water services operations.

Robe River's responsibility for compliance with the conditions of the Licence

Robe River is responsible for:

- Compliance with the Licence
- Identifying risks that threaten the conditions within the Licence being met
- Identifying suitable compliance requirements as specified by the ERA
- Identifying, designing and implementing controls to enable the conditions within the Licence to be met and to monitor ongoing compliance
- Implementing corrective actions for instances of non-compliance.

AAG's responsibility

Our responsibility is to express an opinion on Robe River's compliance, in all material respects, with the licence obligations as evaluated against its Licence Conditions for the period 1 May 2021 to 30 April 2025. We will conduct our engagement in accordance with the Audit Guidelines and the Standard on Assurance Engagements ASAE 3100 Compliance Engagements (**ASAE 3100**) issued by the Auditing and Assurance Standards Board.

ASAE 3100 requires that we plan and perform our procedures to obtain reasonable assurance about whether Robe River has complied, in all material respects, with the licence obligations as evaluated against its Licence Conditions. This assurance engagement will involve performing procedures to obtain evidence about the compliance activity and controls implemented to meet the conditions within the Licence. The procedures selected depend on our judgement, including the identification and assessment of risks of material noncompliance with the relevant licence conditions.

Limitations of use

Our report will be produced solely for the information and internal use of Robe River and is not intended to be and should not be used by any other person or entity. No other person or entity is entitled to rely, in any manner or for any purpose, on our report.

We understand that a copy of our report will be provided to the ERA for the purpose of meeting Robe River's reporting requirements of section 25 of the Act. We agree that a copy of our report may be provided to the ERA for its information in connection with this purpose, however we accept no responsibility to the ERA or to anyone who is provided with or obtains a copy of our reports.

Inherent limitations

Reasonable assurance means a high but not absolute level of assurance. Absolute assurance is very rarely attainable as a result of factors such as: the use of selective testing, the inherent limitations of internal control, the fact that much of the evidence available to us is persuasive rather than conclusive and the use of judgement in gathering and evaluating evidence and forming conclusions based on that evidence.

We cannot, in practice, examine every activity and procedure, nor can we be a substitute for management's responsibility to maintain adequate controls over all levels of operations and their responsibility to prevent and detect irregularities, including fraud.

Accordingly, readers of our report should not rely on the report to identify all potential instances of non-compliance which may occur.

An assurance engagement relating to the period from 1 May 2021 to 30 April 2025 will not provide assurance on whether compliance with the Licence will continue in the future.

Independence

In conducting our engagement, we will comply with the independence requirements of the Australian professional accounting bodies.

Approach

The audit will be conducted in three distinct phases, being a risk assessment, system analysis/walkthrough and testing and review. From the audit results, a report will be produced to outline findings, overall compliance assessments and recommendations for improvement in line with the Audit Guidelines. Each step of the audit is discussed in detail below.

Risk assessment

The audit will focus on identifying or assessing those activities and management control systems to be examined and the matters subject to audit. Therefore, the purpose of conducting the risk assessment as a preliminary phase enables the auditor to focus on pertinent/high risk areas of Robe River's licence obligations. The risk assessment considers the changes to Robe River's systems and processes and any matters of significance raised by the ERA and/or Robe River. The levels of risk and materiality of the process determine the level of audit required, i.e. the greater the materiality and the higher the risk, the more audit effort to be applied.

The first step of the risk assessment is the rating of the potential consequences of Robe River not complying with its licence obligations, in the absence of mitigating controls.

As the Reporting Manual is prescriptive in its criteria for classifying the consequences of non-compliance (refer to Appendix 1-1) the risk assessment applies the Reporting Manual's classifications for each obligation subject to audit.

Once the consequence has been determined, the likelihood of Robe River not complying with its obligations is assessed using the likelihood rating listed at Table 17 of the Audit Guidelines. The assessment of likelihood is based on the expected frequency of Robe River's non-compliance with the relevant licence obligation over a period of time.

Table 2 below (sourced from the Audit Guidelines, Table 18) outlines the combination of consequence and likelihood ratings to determine the level of inherent risk associated with each individual obligation.

Table 2: Inherent risk rating

Likelihood	Consequence		
	1. Minor	2. Moderate	3. Major
A. Likely	Medium	High	High
B. Probable	Low	Medium	High
C. Unlikely	Low	Medium	High

Once the level of inherent risk has been determined, the adequacy of existing controls is assessed in order to determine the level of control risk. Controls are assessed and prioritised as weak, moderate or strong dependant on their suitability to mitigate the risks identified. The control adequacy ratings used by this risk assessment are aligned to the ratings listed at Table 20 of the Audit Guidelines. Once inherent risks and control risks are established, the audit priority can then be determined using the matrix listed at Table 21 of the Audit Guidelines (refer to Table 3 below). Essentially, the higher the level of risk the more substantive testing is required.

Table 3: Assessment of Audit Priority

	Preliminary adequacy of existing controls		
Inherent Risk	Weak	Moderate	Strong
High	Audit Priority 1	Audit Priority 2	
Medium	Audit priority 3	Audit Priority 4	
Low	Audit Priority 5		

The following table outlines the audit requirement for each level of audit priority. Testing can range from extensive substantive testing around the controls and activities of processes to confirming the existence of controls through discussions with relevant staff.

Table 4: Audit Priority Table

Priority rating	Audit requirement
Audit Priority 1	• Via interview and walkthrough, understand relevant processes and controls • Examine relevant documents, including compliance registers and reports • Obtain evidence of policies, procedures and controls being in place and working effectively • Extensive substantive testing of activities and/or transactions • Follow-up and if necessary, re-test matters previously reported.
Audit Priority 2	• Via interview and walkthrough, understand relevant processes and controls • Examine relevant documents, including compliance registers and reports • Obtain evidence of policies, procedures and controls being in place and working effectively • Moderate substantive testing of activities and/or transactions Controls testing and moderate substantive testing of activities and/or transactions • Follow-up and if necessary, re-test matters previously reported.
Audit Priority 3	• Via interview and walkthrough, understand relevant processes and controls • Examine relevant documents, including compliance registers and reports. • Limited controls testing (moderate sample size) to assess whether policies, procedures and controls are in place and working effectively • Follow-up of matters previously reported.
Audit Priority 4	• Confirmation of existing controls via observation and walk through of key processes and examination of key documents including policies and procedures, compliance/breach registers and reports • Follow-up of matters previously reported.
Audit Priority 5	• Confirmation of existing controls via observation, discussions with key staff and/or reliance on key references including policies and procedures, compliance/breach registers and reports (“desktop review”).

The key sources considered in reaching our preliminary assessment of the risk and control ratings were based on:

- Prior assessments of the state of controls during the 2021 WL Operational audit

- Review of the annual compliance reports lodged by Robe River for each of the years 2021 to 2024
- Our understanding of Robe River's regulatory environment
- Any other factors that may influence the level or strength of controls
- Consideration of relevant circumstances and activity that trigger specific compliance obligations.

At this stage, the risk assessment can only be a preliminary assessment based on reading of documentation and interviews by the auditors. It is possible that the ratings and risk assessment comments may be revised as we conduct our work and new evidence comes to light. The operational audit risk assessment is attached at Appendix 2.

System analysis / walkthrough

The systems analysis required will be determined utilising the audit priority scale outlined above. Once the priority level has been defined, the testing component will take place by way of interviewing key operational and administrative staff who will outline information that displays compliance with the Licence requirements.

