Prepared for
HV Operations Pty Ltd
ABN: 76606478399

AECOM

2025 Independent Environmental Audit Report

Hunter Valley Operations North - DA 450-10-2003
Hunter Valley Operations South - PA 06_0261

04-Jan-2026
HVO IEA 2025



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2025 Independent Environmental Audit Report

Hunter Valley Operations North - DA450-10-2003 Hunter Valley Operations South - PA06_0261

Client: HV Operations Pty Ltd

ABN: 76606478399

Prepared by

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			Name/Position	Signature
0	04-Jan-2026	Final Report for Issue to Department of Planning, Housing and Infrastructure	Kate Michelmore Lead Auditor	

Independent Audit Report Declaration Form	
Project Name	Hunter Valley Operations (HVO) Coal Mine
Consent Number	DA 450-10-2003 (HVO North), PA 06_0261 (HVO South)
Description of Project	Open cut coal mining and associated activities including coal extraction, processing, haulage, rail loading, water management, biodiversity offset management, rehabilitation, and progressive mine closure works.
Project Address	Jerrys Plains Road, Lemington and Maison Dieu, Singleton Local Government Area, NSW, 2330
Proponent	HV Operations Pty Ltd, on behalf of the Hunter Valley Operations Joint Venture (Yancoal Australia 51% / Glencore Coal Assets Australia 49%)
Type of Audit	Independent Environmental Audit
Date	04-Jan-2025

I declare that I have undertaken the Independent Audit and prepared the contents of the Independent Audit Report and to the best of my knowledge:

i. the audit has been undertaken in accordance with relevant condition(s) of consent and the *Independent Audit Compliance Requirements (Department 2019);*
ii. the findings of the audit are reported truthfully, accurately and completely;
iii. I have exercised due diligence and professional judgement in conducting the audit;
iv. I have acted professionally, objectively and in an unbiased manner;
v. I am not related to any proponent, owner or operator of the project neither as an employer, business partner, employee, or by sharing a common employer, having a contractual arrangement outside the audit, or by relationship as spouse, partner, sibling, parent, or child;
vi. I do not have any pecuniary interest in the audited project, including where there is a reasonable likelihood or expectation of financial gain or loss to me or spouse, partner, sibling, parent, or child;
vii. neither I nor my employer have provided consultancy services for the audited project that were subject to this audit except as otherwise declared to the Department prior to the audit; and
viii. I have not accepted, nor intend to accept any inducement, commission, gift or any other benefit (apart from payment for auditing services) from any proponent, owner or operator of the project, their employees or any interested party. I have not knowingly allowed, nor intend to allow my colleagues to do so.

Notes:

a. *Under section 10.6 of the Environmental Planning and Assessment Act 1979 a person must not include false or misleading information (or provide information for inclusion in) in a report of monitoring data or an audit report produced to the Minister in connection with an audit if the person knows that the information is false or misleading in a material respect. The proponent of an approved project must not fail to include information in (or provide information for inclusion in) a report of monitoring data or an audit report produced to the Minister in connection with an audit if the person knows that the information is materially relevant to the monitoring or audit. The maximum penalty is, in the case of a corporation, $1 million and for an individual, $250,000; and*
b. *The Crimes Act 1900 contains other offences relating to false and misleading information: section 307B (giving false or misleading information – maximum penalty 2 years imprisonment or 200 penalty units, or both)*

Name of Auditor	Kate Michelmore
Signature	
Qualification	B.Sc (Environmental Forensics), Certified Lead Auditor – Exemplar Global
Company	AECOM Australia Pty Ltd
Company Address	420 George Street, AECOM NSW 2000

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Abbreviations

Abbreviation	Description
AECOM	AECOM Australia Pty Ltd
AHD	Australian Height Datum
AHIP	Aboriginal Heritage Impact Permit
AL	Assessment Lease
AQGGMP	Air Quality and Greenhouse Gas Management Plan
ARR	Annual Rehabilitation Report
AS	Australian Standard
BMP	Bast Management Plan
CCC	Community Consultative Committee
CCL	Consolidated Coal Lease
CHPP	Coal Handling and Preparation Plant
CL	Coal Lease
CML	Consolidated Mining Lease
CMO	Compliance Management System
DA	Development Consent
DCCEEW	Department of Climate Change, Energy, the Environment and Water
DPHI	Department of Planning, Housing and Infrastructure
DPE	Department of Planning and Environment (former)
EC	Electrical Conductivity
EL	Exploration Licence
EPL	Environment Protection Licence
EPBC	Environment Protection and Biodiversity Conservation Act 1999 (Cth)
E&C	Environment and Community
FVMP	Final Void Management Plan
GDP	Ground Disturbance Permit
HDAN	High Density Ammonium Nitrate
HRSTS	Hunter River Salinity Trading Scheme
HVO	Hunter Valley Operations
HVAS	High Volume Air Sampler
IBMP	Integrated Biodiversity Management Plan
IEA	Independent Environmental Audit
ISO	International Organization for Standardization
JV	Joint Venture
ML	Mining Lease
MOD	Modification
MTW	Mount Thorley Warkworth

Abbreviation	Description
NC	Non-Compliance
NSW	New South Wales
OCE	Open Cut Examiner
OFI	Opportunity for Improvement
PA	Project Approval
PAR	Post-Approval Requirements
PM_{10}	Particulate Matter ≤10 micrometres
$PM_{2.5}$	Particulate Matter ≤2.5 micrometres
QA/QC	Quality Assurance / Quality Control
RMP	Rehabilitation Management Plan
ROBJs	Rehabilitation Objectives
ROM	Run of Mine
RRGRR	River Red Gum Rehabilitation and Restoration (Strategy)
SSD	State Significant Development
STP	Sewage Treatment Plant
TARP	Trigger Action Response Plan
TEOM	Tapered Element Oscillating Microbalance
TSP	Total Suspended Particulates
TSS	Total Suspended Solids
WAL	Water Access Licence
WMP	Water Management Plan

Executive Summary

AECOM Australia Pty Ltd (AECOM) was engaged by Hunter Valley Operations Pty Ltd (HVO) to undertake the 2025 Independent Environmental Audit (IEA) of Hunter Valley Operations North (HVO North) and Hunter Valley Operations South (HVO South). The audit was conducted in accordance with Schedule 5, Condition 10 of Development Consent DA 450-10-2003 (HVO North) and Schedule 5, Condition 5 of Project Approval PA 06_0261 (HVO South).

Hunter Valley Operations is a large open cut coal mining complex in the Upper Hunter Valley of New South Wales, comprising HVO North and HVO South, which are separated by the Hunter River and operated under separate planning approvals. The operation is managed as a joint venture between Yancoal Australia (51%) and Glencore Coal Assets Australia (49%) and produces thermal coal and semi-soft coking coal for domestic and export markets, supported by coal processing, rail load-out, water management, rehabilitation and biodiversity offset activities.

The 2025 IEA was conducted in accordance with the NSW Department of Planning, Housing and Infrastructure (DPHI) Independent Audit Post-Approval Requirements (May 2020). The audit was led by DPHI-approved Lead Auditor Kate Michelmore, supported by Auditor Haley Bates with specialist technical input provided in the areas of noise, air quality, surface water, groundwater and mine rehabilitation.

The audit assessed HVO's environmental performance and compliance over the period from 1 December 2022 to 17 October 2025. Consultation was undertaken with relevant regulatory agencies and the Independent Chair of the Community Consultative Committee (CCC) to inform audit focus areas and identify key issues.

A five-day site inspection was undertaken between 13 and 17 October 2025 and included interviews with key operational and Environment & Community (E&C) personnel, inspection of active mining areas, environmental monitoring infrastructure, water management controls, rehabilitation areas and support facilities. The audit included a detailed review of environmental management systems, implementation of approved management plans, monitoring programs, incident and complaint management, regulatory reporting and responses to previous IEA recommendations.

Compliance was assessed against the conditions of DA 450-10-2003, PA 06_0261, Environment Protection Licence (EPL) 640, relevant mining leases, and associated statutory instruments. The adequacy of environmental management strategies, plans and programs required under the approvals was also reviewed. This report presents the findings of the 2025 IEA.

Audit Findings Summary

The 2025 IEA found that HVO generally demonstrates a high level of compliance with its planning approvals, EPL and other statutory obligations, supported by established corporate systems and an experienced site-based E&C team. Identified non-compliances primarily related to administrative, technical or legacy matters rather than systemic failures or material environmental harm. These include:

- Development Consent non-compliances relating to air quality impact criteria exceedances, isolated monitoring data mis-capture events, delayed implementation of updated management plans pending regulatory approval, late submission of audit documentation, and long-standing biodiversity offset security arrangements associated with the broader Mount Thorley–Warkworth offset strategy.
- EPL 640 non-compliances associated with intermittent air and water monitoring data gaps, isolated missed sampling events due to flooding-related access constraints, QA/QC deficiencies in regulatory reporting, sewage treatment plant certification requirements, dangerous goods and bunding compliance matters, and an unauthorised saline water discharge that resulted in regulatory enforcement action.
- Mining Regulation 2016 (Schedule 8A) non-compliances relating to statutory rehabilitation documentation update and publication timeframes. These matters were administrative in nature, largely self-identified by HVO, and addressed through improved document control processes in consultation with the NSW Resources Regulator.

No non-compliances were identified in relation to water access licences or exploration and assessment leases. Across all findings, HVO demonstrated timely notification to regulators, investigation of root causes, and implementation of corrective and preventative actions where required.

The audit also identified several Opportunities for Improvement (OFIs) to further strengthen environmental performance and compliance assurance. These include improvements to document control and version management, consolidation and clarity within biodiversity and water management plans and enhanced QA/QC processes for regulatory reporting.

Conclusion

HVO demonstrates a high level of environmental management maturity, characterised by transparent reporting, strong procedural compliance and the adoption of innovative, risk-based controls. The audit observed several examples of good implementation of environmental controls, including the use of a digital Ground Disturbance Permit system with automated environmental triggers, proactive blast management through Pre-Blast Dust and Fume Trigger Action Response Plans, and real-time dust and weather management supported by integrated Trigger Action Response Plan (TARP) alarms, in-field and camera-based inspections and supervisor reporting. HVO is also demonstrating innovation in heavy vehicle noise management through source-based noise reduction design, reducing reliance on traditional attenuation measures.

No material environmental harm was identified during the audit period. Key ongoing focus areas relate to administrative alignment, including approval of updated management plans, closure of remaining Sewage Treatment Plant (STP) certification requirements, and continued improvement in regulatory reporting accuracy and consistency.

1.0 Introduction

AECOM Australia Pty Ltd (AECOM) was engaged by Hunter Valley Operations Pty Ltd (HVO), and endorsed by the NSW Department of Planning, Housing and Infrastructure (the Department), to undertake the 2025 Independent Environmental Audit (IEA) for HVO.

HVO is divided into two distinct operational areas, HVO North and HVO South, separated by the Hunter River and managed under separate planning approvals. This IEA has been commissioned as a requirement of Schedule 5, Condition 10 of Development Consent DA 450-10-2003 (HVO North) and Schedule 5, Condition 5 of Project Approval PA 06_0261 (HVO South).

Each consent includes a requirement to commission an IEA every three years. In January 2025, the Department approved HVO's request to undertake a combined IEA covering both HVO North and HVO South, and granted an extension for commissioning until 3 November 2025.

1.1 Background of the project

HVO is a large-scale coal mining complex located approximately 24 kilometres north-west of Singleton in the Hunter Valley of New South Wales (NSW). The operations are managed through a Joint Venture (JV) between Glencore Coal Assets Australia and Yancoal Australia Ltd.

1.1.1 Overview and Approval History

HVO is one of the longest-operating coal mining complexes in the Hunter Valley, with a history of mining extending for more than 65 years. Mining commenced in the 1950s and progressively expanded across a number of open cut pits and supporting facilities.

Prior to 2003, the operation was regulated under a complex framework of more than 18 separate development consents, each applying to different components of the site and reflecting its incremental expansion over several decades.

In 2003, these consents were consolidated into two principal approvals administered by the Department:

- DA 450-10-2003 for HVO North; and
- PA 06_0261 for HVO South.