In performing this analysis/walkthrough, we will consider the following:

- The control environment: Robe River's management philosophy and operating style, organisational structure, assignment of authority and responsibilities, the use of internal audit, the use of information technology and the skills and experience of key staff members
- Information systems: The suitability of Robe River's information systems to record the information needed to comply with the Licence, the accuracy of data, the security of data and documentation describing the information system
- Control procedures: The presence of systems and procedures to ensure compliance with the Licence, effectiveness of Robe River's internal control structure to detect and correct non-compliance. Specific consideration will be given to significant changes in relevant systems and procedures implemented during the period subject to audit
- Compliance attitude: Action taken by Robe River in response to previous recommendations. Consideration will be given to the timing of action taken during the period subject to audit and whether the action has a permanent impact on Robe River's level of compliance
- Outcome compliance: Actual performance against standards prescribed in the Licence throughout the audit period.

Where required, an observation of processes, procedures and operations and review of key documents will occur to assist in the determination of Robe River's compliance with Licence obligations. Key documents, which may be subject to audit, are not specifically disclosed in this plan. A list of documents examined will be included in the audit report.

Testing/review

Using the results of the risk assessment and systems analysis, detailed testing and analysis will be performed to compare those standards maintained by Robe River with the relevant sections and schedules of the Licence.

Control testing is performed for those licence obligations with an audit priority 3 and above (refer to table 4), and where there is relevant activity. This method of testing will involve:

- Understanding the population of transactions
- Selecting a sample of transactions to examine compliance with relevant sections of applicable legislation, codes and regulations

- Comparing the sample selected to expected requirements as mandated by relevant sections of applicable legislation, codes and regulations.

A full work program will be completed to record the specific aspects of our testing and analyses for each licence obligation. This work program will be based on:

- The audit priority determined by the risk assessment applicable to each licence obligation
- The results of the systems analysis performed, as described above
- AAG's sampling methodology, which is in accordance with ASA 530 (Audit Sampling) and takes account of the volume and frequency (e.g. daily, weekly, monthly, annual) of relevant transactions. Sample sizes typically range from 1 to 30, increasing with the volume and frequency of transactions
- The location of personnel and transactions to be tested.

Audit fieldwork will primarily be performed from AAG's premises (i.e. remotely), with a visit to Robe River's Perth office where appropriate.

Reporting

The operational audit report will also be structured to address all of the minimum contents specified in section 5 of the Audit Guidelines.

In accordance with the Audit Guidelines, all aspects of compliance with the Licence will be assessed according to the rating scale based on the work performed. Refer to **Table 5** below for the compliance levels that will be used for the operational audit.

Table 5: Compliance and control rating scales

Controls Rating		Compliance Rating	
Rating	Description	Rating	Description
A	Adequate controls – no improvement needed	1	Compliant
B	Generally adequate controls – improvement needed	2	Non-compliant – minor impact on customers or third parties
C	Inadequate controls – significant improvement required	3	Non-compliant – moderate impact on customers or third parties
D	No controls evident	4	Non-compliant – major impact on customers or third parties
N/P	Not performed – A controls rating was not required	N/R	Not rated – No activity took place during the audit period

Robe River is responsible for providing a separate post audit implementation plan, if required.

Resources and team

Key Robe River contacts

The key contacts for this audit are:

- Senior Advisor Regulatory Compliance, Utilities, Rio Tinto Iron Ore
- Specialist Regulatory Compliance, Utilities, Rio Tinto Iron Ore

AAG Staff

AAG staff who will be involved with this assignment are:

- Margaret-Mary Gauci Senior Consultant
- Andrew Baldwin Executive Director
- Stephen Linden Director

Resumes for key AAG staff are outlined in the proposal accepted by to the ERA.

Timing

The audit fieldwork is scheduled to be performed over the period May to July 2025, enabling draft and final reports to be submitted to the ERA by the due dates of 30 June 2025 and 31 July 2025 respectively.

AAG time and staff commitment to the completion of the audit is outlined in the proposal accepted by the ERA. In summary, the estimated time allocated to each activity is as follows:

- Planning (including risk assessment): 8 hours
- Fieldwork (including system analysis/walkthrough and testing/review): 48.5 hours
- Reporting: 18.5 hours.

Appendix 1 - Risk assessment key

1-1 Criteria for classification of compliance obligations

Source: Water Compliance Reporting Manual July 2024

Rating (type)	Classification of Non-Compliance	Criteria for classification
1	Major	Classified on the bases that: - The consequences of non-compliance would cause major damage, loss or disruption to customers; or - The consequences of non-compliance would endanger or threaten to endanger the safety or health of a person.
2	Moderate	- The consequences of non-compliance will affect the efficiency and effectiveness of the licensee's operations or service provision, but will not cause major damage, loss or disruption to customers, or - The regulatory obligation is not otherwise classified as Type 1 or Type NR non-compliance. Reclassification of Type 2 to Type 1 may occur in circumstances of systemic non-compliance
NR (not reportable)	Minor	- The consequences of non-compliance are relatively minor – i.e. non-compliance will have minimal effect on the licensee's operations or service provision and do not cause damage, loss or disruption to customers; - Compliance with the obligation is immeasurable; - The non-compliance is required to be reported to the ERA under another instrument, guideline or code; - The non-compliance is identified by a party other than the licensee; or - The licensee only needs to use its reasonable endeavours or best endeavours to achieve compliance, or where the obligation does not otherwise impose a firm obligation on the licensee. Reclassification of Type NR to Type 2 may occur in circumstances of: - Systemic non-compliance, or - A failure to resolve the non-compliance promptly.

1-2 Likelihood ratings

Source: 2019 Audit and Review Guidelines: Water Licences

	Level	Criteria
A	Likely	Non-compliance is expected to occur at least once or twice a year
B	Probable	Non-compliance is expected to occur every three years
C	Unlikely	Non-compliance is expected to occur at least once every 10 years or longer

1-3 Preliminary adequacy ratings for existing controls

Source: 2019 Audit Guidelines: Water Licences

Level	Description
Strong	Controls mitigate the identified risks to a suitable level
Moderate	Controls only cover significant risks; improvement required
Weak	Controls are weak or non-existent and do little to mitigate the risks

Appendix 2 - Risk assessment

Obligation numbers and references listed below are sourced from the July 2024 Reporting Manual. Only those obligations relevant to Robe River's Water Licence conditions are listed.

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
9. Water Services Act 2012								
2	Section 21(1)(b)	The licensee must if requested, offer to provide the water service authorised by the licence to any other person (not covered by section 21(1)(a) of the Act) within the operating area of the licence on reasonable terms, unless provision of the service is not financially viable or is otherwise not practicable.	2	Moderate	Probable	Medium	Moderate	Priority 4
3	Section 21(1)(c)	The licensee must provide, operate and maintain the water service works specified by the ERA in the licence for the purposes of section 11(3).	2	Moderate	Probable	Medium	Moderate	Priority 4
4	Section 22	The licensee must notify the ERA as soon as practicable before commencing to provide the water service outside of the operating area of the licence.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
5	Section 23	All water service works used by the licensee in the provision of a water service must be held by the licensee, or must be covered by a works holding arrangement.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
6	Section 24(1)(a) Section 24 (2) to July 2024	The licensee must provide for an asset management system in respect of the licensee's water service works.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
7	Section 31(3) to October 2021	The licensee must give details of the asset management system and any changes to it to the ERA (the licence prescribes timeframes for providing this information to the ERA – see obligations 170A and 171).	2	Moderate	Probable	Medium	Moderate	Priority 4
8	Section 24(1)(c)	A licensee must provide the ERA with a report by an independent expert as to the effectiveness of its asset management system every 24 months, or such longer period as determined by the ERA.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
8A	Section 24(2) from July 2024	The licensee's asset management system must include the measures to be taken by the licensee for the proper maintenance of the water service works and the provision and operation of the water service works, and other water service works necessary for the provision of the water service.	2	Moderate	Probable	Medium	Moderate	Priority 4
9	Section 25	A licensee must, not less than once every 24 months, or such longer period as determined by the ERA, provide the ERA with an operational audit conducted by an independent expert appointed by the ERA.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
10	Section 26(3)	The licensee must comply with each code of practice made by the Minister to the extent to which it applies to the licensee.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
13	Section 36	If the licensee ceases to provide a water service in an area, the licensee must ensure that the water service works are left in a safe condition and must not remove any part of the works except with the approval of the Minister.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
14	Section 60	If the licensee is the supplier of last resort for a designated area in relation to the provision of a particular water service, the licensee must perform the functions of the supplier of last resort and must comply with the relevant duties and carry out the relevant operations specified.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
15	Section 70(2)	The licensee must not supply water services to customers unless the licensee: • is a member of the water services ombudsman scheme; and • is bound by the scheme; and • will comply with any decision or direction of the water services ombudsman under the scheme.	2	Moderate	Probable	Medium	Moderate	Priority 4
16	Section 77(3)	The licensee must take reasonable steps to minimise the extent or duration of any interruption of water services it is responsible for.	2	Moderate	Probable	Medium	Moderate	Priority 4
17	Sections 82(4) and (5)	If a person must give the licensee notice of any building work to be carried out on land in the operating area of a license, the licensee must return a copy of the plans and specifications contained in the notice with any written directions about the proposed building work that the licensee considers necessary to ensure the safety and efficacy of the provision of water services provided, or to be provided. The licensee must do this within 7 days of receiving the fee for dealing with the notification.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
18	Section 84(2)	If the licensee has given a notice under section 83(3)(a) of the Act, and the licensee is satisfied that the person given the notice is not going to comply with the notice within a reasonable time, the licensee must give the person 21 days' notice of its intention to commence the works.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
19	Section 87(2)	If a person makes an application with the State Administrative Tribunal for a review of a decision in respect of the licensee providing additional water services when a person has not responded to the licensee's notice, the licensee cannot provide the works until the application has been finally dealt with, except in limited circumstances.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
20	Section 90(7)	If the licensee gives a compliance notice to a person who is undertaking construction or carrying out similar works in the vicinity of water service works, the licensee must, to the extent practicable, consult with the owner of the land on which the obstruction is located or the activity is taking place if the person to be given the notice is not the owner of the land.	NR	Moderate	Unlikely	Medium	Moderate	Priority 4
21	Section 95(3)	The licensee cannot cut off the supply of water to an occupied dwelling unless the occupier agrees to that.	1	Major	Unlikely	High	Moderate	Priority 2
22	Section 96(1)	If the licensee provides water supply reticulation works, or enters into an agreement for the provision of water supply reticulation works, the licensee must install fire hydrants attached to those works in accordance with the requirements of FESA, or the relevant local government as to the location and type of hydrant.	2	Moderate	Probable	Medium	Moderate	Priority 4
23	Section 96(5)	The licensee must comply with requests made by FESA or a local government under sections 96(3) and 96(4) of the Act to the extent practicable and within a reasonable time.	NR	Moderate	Unlikely	Medium	Moderate	Priority 4
24	Section 98(3)	If required to by the Minister, the licensee must connect a wastewater inlet on land to the sewerage works of the licensee.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
25	Section 106(2)	The licensee must include the information specified in a compliance notice given in relation to failure to maintain fittings, fixtures and pipes.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
28	Section 119(2)	The licensee must include the information specified in a compliance notice given in relation to the matters set out in section 119(1).	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
29	Section 122(2)	If a person makes an application to the State Administrative Tribunal under section 122(1), the licensee cannot take, or continue to take, action against the person except in the circumstances specified.	2	Moderate	Probable	Medium	Moderate	Priority 4
30	Section 125(2)	If the licensee provides a water supply, sewerage or drainage service to 2 or more dwellings on land by a single property connection, the licensee may apportion fees. The licensee cannot apportion fees to the extent inconsistent with any agreement related to such a provision of services, or section 66 of the Strata Titles Act 1985.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
31	Section 128(4)	If the licensee has previously lodged a memorial with the Registrar, the licensee must lodge a withdrawal of memorial with Registrar along with the prescribed specified fee (if any) if the charge or contribution has been paid.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
32	Section 129(5)	If a routine inspection or maintenance is likely to cause disruption to the occupants of a place at least 48 hours' notice of a proposed entry must be given to the occupier of the place unless the occupier agrees otherwise.	2	Moderate	Probable	Medium	Moderate	Priority 4
33	Section 139(3)	If the licensee removes or erects a fence or gate when exercising a works power conferred by the Act, the licensee must take all reasonable steps to notify the owner before doing so.	NR	Moderate	Probable	Medium	Moderate	Priority 4
34	Section 141(4)	A person authorised by the licensee may enter a road and exercise a works power of the licensee without consent, notice or warrant unless the exercise of the power involves opening or breaking up the surface of the road, or would cause a major obstruction of the road or disruption of the traffic, in which case the licensee must give at least 48 hours' notice to the public authority that has control or management of the road.	2	Moderate	Probable	Medium	Moderate	Priority 4
35	Section 142	The licensee must comply with sections 143 and 144 of the Act in relation to the proposed major works, and has given any notice required by section 148.	2	Moderate	Probable	Medium	Moderate	Priority 4
36	Section 143(2)	Before the licensee submits a proposal for the provision of major works to the Minister, the licensee must prepare, publish and make available plans and details of those major works as specified.	2	Moderate	Probable	Medium	Moderate	Priority 4
37	Section 143(3)	The licensee must, within 5 days of publishing the plans and details on the licensee's website, give notice setting out the matters specified in section 143(4) to the persons and agencies specified.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
38	Section 144(3)	The licensee must have regard to an objection or submission lodged within the relevant period.	2	Moderate	Probable	Medium	Moderate	Priority 4
39	Section 145(2)	If the licensee makes alterations to the plans or details referred to in section 143(2), the licensee must give written notice of the alterations to any person who is likely to be adversely affected by those alterations.	2	Moderate	Probable	Medium	Moderate	Priority 4
40	Section 147(3)	The licensee must comply with a direction given by a Minister in respect of a proposal to provide water service works that are major works under section 143(3).	2	Moderate	Probable	Medium	Moderate	Priority 4
41	Section 147(4)	If the Minister gives a direction that further notices in relation to the proposed major works be given under section 143(3), the licensee must resubmit the proposal.	2	Moderate	Probable	Medium	Moderate	Priority 4
42	Section 151(1)	A licensee proposing to provide water service works that are general works must prepare plans and details of the proposed works and publish and make them available for inspection.	2	Moderate	Probable	Medium	Moderate	Priority 4
43	Section 151(2)	The licensee must give a notice of general works setting out the matters referred to in section 151(3) to the persons and agencies specified.	2	Moderate	Probable	Medium	Moderate	Priority 4