Since the consolidation of approvals in 2003, both HVO North (DA 450-10-2003) and HVO South (PA 06_0261) have been subject to a series of modifications. Within the current audit period (1 December 2022 – 17 October 2025), two modifications were determined:

- HVO North – Mod 8 (24 Apr 2025): extension of time for West Pit operations to 31 Dec 2026.
- HVO South – Mod 8 (6 Feb 2023): construction of a High Density Ammonium Nitrate (HDAN) storage compound.

The table below summarise all approved modifications, including determination dates and key changes.

Table 1 Summary of Modifications to HVO Approvals

Approved	Mod No.	Determination Date	Description
HVO North DA 450-10-2003	Mod 1	19 Nov 2004	Adjustment to initial West Pit consent (early administrative/operational change).
	Mod 2	18 Oct 2006	Further amendment to early West Pit consent conditions (administrative/operational).
	Mod 3	19 March 2013	Extension of Carrington Pit within HVO North.
	Mod 4	16 Jan 2014	Approval of fine reject emplacement arrangements (i.e. placement / management of fine coal rejects) in the HVO North area.

Approved	Mod No.	Determination Date	Description
	Mod 5	9 Dec 2016	Addition or upgrade of sediment basins and installation / modification of communication towers (for site operations) in HVO North.
	Mod 6	25 Jan 2017	Approved changes for in-pit fine reject emplacement in Carrington Pit (i.e. managing fine rejects within pit rather than external emplacement).
	Mod 7	28 Jul 2017	Amendment of consent boundary (adding lots / DP to include mining areas within the consent boundary), and inclusion of haul road lands originally approved under a separate consent (DA 77/20) into DA 450-10-2003.
	Mod 8	24 Apr 2025	Extension of time for mining operations (specifically the open cut coal mine operations at the West Pit) to 31 December 2026.
HVO South PA 06_0261	Mod 1	17 Dec 2009	Modification of Lake James storage capacity in the HVO South water management system (i.e. changing how much water can be stored in Lake James).
	Mod 2	3 Feb 2012	Replace the Archerfield biodiversity offset area with an alternate site within Coal & Allied's larger Goulburn River biodiversity offset area.
	Mod 3	31 Oct 2012	Administrative adjustments: provide specific reference to the Goulburn River biodiversity offset area and clarify that no mining would occur in offset lands within the approval boundary.
	Mod 4	31 Oct 2012	Clarification amendments in relation to biodiversity offset lands, as part of the same set of modifications (together with Mod 3) to better define the offset framework.
	Mod 5	28 Feb 2018	Progression of mining deeper seams in Riverview and South Lemington Pit 2 within existing disturbance footprint, increase in ROM production from 16 to 20 Mtpa, increase in overburden emplacement height (incorporating micro-relief in final landform).
	Mod 6	26 Nov 2021	Authorisation for onsite manufacture of ammonium nitrate emulsion (i.e., enabling a plant / facility on HVO South for the emulsion).
	Mod 7	27 May 2022	Permitting water storage in Lemington Underground Workings (i.e. use of underground voids for water storage) as part of the approval for HVO South.
	Mod 8	6 Feb 2023	Approval for construction of a high density ammonium nitrate (HDAN) storage compound on site.

1.1.2 Topography and Surrounding Land Use

The topography of the area is characterised by undulating lowlands associated with the Hunter River floodplain and dissected ridgelines that form natural boundaries around mining areas. Elevations across the site generally range from 60 to 250 metres Australian Height Datum (AHD).

The surrounding land uses are a mix of rural grazing, cropping and viticulture, rural residential dwellings, and other large-scale open cut coal mining operations including Liddell, Mt Arthur, Ravensworth, Glendell, and United Wambo. The Hunter River bisects the complex, separating HVO North and HVO South, and forms a key hydrological and ecological feature of the region.

1.1.3 Operations

HVO is a multi-pit open cut coal mining complex producing high-quality thermal coal and semi-soft coking coal. Operations are supported by coal handling and preparation plants (CHPPs), rail load-outs, workshops, haul roads, and mine water management infrastructure.

- HVO North (DA 450-10-2003):
  - West Pit – active mining continues by truck-and-shovel methods,
  - Carrington Pit – active tailings storage facility and rehabilitation maintenance activities.
  - Mitchell Pit – development commenced in 2024 and remains a high-focus area due its proximity to sensitive topography, requiring enhanced erosion and sediment controls, and its increased potential for air quality, noise and blasting impacts.
  - Older sections of West and Carrington are under progressive rehabilitation.
  - The Hunter Valley CHPP with product coal transported via overland conveyor to Hunter Valley Load Point for railing to the Port of Newcastle).
  - The Howick CHPP with product coal transported via road to the Newdell Load Point for railing to the Port of Newcastle.
- HVO South (PA 06_0261):
  - Cheshunt Pit – active mining continues by truck and shovel methods
  - Riverview Pit – active mining continues, along with rehabilitation maintenance activities.
  - Lemington South– historical mining area under care and maintenance.
  - Dragline mining ceased in 2023 – both North and South now operate with truck-and-shovel methods.
  - Ongoing ammonium nitrate emulsion production and storage as per MOD 6 and MOD 8.

1.2 Audit Objectives

The objectives of this IEA are to:

- Assess compliance with the conditions of Development Consent DA 450-10-2003 (HVO North) and Project Approval PA 06_0261 (HVO South), as well as relevant Mining Leases, Environment Protection Licences (EPLs) and Water Licences.
- Evaluate the environmental performance of the development, including implementation of management plans, monitoring programs, and mitigation measures.
- Review the adequacy of environmental management strategies, plans and programs required under the approvals.
- Recommend measures to improve the environmental performance of the operation and/or the adequacy of strategies, plans and programs.
- Consult with relevant agencies and the HVO Community Consultative Committee (CCC) as required under the consents.
- Report findings to the satisfaction of the NSW Department of Planning, Housing and Infrastructure (the Department), in accordance with the Independent Audit Post Approval Requirements (May 2020) (Independent Audit PAR).

1.3 Audit Scope

The IEA has been commissioned in accordance with Schedule 5, Condition 10 of DA 450-10-2003 (HVO North) and Schedule 5, Condition 5 of PA 06_0261 (HVO South). These conditions require the Applicant to commission an independent audit every three years, led by a suitably qualified and endorsed auditor, with input from technical specialists in noise, air quality, surface water, groundwater and rehabilitation.