44	Section 152(3)	The licensee must have regard to an objection or submission lodged by the date specified in the notice given under section 151(2).	2	Moderate	Probable	Medium	Moderate	Priority 4
45	Section 153(3)	If the licensee makes alteration to those plans or details referred to in section 151, the licensee must give written notice of the alterations to any person who is likely to be adversely affected by those alterations.	2	Moderate	Probable	Medium	Moderate	Priority 4
45A	Section 161(1) from July 2024	A licensee, when providing water service works, may: - deviate from any plan or description of, or proposal for, those works and - make any modification to the plan, description or proposal that is required by the circumstance, if the deviation or modification is agreed to in writing by the owner and occupier of the affected land.	2	Moderate	Probable	Medium	Moderate	Priority 4
46	Section 166(5)	On being advised by the Minister that an interest in land is appropriate to the licensee's needs, the licensee is required to acquire the interest.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
47	Section 166(6)	Any costs incurred in taking an interest in land are to be paid by the licensee.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
48	Section 170	The licensee must not sell an interest in land if the purchaser would hold a parcel of land that did not comply with the minimum lot size and zoning requirements under the Planning and Development Act 2005, unless the Minister permits the licensee to do so.	2	Moderate	Probable	Medium	Moderate	Priority 4
49	Section 173(4)	In relation to entry to a place for the purposes of doing works, in the circumstances specified the licensee is required to give 48 hours' notice of proposed entry to a place to the occupier or owner, as applicable, unless the occupier or owner agrees otherwise.	2	Moderate	Probable	Medium	Moderate	Priority 4
50	Section 174(1)	Notice of a proposed entry by the licensee must be in writing and must set out the purpose of the entry, including (if applicable) any work proposed to be carried out.	2	Moderate	Probable	Medium	Moderate	Priority 4
51	Section 174(3)	Even if in a particular instance the licensee may enter a place under the Act without having to give notice of proposed entry, the licensee must when practicable, and when it will not compromise the reason for entry, give notice of entry to the occupier.	2	Moderate	Probable	Medium	Moderate	Priority 4
52	Section 175(2)	If an occupier is present when the licensee proposes to enter a dwelling, the licensee must perform the specified actions before entering the premises.	2	Moderate	Probable	Medium	Moderate	Priority 4
53	Section 175(5)	If the licensee enters a dwelling that is unoccupied, the licensee must leave a notice, which includes the specified information, or a copy of the warrant (as applicable) in a prominent position in the dwelling before leaving the dwelling.	2	Moderate	Probable	Medium	Moderate	Priority 4
54	Section 176(1)	If the licensee has entered a place with or without consent, the licensee must leave the premises as soon as practicable after being notified that the owner or occupier has refused or withdrawn their consent.	2	Moderate	Probable	Medium	Moderate	Priority 4
55	Section 176(3)	The licensee must produce their certificate of authority if asked to do so, and must not perform, or continue to perform, a function under the Act if they are not able to do so.	2	Moderate	Probable	Medium	Moderate	Priority 4
56	Section 176(3)	If the licensee enters or proposes to enter a place, and the owner or occupier requests the licensee produce evidence of authority for that entry, then the licensee must leave the place if they are unable to do so unless the owner or occupier agrees otherwise.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
57	Section 181	The licensee, or a person assisting the licensee, must, as far as is practicable comply with any reasonable request from the owner or occupier intended to limit interference with the lawful activities of the owner or occupier.	NR	Moderate	Probable	Medium	Moderate	Priority 4
58	Section 186	If the licensee applies for a warrant, the application must contain the specified information.	2	Moderate	Probable	Medium	Moderate	Priority 4
59	Section 187(1)-(3)	If the licensee applies for a warrant to enter, the application must be made in accordance with the procedures specified depending on the location of the applicant and the justice.	2	Moderate	Probable	Medium	Moderate	Priority 4
60	Section 190(4)	Unless required to give a copy of the warrant, the licensee executing the warrant must produce the warrant for inspection by the occupier of the place concerned on entry (if practicable), and if requested to do so.	2	Moderate	Probable	Medium	Moderate	Priority 4
61	Section 190(5)	On completing the execution of a warrant the licensee must record the specified information on that warrant.	2	Moderate	Probable	Medium	Moderate	Priority 4
62	Section 210(5)	If the licensee designates a person as an inspector or compliance officer, the licensee must give that person a certificate of authority that includes certain specified information.	2	Moderate	Probable	Medium	Moderate	Priority 4
63	Section 218(2)	In the exercise or purported exercise of a power under the Act, the licensee must ensure that, to the extent practicable, the free use of any place is not obstructed, and that as little damage, harm or inconvenience is caused as is possible.	NR	Moderate	Probable	Medium	Moderate	Priority 4
64	Section 218(3)	If the licensee does any physical damage in the exercise of a works power or a power of entry, the licensee must ensure that the damage is made good, and pay compensation to the extent that it is not practicable to make good the damage.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
10. Water Services Regulations								
65	Regulation 23(2)	If the licensee provides a water supply service in respect of a multi-unit development, the licensee must, on the request of the owner or the strata company, assess whether a sub-meter is satisfactory for measuring the quantity or flow of water passing through a pipe supplying water to the unit.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
66	Regulation 24(4)	If the licensee gives a compliance notice to a person in respect of access to meters, the notice must specify the specified information.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
67	Regulation 26(3)	If the owner or occupier requests the licensee to test a meter and pays the charge (if any) for testing that type of meter, the licensee must test the meter in accordance with a procedure approved by the CEO for the purpose of this regulation.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
68	Regulation 26(5)	If a meter test finds that the meter is outside the prescribed tolerance applicable, the licensee must take the specified actions, bear the costs of testing and refund or credit any charges paid under regulation 26(3).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
69	Regulation 29(1)	The licensee must, on the written request of a developer who is required to pay the licensee an infrastructure contribution in respect of a subdivided lot, defer the payment of the contribution unless regulations 29(3) or 29(4) applies.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
70	Regulation 42(2)	The written order requiring the owner or occupier of land to install a backflow prevention device must set out the date by which the device must be installed and tested (which must be at least 7 days after the day on which the order is given to the owner or occupier).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
71	Regulation 43(3)	The compliance notice given by the licensee to the owner or occupier of land must specify that the backflow prevention device be tested or maintained in accordance with the standard and the date by which the testing or maintenance is required to be done (which must be at least 7 days after the day the notice is given to the owner or occupier).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
72	Regulation 43(6)	The compliance notice requiring the owner or occupier of land to have their backflow prevention device made good as specified in the notice must include the work that is required to be done, the manner in which the work is to be done and the date by which the work is to be done (which must be at least 7 days after the day the notice is given to the owner or occupier).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
74	Regulation 60(2)	If the licensee proposes to exercise a works power in a road and considers that it is necessary to alter the position of infrastructure, the licensee must notify the person who is responsible for the infrastructure and may request that the person make the alterations within the time specified in the notice.	2	Moderate	Probable	Medium	Moderate	Priority 4
75	Regulation 63	If the licensee opens or breaks up the surface of a road, the licensee must complete the relevant work and reinstate and make good the road, and must take all reasonable measures to prevent that part of the road from being hazardous.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
88A	Regulation 80(H)	The licensee must, within 60 days after receiving a water efficiency management plan from an owner or occupier of a non-residential lot, approve the plan, request further information, or request a revised plan by written notice.	2	Moderate	Probable	Medium	Moderate	Priority 4
89	Regulation 85	Compliance notices issued by the licensee must include a brief description of the possible consequences under the Act of not complying with the notice, and the rights of review under the Act in relation to the notice and who may apply for review.	2	Moderate	Probable	Medium	Moderate	Priority 4
11. Water Services Code of Conduct (Customer Service Standards) 2018 & 2024								
92	Clause 8(1)-(3)	The licensee must have written information for customers about the specified matters regarding connections and the information must be publicly available. (Note: the information required by subclause 8(2)(a) applies to the Water Corporation, Bunbury Water Corporation and Busselton Water Corporation only and the information required by subclause 8(2)(g) applies only to licensees that supply potable water).	2	Moderate	Probable	Medium	Moderate	Priority 4
93	Clause 9(2)and(4)	The licensee must ensure that, in any 12-month period, 90% of water supply service connections are completed before the end of 10 business days, starting on the day on which the customer has paid the relevant fees and complied with the relevant requirements.	2	Moderate	Probable	Medium	Moderate	Priority 4
94	Clause 10(2)	If the licensee charges a fixed charge, the licensee must issue a bill for a fixed charge to each customer at least once in every 12-month period.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