In line with these conditions and the Independent Audit PAR, the scope of the 2025 IEA included:

- All activities carried out under DA 450-10-2003 (HVO North) and PA 06_0261 (HVO South);
- Associated statutory instruments, including Environment Protection Licence, Mining Leases and Water Licences;
- The audit period from 1 December 2022 to 17 October 2025;
- Consultation with relevant agencies and the HVO CCC; and
- Assessment against AS/NZS ISO 19011:2014 *Guidelines for auditing management systems*.

In addition to the principal planning approvals (DA 450-10-2003 and PA 06_0261), HVO is regulated under a number of statutory instruments that form part of this IEA scope. These include Environment Protection Licences, Mining Leases, Water Access Licences, Aboriginal Heritage Permits, and other relevant statutory approvals.

The table below lists the approvals, licences and leases that were assessed as part of the 2025 IEA.

Table 2 Summary of HVO Approvals, Licences and Leases

Reference	Description	Applicability
DA 450-10-2003	MOD 8 Consolidated Consent. Regulated by DPHI.	HVO North
PA 06_0261	MOD 8 Consolidated Consent. Regulated by DPHI.	HVO South
Environmental Protection Licence (EPL)	EPL 640 – Regulated by the NSW EPA	HVO North & South
Assessment Leases (AL)	Prospecting leases only – AL 32, AL 33, AL 34	
Authorisation	Prospecting AUTH 72	
Consolidated Coal Lease (CCL)	Prospecting and Mining Coal Leases – CCL 708 (part subleased), CCL 714, CCL 755	
Coal Leases (CL)	CL 327, CL 359, CL 360, CL 398, CL 584	
Mining Leases (ML)	ML 1324, ML 1337, ML 1359, ML 1406, ML 1428, ML 1465, ML 1474, ML 1482, ML 1500, ML1 526, ML1560 , ML 1589, ML 1622, ML 1634, ML 1682, ML1704, ML1705, ML 1706, ML 1707, ML 1710, ML 1732, ML 1734, ML 1748, ML 1753, ML 1810, ML 1811, ML 1840, ML 1841, ML 1849, ML 1867, ML 1869, ML 1870, ML 1871	
Consolidated Mining Lease (CML)	CML 4	
Exploration Licences (EL)	Prospecting licences only – EL 5291, EL 5292, EL 5417, EL 5418, EL 5606, EL 8175, EL 8821	
Aboriginal Heritage Permit	Care Agreement C0004768, AHIP C0002193, AHIP 5219 – Regulated by NSW DCCEEW	
Water Licences	Groundwater Monitoring and Extraction Bores under *Part 5 Water Act 1912*. Licence Numbers: 20BL030566, 20BL141584, 20BL166637, 20BL168820, 20BL169241, 20BL169641, 20BL170496, 20BL170497, 20BL170498, 20BL171423, 20BL171424, 20BL171425, 20BL171426, 20BL171427, 20BL171428, 20BL171429, 20BL171430, 20BL171431, 20BL171432, 20BL171433, 20BL171434, 20BL171435, 20BL171436, 20BL171437, 20BL171439, 20BL171492, 20BL171681, 20BL171725, 20BL171726, 20BL171727, 20BL171728, 20BL171762,	

Reference	Description	Applicability
	20BL171851, 20BL171852, 20BL171853, 20BL171854, 20BL171855, 20BL171856, 20BL171857, 20BL171858, 20BL171895, 20BL171896, 20BL171897, 20BL171898, 20BL173062, 20BL173065, 20BL173063, 20BL173064, 20BL173069	
Water Access Licences (WAL)	Works Approvals, Stream Diversions, Levees and Pumping Plants under *Water Management Act 2000* and *Water Act 1912*. Licence Numbers: 20CA201247 (WAL965), 20CA212713 (WAL36190), 20FW213280, 20FW213281, 20FW213277, 20FW213278, 20WA210991 (WAL18307), 20WA211427 (20SL061290), 20WA210985 (WAL18327 / 20SL042746), 20WA211428 (20SL061594), 20WA201238 (WAL962), 20WA201257 (WAL970), 20WA201338 (WAL1006), 20WA201501 (WAL1070)	

1.4 Audit Team

The Audit Team consisted of the following qualified, experienced and independent personnel listed in Table 3.

Table 3 IEA Audit Team

Name	Company	Role	Qualifications & Relevant Experience
Kate Michelmore	AECOM	Lead Auditor	BSc (Environmental Forensics); Exemplar Global certified Lead Auditor; 14+ years' experience in environmental compliance, approved by Government Regulators to manage the delivery of IEAs and EPBC audits for major coal mines, power stations, and industrial facilities across Australia.
Haley Bates	AECOM	Auditor	BEnvSc (Biology); 18 years' experience in WHS auditing, occupational hygiene, and contaminated land; recent IEA experience at Liddell Coal Mine, Mangoola Coal Mine and Ulan Underground Coal Mine.
Sophie Clayton	AECOM	Assistant Auditor	B Forensic Sc (Applied Chemistry); 5 years' experience in environmental compliance sampling under EPLs, environmental auditing, occupational hygiene, and contaminated land.
Patrick Martinez	AECOM	Noise Specialist	BEng (Mechanical); MAAS; 29+ years in acoustics and vibration; extensive mining experience incl. Ravensworth and Bengalla; expert in noise monitoring and modelling.
Jamie McMahon	AECOM	Mine Rehabilitation Specialist	BEnv Sc (Hons); Certified Environmental Practitioner – Impact Assessment specialist. 21 years' experience in ecological impact assessment, ecological investigations, environmental planning and assessment, rehabilitation and mine closure. IEA experience at Liddell Coal Mine and Ulan Underground Coal Mine.
Kelly Mulhearn	AECOM	Surface Water Specialist	BEng (Env)(Hons); 20 years' experience in stormwater management, drainage design, water quality assessment, environmental impact assessment, erosion and sediment control, environmental management and project

Name	Company	Role	Qualifications & Relevant Experience
			management. IEA experience at Liddell Coal Mine, and Ulan Underground Coal Mine.
Stuart Graham	AECOM	Groundwater Specialist	BSc (Geo/Chem Hons); 20 years' experience in managing environmental projects involving groundwater investigations, remediation (in-situ and ex-situ), 3D modelling, risk assessments, and providing technical support for hydrogeological studies, site investigations, and remediation planning.
David Rollings	AECOM	Air Quality Specialist	BEng (Chemical); Certified Air Quality Professional; national lead in air modelling (CALPUFF, AERMOD, etc.), IEA experience at Wilpinjong, Liddell, and Cleanaway.

The Department formally endorsed the AECOM audit team to conduct the 2025 IEA on 18 September 2025. A copy of the Department's approval of the audit team is available in **Appendix B**.

2.0 Audit Methodology

2.1 Audit Process

2.1.1 Site Inspection

An audit plan was prepared for the site component of the IEA. A copy of the audit plan is provided in **Appendix F**. A five-day site inspection was conducted at HVO between 13 –17 October 2025.

Weather conditions during the HVO site inspection were dry and warm, with no rainfall recorded across the inspection period and dry conditions in the weeks leading up to the audit. Daytime maximum temperatures ranged from 26 – 32°C, with afternoon winds generally from the north-west, reaching gusts of 43–83 km/h.

The following areas of the site were inspected by the audit team. Refer to the photographic log in **Appendix G** for additional context on the auditors site observations:

- Train Loading Points
- CHPPs
- Maintenance Workshop (North & South)
- HVO South Mine Infrastructure Area (MIA)
- Sewage Treatment Plants (STP)
- Water Storages and tailing storage facilities (TSF)
- Rehabilitation areas
- Carrington Billabong
- Operational Pits
- Air quality, noise, blast monitors
- Water monitoring / discharge points
- Sample of Archaeological sites
- Chemical Storage
- Trade Waste

Operations Witnessed by the audit team included:

- West Pit / South Pit operational mining areas
- Coal dumping into CHPP ROM Hopper
- Truck loading to Howick CHPP
- Haul road wet downs
- Dispatch operations
- Pre-blast planning
- Blasting operations (via cameras)
- STP Maintenance
- Light vehicle refuelling
- Heavy vehicle maintenance
- Water truck refilling.

In accordance with ISO 19011:2014 Guidelines for Auditing Management Systems, an opening meeting was held on 13 October 2025 in person onsite and a closing meeting via teams (remote) was held on 23 October 2025. Attendees at the opening and closing meetings is included in **Appendix D**.

2.1.2 On-site Interviews

Interviews were conducted with the following key personnel:

- HVO North Workshop
  - Ian Buffier: Maintenance Engineering Superintendent
  - Darcy Castaldi: Mechanical Engineer
- HVO Dispatch
  - Anthony Beavis: Dispatch Officer
- E&C Department
  - Ben De Somer: Manager, Environment & Community
  - Brenton Hubert: Environment and Community Superintendent
  - Margaret Lannen: Environment & Community Coordinator (Mining Tenements)
  - Nic McLaughlin: Environment & Community Officer (Heritage)
  - Darby O Sullivan: Environment & Community Coordinator (Rehabilitation)
  - Michael Lloyd: Environment & Community Coordinator (Biodiversity)
- HVO South
  - Danny Davey: Fuel Farm Integrated Reliability (Infrastructure Step Up Supervisor)

2.1.3 Audit Evidence

The auditors undertook verification activities to confirm the reliability of audit evidence. This included interviews, data checking, the examination of records, and site inspections. Records were provided by site personnel and additional documents were reviewed whilst on site.

Some aspects of the audit process may have relied on information, such as judgements and assumptions where external supporting evidence was unavailable or limited. Where this information was considered, its validity was confirmed to the extent possible prior to use by the auditors and is noted in appropriate areas of the audit checklists.

The site inspections concentrated on assessment of the effectiveness of environmental management and adequacy of performance. The extent of audit activities was limited to the time available for the audit site inspections and interviews over the five days. The audit involved the review of a significant amount of evidence. Evidence sighted to validate compliance against each audit condition is summarised in the audit checklists in **Appendix A**.

2.2 Agency Consultation

The Lead Auditor requested feedback from the following regulatory agencies and relevant stakeholders:

- NSW Department of Planning, Housing and Infrastructure (the Department)
- NSW Environment Protection Authority (EPA)
- Muswellbrook Shire Regional Council
- Singleton Shire Council
- Department of Climate Change, Energy, the Environment and Water (DCCEEW)
- NSW Resource Regulator

- HVO CCC Independent Chair

Responses were received from the following Regulatory Agencies and Stakeholders:

- NSW Resource Regulator
- Singleton Shire Council
- NSW Environment Protection Authority (EPA)
- HVO CCC Independent Chair.

A summary of the feedback responses received is provided in **Appendix C**

2.3 Compliance evaluation

The compliance status for each audit condition was assessed in accordance with the criteria in Table 4.

Table 4 Compliance Assessment Criteria

Status	Description
Compliant	Currently in compliance. Sufficient verifiable evidence was available to demonstrate that the intent and all elements of the requirement of the regulatory instrument had been complied with within the scope of the audit.
Non-compliant	Currently not in compliance. Sufficient verifiable evidence was available to demonstrate that the intent of one or more specific elements of the regulatory instrument have not been complied with within the scope of the audit.
Not Triggered	Condition not applicable at time of audit or had not been triggered
Noted	A statement or fact, where no assessment of compliance is required.

The terms partial compliance, partial non-compliance, not verified or administrative non-compliance or other similar terms was not used to verify compliance of an audit condition in this IEA. Should an opportunity for improvement (OFI) be made this has been assigned in addition to the compliance descriptors in Table 4 above.

3.0 Audit Findings

3.1 Compliance Overview

This section includes a specific discussion of the identified non-compliances.

As outlined in the Independent Audit PAR (2020) a summary of the assessment of compliance i.e. comparison between the total number of compliance requirements and any non-compliances identified during the reporting period must be provided in the audit report. **Table 5** provides a summary of the assessment of compliance for each approval document audited.

Table 5 Compliance Summary

Document Audited	Compliant	Non-Compliant	Not Triggered	Noted	Total Conditions
DA 450-10-2003	76	6	34	1	117
PA 06_0261	68	7	27	2	104
EPL 640	84	6	23	11	124
Standard Conditions for Mining Leases	24	3	2	5	34

Sections 3.2 below summarise the non-compliances identified against DA 450-10-2003, PA 06_0261, Standard Conditions for Mining Leases and EPL 640. No non-compliances were identified against HVO's water licences, exploration licences or assessment leases. Details include the relevant consent condition, the condition reference number, a unique non-compliance identification number, details of the non-compliance and the auditor's recommended actions that are proposed to be taken or have been taken to address the non-compliance.