95	Clause 11(2)	If the licensee charges a quantity charge, the licensee must issue a bill for a quantity charge to each customer at least once in every 4-month period to each customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
96	Clause 11(3)	A bill for usage must be based on a meter reading to ascertain the quantity supplied or discharged.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
97	Clause 11(4)	If an accurate meter reading is not possible, a bill for usage must be based on an estimate, in accordance with the specified regulations (if any), of the quantity of water supplied or wastewater discharged. (Note: The Water Services Regulations 2013 did not address the estimation of bills at the time this Reporting Manual was published).	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
98	Clause 11(5)	If an accurate meter reading is not possible and there are no applicable regulations, a bill for usage must be based on a reasonable estimate of supply or discharge using one of the specified methods.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
98A	Clause 11(6)	Despite subclauses 11(4) and (5), a bill for usage based on a meter reading must be issued at least once in every 12-month period.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
99	Clause 12(3)	A bill must be sent to the address of the place where the water service is provided or, to another nominated address nominated by the customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
99A	Clause 12(1) from July 2024	A licensee must allow a customer to choose to receive bills by post or email.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
99B	Clause 12(2) from July 2024	A licensee must inform the customer of any charge for sending a bill when offering the choice under subclause 12(1).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
99C	Clause 12(4) from July 2024	A bill sent by email must be sent to an email address provided by the customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
99D	Clause 12(5) from July 2024	A licensee must not charge for sending a bill when any one of the specified situations apply to the customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
100	Clause 13(2)	Each bill must contain the prescribed information.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
100A	Clause 13(7)	A bill issued for 2 or more water services must specify the charge payable for each water service.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
101	Clause 13(3)	Each bill for usage for a metered water service must contain the specified information.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
101A	Clause 13(4)	If a bill for usage for a metered water service was based on an estimate, the bill must inform the customer that the licensee will tell the customer the prescribed information on request.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
102A	Clause 13(5)	Each bill must contain the prescribed information.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
103	Clause 14(1)	If a bill is based on an estimate, the licensee must tell the customer on request the basis of the estimate and the reason for the estimate.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
104	Clause 14(2)	If a bill is based on an estimate, the licensee must make any adjustments to the next bill to take into account the extent to which the estimate was not reasonable having regard to a subsequent and accurate meter reading.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
104A	Clause 15(3)	Each bill for usage to which clause 15 applies must, in addition to the requirements of clause 13, contain the specified information.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
105	Clause 16(1)	The licensee must provide to the customer on request either or both of the following: - a meter reading and a bill to determine the outstanding charges for a period that is not the same as the usual bill cycle, - if the customer disputes an estimate on which a bill is based, a meter reading and revised bill.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
106	Clause 17(2) and (3)	The licensee must have a written policy, standard or set of guidelines (available on the licensee's website and a hardcopy provided to a customer upon request at no charge) in relation to granting a discount to a customer whose meter reading indicates a water usage that is higher than normal for the customer but is likely to have been wasted because of a leak from the customer's system.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
107	Clause 18(2)	The licensee cannot recover an undercharged amount from a customer unless it is for water services provided in the 12-month period ending on the day on which the licensee informed the customer of the undercharging.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
108	Clause 18(3)	An undercharged amount must be the subject of, and explained in, a special bill or a separate item in the next bill.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
109	Clause 18(4)	Subject to subclauses 18(6), (7), (8) or (9), the licensee must not charge interest or late payment fees on an undercharged amount.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
110	Clause 18(5)	The licensee must allow a customer to pay an undercharged amount by way of a repayment plan that has effect for the duration of the shorter of the specified periods starting on the day that the bill in subclause 18(3) is issued.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
111A	Clause 19(2)	The licensee must, within 15 business days of becoming aware of an overcharge, credit the overcharged amount to the customer's account or send the customer a notice informing the customer of the overcharging and recommending options for how the overcharged amount may be refunded or credited to the customer's account.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
112A	Clause 19(3)	If the licensee sends the customer an overcharging notice and receives instructions from the customer about the refunding or crediting of the overcharged amount, the licensee must refund the overcharged amount, or credit the overcharged amount to the customer's account within 15 business days of the licensee receiving the instructions.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
112B	Clause 19(4)	If instructions from the customer about the refunding or crediting of the overcharged amount are not received by the licensee by the end of the period of 10 business days starting on the day on which an overcharging notice is sent, the licensee must credit the overcharged amount to the customer's account before the end of the period of the next 15 business days.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
112C	Clause 19(5)	The licensee must notify the customer immediately after crediting the overcharged amount to the customer's account under clause 19.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
113	Clause 21(1)	The licensee must review a bill on the customer's request.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
113A	Clause 21(2) from July 2024	The licensee must inform the customer of the outcome of a review of the customer's bill as soon as practicable or otherwise less than 20 business days from the day the customer's request for review was received.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
113B	Clause 21(3) from July 2024	If the licensee does not complete a review before the end of the 20 business days, the licensee must notify the customer of the status of the review as soon as practicable after the end of that period.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
114	Clause 22(1)	The license must have a written procedure for the review of a bill on the customer's request.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
115	Clauses 22(2) & (4)	The review procedure in clause 22(1) must include the specified information and be available on the licensee's website and a hardcopy provided to a customer upon request at no charge.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
116	Clause 22(3)	The review procedure must state that the customer may, but is not required 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.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
117	Clause 20(5) (2018) to July 2024	The licensee must inform the customer of the outcome of a review of the customer's bill as soon as practicable or otherwise less than 15 business days from the day the customer's request for review was received.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
117A	Clause 20(1)	The licensee must notify each of its customers of any change to the amount or rate of a water service charge in accordance with the requirements in subclause 20(2).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
118	Clause 24	The time set by the licensee for the payment of a bill must be after 14 days from when the bill is issued.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
119	Clause 25(1)	The licensee must allow a customer to pay a bill using any of the specified methods selected by the customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
120	Clause 25(2)	The licensee must, when offering bill payment method options, inform the customer of the fees and charges (if any) associated with each bill payment method offered.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
121	Clause 26	Before receiving a bill payment by direct debit the licensee must obtain written or oral express consent of the customer or of an adult person nominated by the customer to give consent.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
122	Clause 27(1)	The licensee must accept payment in advance from a customer on a customer's request.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
123	Clause 28	The licensee must on request and at no charge redirect a customer's bills because of the customer's absence or illness.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
123A	Clause 29(1)-(2) from July 2024	For each bill issued, the licensee must allow customers (all residential customers and the business customers who have notified the licensee that they are experiencing payment difficulties) to select one of the following options: - Additional time to pay a bill or - Choosing a payment plan for an amount owing by the customer to the licensee.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124A	Clause 29(2) (2018) to July 2024	The licensee must advise a customer who has been assessed as experiencing payment difficulties that they have a right to pay the bill under a payment plan or other arrangement under which the customer is given more time to pay the bill or arrears, and the licensee must offer to enter into an appropriate plan or arrangement with the customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124B	Clause 30(1)	When formulating a payment plan to assist a customer, the licensee must take the customer's capacity to pay any bill. In the case of a bill for usage, the licensee must also take into account how much water has been supplied or wastewater has been discharged in previous billing periods.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