3.1.1 Status of the previous IEA Recommendations

A review of the previous IEA recommendations was conducted to confirm the status of the actions implementation. All recommendations had been adequately actioned.

The 2022 HVO IEA actions (RPS, 2023) and their status at the time of the 2025 IEA is provided in **Appendix E**.

3.2 IEA Non-Compliance Summary

Identified non-compliances and recommendations are presented in **Table 6** below.

Table 6 Summary of identified Non-Compliances

<table>
<tr><th>NC ID</th><th>Criteria</th><th>Requirement Summary</th><th>Details of Non-Compliance and Recommendation</th></tr>
<tr><td colspan="4">DA 450-10-2003 (HVO North)</td></tr>
<tr><td>NC-001</td><td>S2 C2
S2 C2A</td><td>The Applicant must carry out the development in accordance with the conditions of this consent.</td><td>During the audit period, several specific non-compliances were identified against individual consent conditions applicable to HVO North & South. These non-compliances have been assessed and documented under their respective conditions throughout this checklist. These non-compliances demonstrate that not all consent conditions were complied with during the audit period.

While HVO generally implements the requirements of DA 450-10-2003 and PA 06_0261, the non-compliances identified against specific conditions mean that S2 C2A cannot be assessed as compliant.

No recommendation has been raised against this condition as it is a general compliance obligation that reflects adherence to all individual consent conditions.</td></tr>
<tr><td>NC-002</td><td>S3 C4A</td><td>Except for the air quality affected land in Table 1, the Applicant must ensure that all reasonable and feasible avoidance and mitigation measures are employed so that particulate matter emissions generated by the development do not exceed the criteria listed in Tables 2, 3 or 4 at any residence on privately-owned land or on more than 25 percent of any privately-owned land.

Table 2: Long term criteria for particulate matter
<table><tr><th>Pollutant</th><th>Averaging Period</th><th>[d] Criterion</th></tr><tr><td>Total suspended particulate (TSP) matter</td><td>Annual</td><td>[a] 90 µg/m³</td></tr><tr><td>Particulate matter < 10 µm (PM_{10})</td><td>Annual</td><td>[a] 30 µg/m³</td></tr></table>
Table 3: Short term criterion for particulate matter
<table><tr><th>Pollutant</th><th>Averaging Period</th><th>[d] Criterion</th></tr><tr><td>Particulate matter < 10 µm (PM_{10})</td><td>24 hour</td><td>[b] 50 µg/m³</td></tr></table>
Table 4: Long term criteria for deposited dust
<table><tr><th>Pollutant</th><th>Averaging Period</th><th>Maximum increase in deposited dust level</th><th>Maximum total deposited dust level</th></tr><tr><td>[c] Deposited dust</td><td>Annual</td><td>[b] 2 g/m²/month</td><td>[a] 4 g/m²/month</td></tr></table></td><td>Exceedances of the criteria in Tables 2 and 3 were recorded during the audit period, therefore, this condition is assessed as non-compliant.

Short-term PM_{10} exceedances were recorded at Cheshunt East, Jerry's Plains, and Kilburnie South between 2023 and early 2025. Annual average exceedances for PM_{10} and $PM_{2.5}$ were also recorded in 2023 and 2024.

Prior to the approval of Modification 8, short-term PM_{10} compliance was assessed against the total impact criterion, requiring exceedances to be recorded where the combined background and project contribution exceeded the limit. Following approval of Modification 8, the consent was amended so that short-term PM_{10} is now assessed on an incremental contribution basis only, with exceedances recorded only where HVO's contribution exceeds 50 µg/m³. As a result, the majority of short-term PM_{10} exceedances identified during the audit period reflect the former requirement to assess and record total impacts, rather than exceedances attributable to HVO's incremental emissions alone.

No recommendation has been raised for this non-compliance as, notwithstanding the exceedances of the air quality criteria identified during the audit period, HVO is considered to have implemented reasonable and feasible avoidance and mitigation measures consistent with the development consent.</td></tr>
</table>

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
NC-003	S3 C6	The Applicant must implement the Air Quality Management Plan as approved by the Planning Secretary.	A non-compliance was identified against the requirement to implement the approved Air Quality Management Plan (AQGGMP) due to periods of air quality data mis-capture at several monitoring locations, including Cheshunt East, Wandewoi and Kilburnie South. These mis-captures resulted from equipment malfunction, telemetry failures, power interruptions and isolated invalid samples identified through post-processing quality assurance checks. **No recommendation has been made as the mis-captures were technical and non-systemic, were identified and rectified promptly, and did not result in unreported exceedances. In addition, annual data capture rates remained within regulatory expectations.**
NC-004	S3 C27	The Applicant must prepare a Water Management Plan for the HVO North mine to the satisfaction of the Secretary.	The currently approved Water Management Plan (WMP) (Version 3.0, 2018) did not adequately addresses the full requirements of S3 C27 due to operational changes, consent modifications and updated modelling frameworks. HVO has updated the WMP to ensure it remains adequate and reflective of current operations however this plan was yet to be approved by the Secretary at the time of the audit period concluding. HVO were in the process of following up on the Departments review and endorsement of the WMP at the time of the audit period concluding. **On this basis no recommendation has been applied to this finding.**
NC-005	S5 C11	Within 12 weeks of commencing each audit, or as otherwise agreed by the Planning Secretary, the Applicant must submit a copy of the audit report to the Planning Secretary with a response to any recommendations contained in the audit report, and a timetable for the implementation of the recommendations. The Applicant must implement these recommendations.	A submission letter was provided to the Department on 23 February 2023. Schedule 5 Condition C6 requires the IEA to be submitted within 12 weeks of commencing the audit. 12 weeks from the commencement of the audit on 28 November is 20 February 2023. As such HVO have not complied with this condition. HVO have implemented actions in the compliance tracking system CMO to ensure adherence to submission dates. **As a result, no recommendation has been deemed necessary.**
PA 06_0261 (HVO South)			
NC-006	S2 C2A	The Applicant must carry out the development in accordance with the conditions of this consent.	Refer NC-001