124C	Clause 28(4) (2018) to July 2024	The licensee must consider and decide whether or not the payment plan or other arrangement for a customer who has been assessed as experiencing payment difficulties should be interest-free, or fee-free, or both.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124D	Clause 30(4) from July 2024	If a customer accepts a payment plan, the licensee must provide the customer the specified information in writing within 5 business days of the customer accepting the payment plan, unless the customer has provided the specified information in the preceding 12 months.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124E	Clause 30(6) from July 2024	A licensee must, in relation to a residential customer for whom a payment plan is being considered, offer the customer assistance to manage their bills for ongoing provision of services during the period of the payment plan.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124F	Clause 30(7) from July 2024	A licensee must, in relation to a business customer, consider and decide whether or not a payment plan should be interest-free, fee-free or both.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124G	Clause 31(1) from July 2024	A licensee must review a payment plan at the request of a customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124H	Clause 31(2) from July 2024	The licensee must offer to vary a payment plan if a review of the payment plan, under subclause 31(1), indicates that the customer is unable to meet the payment plan obligations.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124I	Clause 31(3) from July 2024	The licensee must, within 5 business days after the customer accepts an offer to vary the payment plan, provide the customer with information that clearly explains, and assists the customer to understand the variation.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
124J	Clause 31(4) and (5) from July 2024	A licensee must not vary a payment plan without the customer's agreement, where the agreement relates to the particular variation rather than under a general agreement to future variations.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
125	Clauses 32(1) and (2)	The licensee must have a written policy in relation to financial hardship that is approved by the ERA.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
126A	Clause 32(3)	Unless the ERA approves otherwise, the licensee's financial hardship policy must comply with the ERA's guidelines (if any) in relation to financial hardship policies.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
126B	Clause 32(4)	Unless the ERA approves otherwise, amendments to the licensee's financial hardship policy must be approved by the ERA and comply with the ERA's guidelines (if any) in relation to financial hardship policies.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
127	Clause 32(5)	The licensee's financial hardship policy must be in effect within 6 months of the day of the grant of the licence.	2	Not applicable to Robe River's circumstances as its financial hardship policy was in effect within the required timeframe and there is no further obligation				
128	Clause 32(6)	The licensee's financial hardship policy must be available on the licensee's website and a hardcopy provided to a customer upon request at no charge.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
129A	Clause 29(7) (2018) to July 2024	The licensee must review its financial hardship policy at least once in every 5-year period.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
129B	Clause 32(7)	The licensee must review its financial hardship policy if directed to do so by the ERA.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
129C	Clause 32(8)	A licensee must consult with relevant consumer organisations whenever the licensee is developing a financial hardship policy or making a material amendment to its financial hardship policy.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
130A	Clause 33(2)	The licensee must advise a residential customer who has been assessed by the licensee as experiencing financial hardship that they have a right to pay the bill under an interest-free and fee-free payment plan or other arrangement under which the customer is given more time to pay the bill or arrears, and the licensee must offer to enter into an appropriate plan or arrangement with the customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
130B	Clause 33(3)	When formulating a payment plan or other arrangement for a residential customer assessed by the licensee as experiencing financial hardship, the licensee must take the customer's capacity to pay the bill into account. In the case of a bill for usage, the licensee must also take into account how much water has been supplied or wastewater has been discharged in previous billing periods.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
131A	Clause 33(4)(a)	The licensee must consider reducing the amount owing by the customer	2	Moderate	Unlikely	Medium	Moderate	Priority 4
131B	Clause 33(4)(b)	The licensee must review, upon request, how a customer is paying a bill under subclauses 33(2) and (3) and revise the payment plan or arrangement if the review indicates the customer is unable to meet the obligations.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
131C	Clause 33(4)(c)	The licensee must provide the specified written information to a customer.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
133	Clause 34(4) and (5)	The licensee must have written information regarding the payment schemes and other assistance that is available to customers. The information must be available on the licensee's website and a hardcopy provided to a customer upon request at no charge.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
133A	Clause 35	The licensee must not charge interest or fees for late payment of a bill by a customer in the specified circumstances.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
134	Clause 36(1)(a)-(c)	The licensee must not commence or continue proceedings to recover a debt from a customer if the customer is complying with a payment plan or other arrangement, or is being assessed for financial hardship.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
134A	Clause 36(1)(d)-(e)	The licensee must not commence or continue proceedings to recover a debt from a customer if a complaint made by the customer to the licensee or water services ombudsman, which directly relates to the water service charge to which the debt relates, is not resolved by the licensee (or is not determined or is upheld by the ombudsman).	2	Moderate	Unlikely	Medium	Moderate	Priority 4
135	Clause 43(1)	If the licensee has cut off or reduced the rate of flow of water to land under section 95(1)(b) of the Act, the licensee must restore the supply of water if the amount owing is paid, or if the customer enters into a payment arrangement for the amount owing that is satisfactory to the licensee.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
136	Clause 43(2)	If the licensee has, under section 95(1)(a), (c), (d) or (e) of the Act, cut off or reduced the flow of water, the licensee must restore the supply of water if the licensee is satisfied that the reason for the disconnection or reduction no longer applies.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
137A	Clause 39(1)	The licensee must not start a water supply restriction unless the licensee has given the customer a reminder notice (that includes the information specified in clause 38), the water service charge has still not been paid in full, and the licensee has given the customer a restriction notice.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
137B	Clause 39(2)	The licensee must not give a customer a restriction notice less than 7 days before the day on which the water supply restriction is proposed to start	2	Moderate	Unlikely	Medium	Moderate	Priority 4
137C	Clause 39(3)	The restriction notice must include the specified information.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
138	Clause 40(1)(a) and -(h). 40(1)(b) to July 2024	The licensee must not start a water supply restriction if any of the specified circumstances apply.	2	Moderate	Unlikely	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
138B	Clause 41	The licensee must not start a water supply restriction on or during the specified times.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
139	Clause 42	The licensee must not, under section 95(1)(b) or (2) of the Act, reduce the rate of flow of water to a customer to below 2.3 litres each minute.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
142	Clause 44(5)	The licensee (other than the Water Corporation) must restore a water supply to land within the specified timeframe, unless the licensee and customer expressly agree otherwise.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
144	Clause 44(6)	The licensee (other than the Water Corporation) must ensure that there is at least a 90% compliance rate with subclause 44(5) in any 12 month period ending on 30 June.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
144A	Clause 46(1)	The licensee must give notice of a planned service interruption to each customer that will be affected by the service interruption.	2	Moderate	Probable	Medium	Moderate	Priority 4
144B	Clause 46(2)	The notice of a planned service interruption must be given within the specified timeframes.	2	Moderate	Probable	Medium	Moderate	Priority 4
144C	Clause 47(1)	The licensee must have policies, practices and procedures for dealing with and minimising the impact of a burst, leak or blockage in its water supply works or sewerage works.	2	Moderate	Probable	Medium	Moderate	Priority 4
144D	Clause 47(2)	The policies, practices and procedures under subclause 47(1) must deal with the specified matters.	2	Moderate	Probable	Medium	Moderate	Priority 4
144E	Clause 48	The licensee must provide a 24- hour information line by means of which, at the cost of a local telephone call (excluding mobile telephones), a customer can notify the licensee of emergencies and faults, and get information about the reason for, and the expected duration of, any unplanned service interruption.	2	Moderate	Probable	Medium	Moderate	Priority 4
145	Clause 49(1)	The licensee must have a written complaints procedure in relation to investigating and dealing with complaints of customers about the provision of water services by the licensee or a failure by the licensee to provide a water service	2	Moderate	Probable	Medium	Moderate	Priority 4
146	Clause 49(2)	The licensee's complaints procedure must be developed using as minimum standards the relevant provisions of AS 10002:2 2022 and the ERA's guidelines (if any).	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
147	Clause 49(3)	The licensee's complaints procedure must provide for the matters specified in relation to lodgement of complaints, acknowledging complaints, responding to complaints and, dispute resolution arrangements.	2	Moderate	Probable	Medium	Moderate	Priority 4