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
NC-007	S3 C11	HVO must carry out regular blast monitoring to determine whether the development is complying with the relevant conditions of this consent,	During the audit period, one blast monitoring anomaly was identified at the Maison Dieu compliance monitor in 2024. The KABOOM monitoring system failed to correctly capture airblast and/or vibration data for a scheduled blast event. Although the blast itself remained well within the modelled and expected compliance envelope, the absence of valid monitoring data constitutes a non-compliance with the monitoring and reporting requirements of the development consent and EPL. **No recommendation has been made on the basis of this being an isolated event which was rectified following identification.**
NC-008	S3 C19	The Applicant must ensure that all reasonable and feasible avoidance and mitigation measures are employed so that particulate matter emissions generated by the development do not exceed the air quality impact assessment criteria listed in Table 8 at any residence on privately-owned land, the Hunter Valley Gliding Club (when in use) or on more than 25 percent of any privately-owned land.	HVO were found to be non-compliant with Condition 19 of Schedule 3 due to exceedances of annual average criteria for TSP measured by the Warkworth HVAS. Two exceedances triggering this non-compliance of the total impact annual TSP criterion (90 µg/m³) were recorded at the Warkworth HVAS in both 2023 and 2024, they include: • 2023: Measured 130.8 µg/m³; HVO South contribution = 51.9 µg/m³ (39.7%). • 2024: Measured 137.5 µg/m³; HVO South contribution = 41.6 µg/m³ (30.3%). TSP monitoring at Warkworth is proposed for removal in the updated AQGGMP, which had been submitted to the Department but was not yet approved at the time of the audit period concluding. Until approval occurs, compliance continues to be assessed against the monitoring network described in the currently approved AQGGMP (HVO, 2022). HVO were in the process of following up on the Departments review and endorsement of the updated AQGGMP at the time of the audit period concluding. **On this basis no recommendation has been applied to this finding.**
NC-009	S3 C23	The Applicant must implement the Air Quality Management Plan as approved by the Planning Secretary.	A review of the air quality exceedance and incident register identified multiple data mis-captures at monitoring locations relevant to HVO South, primarily at: • Warkworth HVAS/TEOM – TSP • Maison Dieu – $PM_{2.5}$ / PM_{10} (HVAS) • Kilburnie South – $PM_{2.5}$ / PM_{10} (HVAS) These mis-captures were due to instrument malfunction, invalid samples, telemetry failures, or power interruptions, and resulted in periods where valid monitoring data were not obtained.

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
			Mis-captures do not constitute exceedances of impact assessment criteria, however, they represent a failure to implement the approved monitoring program and therefore constitute a non-compliance against the implementation of the AQGGMP. **No recommendation has been made as the mis-captures were technical and non-systemic, were identified and rectified promptly, and did not result in unreported exceedances.**
NC-010	S3 C27	The Applicant must prepare a Water Management Plan to the satisfaction of the Planning Secretary. The Applicant must implement the Water Management Plan as approved by the Planning Secretary.	Refer NC-004 against Schedule 3, Condition 27 of DA 450-10-2003 HVO North.
NC-011	S3 C29A	By the end of June 2018, unless the Planning Secretary agrees otherwise, the Applicant must secure the offset area identified in condition 29 under an in perpetuity conservation mechanism to the satisfaction of the Planning Secretary.	Legal security of the 140 ha Goulburn River Offset Area (due June 2018) remains outstanding. The delay arises from regulatory processes and landownership/offset alignment issues outside HVO's direct control. With the offset land owned by Yancoal and linked to the broader Mount Thorley Warkworth (SSD-6464) offset strategy. The matter has been ongoing since 2016, subject to repeated extensions and Department direction, and remains unresolved pending determination of the MTW modification and associated equivalence assessment.
NC-012	S5 C6	Within 12 weeks of commencing each audit, or as otherwise agreed by the Planning Secretary, the Applicant must submit a copy of the audit report to the Planning Secretary with a response to any recommendations contained in the audit report, and a timetable for the implementation of the recommendations. The Applicant must implement these recommendations.	Refer NC-005 against Schedule 5 Condition 11 of DA 450-10-2003.
EPL 640			
NC-013	P1.3	Condition P1.3 identifies the authorised monitoring and/or discharge points under the licence for the purposes of monitoring and setting limits for discharges of pollutants to water. The licensee must undertake monitoring at these specified points in accordance with the licence	On 29 March 2023, HVO did not undertake the required quarterly ambient water quality monitoring at H3 – Hunter River downstream of Wollombi (EPA ID #47), which is an authorised monitoring point identified under Condition P1.3 of EPL 640. The missed monitoring event resulted from site access constraints caused by flooding and washed-out access tracks that prevented the monitoring contractor from safely

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
		requirements to demonstrate compliance with water quality monitoring and discharge conditions.	accessing the location. The sample was subsequently collected during the next scheduled monitoring event, however, the required quarterly sample for that period was not obtained, constituting a breach of the licence condition. **No recommendation has been raised for this non-compliance as the missed monitoring event resulted from exceptional access constraints caused by flooding and washed-out access tracks, which were outside HVO's control. The monitoring location was sampled at the next available monitoring round, and no ongoing or systemic issues with access or monitoring program implementation were identified.**
NC-014	O2.6	The licensee must prepare a sewage treatment system maintenance program. The program must include: a) Certification from the system provider that the sewage treatment system is operating within its capacity;	Across the 2023–24 and 2024–25 reporting periods, HVO remained non-compliant with EPL 640 Condition O2.6(a), which requires certification from the system provider confirming that each sewage treatment plant (STP) operates within capacity. Certification was unavailable as the original provider is no longer engaged and capacity documentation is missing. The HVO North STP was upgraded in May 2024 and is now certified. The HVO West STP has been decommissioned and now functions as a transfer/storage tank. The HVO South STP upgrades (new pumps, UV lamps, and chlorine disinfection) were completed in July 2025, enabling future certification. Full compliance will be achieved once the HVO South STP certification is obtained. **REC-001 - HVO should obtain certification from the system provider confirming that the HVO South Sewage Treatment Plant is operating within its design capacity, in accordance with Condition O2.6(a) of EPL 640, to achieve full compliance.**
NC-015	M2.2	Air monitoring requirements. Licensee to undertake continuous PM_{10} monitoring at the specified monitoring points using the approved sampling method, with results reported in the prescribed units of measure.	Condition M2.2 requires continuous PM_{10} monitoring at Points 13, 15, 16, 17 and 44 using the specified method. During the audit period, several short-term data gaps occurred between December 2022 and March 2025 across the Howick, Wandewoi, Knodlers Lane, Golden Highway and West Pit TEOM monitoring sites due to power outages, instrument faults, calibration activities, logger failures and scheduled maintenance. While faults were rectified promptly and annual data capture rates remained high (approximately 95–99%), the presence of these interruptions means continuous monitoring was not achieved at all times, and the condition is therefore assessed as non-compliant. **No recommendation has been raised for this non-compliance as the data gaps were short-term, attributable to unavoidable operational factors (e.g. power**