148A	Clause 49(4)	The licensee's complaints procedure must list the procedures available to the customer under the Act as to applying to the water services ombudsman or making an appeal from, or applying for a review of, the decision that gave rise to the complaint, if an appeal or review is available under regulations mentioned in section 222(2)(k).	2	Moderate	Probable	Medium	Moderate	Priority 4
149	Clause 49(5)	The licensee's complaints procedure must be available on the licensee's website and a hardcopy provided to a customer upon request at no charge.	2	Moderate	Probable	Medium	Moderate	Priority 4
149A	Clause 50	A licensee must inform the customer of the outcome of a complaint and, unless the customer has advised the licensee that the complaint has been resolved in a manner acceptable to the customer, provide information as specified in subclause 50(b).	2	Moderate	Probable	Medium	Moderate	Priority 4
150	Clause 51(1)	The licensee must provide a customer with the specified services or documents on request and at no charge.	2	Moderate	Probable	Medium	Moderate	Priority 4
152	Clause 51(2) and (3)	The licensee must make available to each customer, on request and, 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 within 5 business days after the request is made.	2	Moderate	Probable	Medium	Moderate	Priority 4
153	Clause 52(1)	The licensee must make the specified information publicly available	2	Moderate	Probable	Medium	Moderate	Priority 4
154	Clause 52(2)	The licensee must ensure that the specified information about bills may be obtained from its website.	2	Moderate	Probable	Medium	Moderate	Priority 4
154AA	Clause 52(3) From July 2024	A licensee must ensure that the specified information about Part 9 may be obtained from its website.	2	Moderate	Probable	Medium	Moderate	Priority 4
154A	Clause 52(4)	The licensee must ensure that its website contains a link to the current version of this code appearing on the WA legislation website.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
154B	Clause 54(2)	The licensee must maintain an up-to-date preserved supply register for the purposes of Part 9 of the Code if the licensee meets the criteria in clause 54(1). The register must record the prescribed information in clauses 54(2)(b) and 54(4).	2	Moderate	Probable	Medium	Moderate	Priority 4
154CC	Clause 54(3) From July 2024	The licensee must, within 5 business days after recording a person on the register, provide the specified information in writing to the person.	2	Moderate	Probable	Medium	Moderate	Priority 4
154C	Clause 55	The licensee must not, under section 95(1)(b) of the Act, reduce the rate of flow of a supply of water to a supply address recorded on the preserved supply register.	1	Major	Probable	High	Moderate	Priority 2
154D	Clause 56	Despite clause 46(3), in the case of a service interruption that will affect a supply address recorded on the preserved supply register, the notice required by clause 46(1) must be given in the specified manner.	2	Moderate	Probable	Medium	Moderate	Priority 4
12. Licence Conditions								
155	Clause 4.2.1	The licensee must pay the applicable fees and charges in accordance with the Economic Regulation Authority (Licensing Funding) Regulations 2014.	2	Moderate	Probable	Medium	Moderate	Priority 4
159	Clause 4.1.2	The licensee must comply with a direction from the ERA in relation to a breach of applicable legislation.	2	Moderate	Probable	Medium	Moderate	Priority 4
160	Clause 4.6.1	The licensee and any related body corporate must maintain accounting records that comply with standards issued by the Australian Accounting Standards Board or equivalent International Accounting Standards.	2	Moderate	Probable	Medium	Moderate	Priority 4
161	Clause 5.2.1	The licensee must comply with any individual performance standards specified by the ERA.	2	Moderate	Probable	Medium	Moderate	Priority 4
162	Clause 5.3.4	The licensee must cooperate with the independent expert and comply with the ERA's audit and review guidelines dealing with the operational audit.	2	Moderate	Probable	Medium	Moderate	Priority 4
163	Clauses 4.7.1(a), (b), (c)	The licensee must report to the ERA, in the manner specified, if a licensee is under external administration or there is a change in the circumstances upon which the licence was granted which may affect a licensee's ability to meet its obligations.	2	Moderate	Probable	Medium	Moderate	Priority 4
165	Clause 4.8.1	The licensee must provide the ERA specified information relevant to the operation of the licence or the licensing scheme, or the performance of the ERA's function under the Act in the manner and form specified by the ERA.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
167	Clause 4.8.2	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.	2	Moderate	Probable	Medium	Moderate	Priority 4
168	Clauses 3.8.1 and 3.8.2	Subject to clause 3.8.3, the licensee must publish within the specified timeframe any information that the ERA has directed the licensee to publish under clause 3.8.1.	2	Moderate	Probable	Medium	Moderate	Priority 4
169	Clauses 3.8.1	Unless otherwise specified, all notices must be in writing.	2	Moderate	Probable	Medium	Moderate	Priority 4
170A	Clauses 5.1.2(a), (b)	The licensee must notify the ERA of the details of the asset management system within five business days from the later of: (a) the commencement date; or (b) the completion of construction of the licensee's water service works.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
171	Clauses 5.1.3	The licensee must notify the ERA of any material change to the asset management system within 10 business days of the change.	2	Moderate	Probable	Medium	Moderate	Priority 4
172	Clauses 5.1.7	The licensee must cooperate with the independent expert and comply with the ERA's audit and review guidelines dealing with the asset management system review.	2	Moderate	Probable	Medium	Moderate	Priority 4
172A	Clauses 6.1.1	If the ERA considers that one or more of a licensee's standard terms and conditions of service is no longer in the public interest, the ERA may direct the licensee: a. to amend: i. the standard term or condition of service; or ii. the standard term or condition of service in accordance with a term proposed by the ERA; and b. to do so within a specified period.	2	Moderate	Probable	Medium	Moderate	Priority 4
172B	Clauses 6.1.2	The licensee must comply with a direction given to the licensee under clause 6.1.1.	2	Moderate	Probable	Medium	Moderate	Priority 4
181	Clauses 6.3.1	If the licensee is appointed as the supplier of last resort for a designated area in relation to the provision of a particular water service, the licensee must perform the functions of a supplier of last resort, comply with the duties imposed by the Act and carry out its operations under or for the purpose of the last resort plan in accordance with the Act.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
182	Clauses 4.4.1(b)	If the licensee provides a water service outside of the operating area the licensee must apply to amend the licence unless otherwise notified by the ERA.	2	Moderate	Probable	Medium	Moderate	Priority 4
184	Clauses 7.1.1	Where the licensee provides potable water, the licensee must enter into a Memorandum of Understanding with the Department of Health as soon as practicable after the commencement date or as otherwise agreed with Department of Health.	NR	Moderate	Probable	Medium	Moderate	Priority 4
184A	Clauses 7.1.2	Where the licensee provides sewerage services, the licensee must, if required by the Department of Health, enter into a Memorandum of Understanding with the Department as soon as practicable after the commencement date or as otherwise agreed with Department.	NR	Moderate	Unlikely	Medium	Moderate	Priority 4
184B	Clauses 7.1.3	If the licensee provides both potable water and sewerage services, the licensee must enter into a separate Memorandum of Understanding with the Department of Health in respect of each of the potable water service and sewerage service.	NR	Moderate	Probable	Medium	Moderate	Priority 4
185	Clauses 7.1.4	A Memorandum of Understanding must comply with the specified requirements in relation to legal standing of the document and compliance audits by the Department of Health.	2	Moderate	Probable	Medium	Moderate	Priority 4
186	Clauses 7.1.5	The licensee must comply with the terms of a Memorandum of Understanding.	2	Moderate	Probable	Medium	Moderate	Priority 4
187	Clauses 7.1.6	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.	2	Moderate	Probable	Medium	Moderate	Priority 4
188	Clauses 7.1.7	The licensee must publish the audit report on compliance with its obligations under a Memorandum of Understanding on its website within one month of the completion of the audit.	2	Moderate	Probable	Medium	Moderate	Priority 4
189	Clauses 7.1.8	The licensee must publish, in a form agreed with the Department of Health, any other reports required by the Department of Health or required by a Memorandum of Understanding on the licensee's website, at a reporting frequency specified by the Department of Health.	2	Moderate	Probable	Medium	Moderate	Priority 4
190	Schedule 2 to July 2024	The licensee must comply with the standards set out in Schedule 2 of the licence.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
190A	Schedule 2 Clause 1.1 from July 2024	The water service works provided by the licensee, for the purpose of water supply services, shall be designed, constructed, operated and maintained to provide continuity of pressure and flow for the services in accordance with the specified standards in Schedule 2.	2	Moderate	Probable	Medium	Moderate	Priority 4
190B	Schedule 2 Clause 1.2 from July 2024	The licensee must notify: - new customers upon purchase of the affected property as soon as practicable; and - existing customers at least annually, if the pressure and flow of the water supplied to the customer's property falls outside of the pressure and flow range standards specified in Schedule 2 clause 1.1.	2	Moderate	Probable	Medium	Moderate	Priority 4
190C	Schedule 2 Clause 1.3 from July 2024	The licensee must notify the ERA annually of any restrictions applied in accordance with the Water Services Regulations 2013 to a potable water supply, detailing restrictions by scheme, type (severity), duration, start date and number of services affected	2	Moderate	Probable	Medium	Moderate	Priority 4
13. Water Services Code of Practice (Family Violence) 2020								
191	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 5(1)	The licensee must have a family violence policy that sets out the matters specified in clause 5(1).	2	Moderate	Probable	Medium	Moderate	Priority 4
192	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 5(2)	The licensee must have a family violence policy before the end of the six month 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.	2	Moderate	Unlikely	Medium	Moderate	Priority 4
193	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 6	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.	2	Moderate	Probable	Medium	Moderate	Priority 4

No	Obligation reference	Obligation description	Type	Consequence	Likelihood	Inherent Risk Rating	Control Assessment	Audit Priority
194	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 7	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.	2	Moderate	Probable	Medium	Moderate	Priority 4
195	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 8(1)	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.	2	Moderate	Probable	Medium	Moderate	Priority 4
196	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 8(2)	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.	2	Moderate	Probable	Medium	Moderate	Priority 4
197	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 9	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) 2024.	2	Moderate	Probable	Medium	Moderate	Priority 4
198	<i>Water Services Code of Practice (Family Violence) 2020</i> Clause 10	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.	2	Moderate	Probable	Medium	Moderate	Priority 4

Appendix 3 - Previous audit recommendations

There were no recommendations from the 2021 operational audit.

Appendix B - References

Robe River representatives participating in the audit

- Senior Advisor Regulatory Compliance, Utilities, Rio Tinto Iron Ore
- Specialist Regulatory Compliance, Utilities, Rio Tinto Iron Ore

AAG staff participating in the audit

		Hrs
• Andrew Baldwin	Executive Director	17
• Margaret-Mary Gauci	Senior Consultant	52
• Stephen Linden	Director (QA review)	0.5

Key documents and other information sources examined

- WL45 2021 Audit and Review Report
- Water Services Licence, Robe River Mining Co Pty Ltd WL45, version3, 31 August 2022
- 2019 Audit and Review Guidelines, Water Licences, March 2019
- Water Compliance Reporting Manuals
- Water Services Code of Practice (Family Violence) 2020 Code SL 2020 and 2025
- Water Services Code of Conduct (Customer Service Standards) 2018 and 2024
- Audit Information Request response 27.06.2025
- Rio Tinto Iron Ore, Utilities Division Asset Management Improvement Plan – Water and wastewater services (2025)
- Acceptance of Offer ERA 27 March 2025 letter
- Development and planning process
- Development and planning policy
- Keeping your distance – a guide for undertaking works near our water and electrical infrastructure
- Water Service Interruptions Guideline
- Standard connections for water, sewerage and electricity supply
- Fire Services Act 1942
- SWP – Core Services – Working at premises and in roads RTIO-HSE-0283463
- SWP Water Services Act 2012 requirements - Major and general works RTIO-HSE-0283463
- Compliance Officers (Water) internal guideline
- Compliance Officers (Water) Notices Issued Register
- Power of Entry for Maintenance Purposes
- Standard connections for water, sewerage and electricity supply
- Rio Tinto Pilbara Tenant Welcome Pack
- RT-Pilbara-Pannawonica Welcome Pack
- Sample Water Outage Notice
- Return of Potable Water Mains to Service (Drinking Water Quality) – Pipe Break and Utilities Division Sewer Overflow Standard work procedure

- Pilbara Utilities Complaint and dispute resolution policy
- Customer Complaint Form
- Pilbara Utilities electricity and water services Privacy policy
- Invoicing and meter reading policy
- RTIO-AM-0127775 extract - Preserved Supply (Life Support) Register (water and electricity)
- RTIO Utilities Division End to End Billing Procedure Manual
- ERA invoices 1002820, 1004880, 1002659, 1004584, 1006425 and evidence of payment
- Email evidence of standing charge data submission 2020, 2021, 2022, 2023 and 2024
- 2021, 2022, 2023 and 2024 Annual compliance reports
- Email evidence of Annual compliance report submission 2021, 2022, 2023 and 2024
- Robe River Mining Co Pty Ltd Annual financial reports 2021, 2022, 2023 and 2024
- 2020/2021 WL45 - Performance Report and Standing Data Report RTIO-AM-0230915
- 2021/2022 WL45 - Performance Report Datasheet and standing data Report RTIO-0207533
- 2022/2023 WL45 - Performance Report and Standing Data Report RTIO-1015401
- 2023/2024 WL45 - Performance Report and Standing Data Report RTIO-1063251
- Maintenance Order 88002395 RTIO 1113159
- Maintenance Order 88002392 RTIO 1113158
- Rio Tinto Iron Ore, Utilities: Drinking Water Quality Annual Report – Towns – 2020/21, 21/22, 22/23 and 23/24
- Memorandum of Understanding between the Department of Health and Robe River Mining Co Pty Ltd for Drinking Water RTIO-AM-0213204
- Memorandum of Understanding DWG DoH to RT extension letter RTIO-10976852024
- Water Licence Review 2019 Final Decision 20 April 2020.
- Robe River MoU for Sewerage Services – Query email RTIO-AM-0227706
- Rio Tinto Pilbara Utilities Family Violence guidance for residential water services customer policy RTIO-AM-022687
- Rio Tinto Retention Schedule extract