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
			outages, equipment faults, calibration and maintenance activities), and were promptly rectified. Annual PM_{10} data capture rates remained high and consistent with regulatory expectations, and no ongoing or systemic deficiencies in the air quality monitoring network were identified.
NC-016	M8.1	Airblast overpressure and ground vibration levels must be measured and electronically recorded for all blasts at the nominated monitoring points, using the specified units of measure, sampling methods and frequencies.	On 1 July 2024, HVO did not fully comply with Condition M8.1, which requires airblast overpressure and ground vibration to be measured and electronically recorded at nominated monitoring points. The Maison Dieu blast monitor failed to capture valid monitoring data for Blast P210WK607A, fired at approximately 2:05 pm in Cheshunt Pit 2, due to a malfunction affecting the monitor's memory card. The monitor was inspected by the monitoring contractor on the day of the incident and immediately replaced. Data from other compliance monitoring locations confirmed that blasting levels were well within applicable vibration and overpressure criteria, the Maison Dieu monitor was located approximately 4.4 km from the blast epicentre, and no complaints were received. The incident occurred once, with the last recorded exceedance at this location having occurred in June 2020. **No recommendation has been raised for this non-compliance as the issue was isolated, promptly identified and rectified on the day through immediate replacement of the faulty monitoring equipment.**
NC-017	R5.8	The licensee must provide an annual water quality monitoring report to the EPA with each Annual Return. The report must be prepared by an appropriately qualified and experienced person and include the following: a) for the monitoring required by the licence during the reporting period to which the Annual Return relates: (i) a summary of results for all ambient water quality monitoring required by the licence in table form and graphical form; (ii) total daily rainfall records from the premises meteorological monitoring required by the licence on the day that the sampling was undertaken in table form; (iii) total daily continuous rainfall records in graphical form; and (iv) a plan with the monitoring locations.	HVO submitted Annual Water Quality Monitoring Reports with its EPL 640 Annual Returns, however, multiple discrepancies were identified between values reported in the Annual Return tables and the underlying raw monitoring data (including incorrect parameters reported, mismatched EC and pH values, substitution of "<5" results as "5", incorrect or inconsistent datasets, and formatting errors). A specific reporting error was identified whereby Table 4-4 of the 2024–2025 Annual Return contains data from the 2023–2024 Annual Return. Broken internal formatting links were also identified in the 2022–2023 report attachment, indicating inadequate QA/QC over regulatory reporting. **REC-002: HVO should review the root cause of the errors and confirm appropriate processes are in place to ensure the accuracy of data presented in external reports.**

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
NC-018	E1.1	This licence authorises the discharge of saline water into the Hunter River Catchment from an authorised discharge point (or points), in accordance with the Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002.	**Dam 17N Unauthorised Discharge** The IEA assessed Condition E1.1 of EPL 640 as non-compliant due to an unauthorised discharge of saline mine water from the Dam 17N pump station to Farrells Creek during the audit period. Maintenance activities resulted in an air-activated diaphragm pump being configured such that water from the Dam 17N sump was intermittently pumped via a hose directed through a gap in an earthen bund to Farrells Creek over approximately 10 days, rather than being returned to the dam. The discharge did not occur from an authorised HRSTS discharge point and was outside a permitted site discharge period. While HVO initially assessed, based on field sampling, that there was no potential for environmental harm, the EPA subsequently determined that the incident posed a risk of potential environmental and human health harm and issued a penalty notice on 16 December 2024 for breach of Condition E1.1. On this basis, the IEA concluded that the requirements of Condition E1.1 were not met for the audit period. **No recommendation has been raised for this non-compliance as HVO has implemented appropriate corrective and preventative measures to address the identified cause of the incident.**
			Parnells Dam Discharge A minor unauthorised discharge occurred on 15 December 2022 from EPL Point 4 (Parnells Dam) after the scheduled end of HRSTS block 2022-350. The residual flow resulted from remnant water retained in the dissipator dam, a time lag between valve closure and flow cessation, and a power failure that prevented effective pump operation. Although HVO reported that the power issue was resolved, dam levels were lowered and flow subsequently ceased, the discharge extended beyond the authorised discharge period, indicating that controls in place at the time were insufficient. HVO has advised that the weir method for flow measurement has been retained, with in-pipe monitoring to be implemented as part of the proposed Parnells Dam enlargement under the HVCOP, and that the EPL was varied earlier this year to revert to the weir method for consistency. Current discharge procedures now include verification of dissipator dam pump functionality prior to discharge and the application of buffer time before the end of discharge blocks to reduce the likelihood of recurrence.

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
			No recommendation has been raised for this non-compliance as HVO has implemented appropriate corrective and preventative measures to address the identified cause of the incident.
Standard Condition for Mining Leases			
NC-019	*Mining Regulation 2016 (NSW),* Schedule 8A, Division 3, Clause 11	The holder of a mining lease must amend the rehabilitation management plan for the mining lease, to substitute the proposed version of a rehabilitation outcome document with the version approved by the Secretary—within 30 days after the document is approved.	The HVO Rehabilitation Objectives (ROBJs), approved on 13 August 2024, were not incorporated into the HVO Rehabilitation Management Plan within the required 30-day timeframe. The RMP was updated on 8 October 2024, exceeding the regulatory deadline. This issue was self-identified by HVO through an internal audit and formally reported to the NSW Resources Regulator on 31 July 2025. HVO attributed the non-compliance to administrative oversight. The NSW Resources Regulator issued a formal letter on 12 August 2025 confirming that HVO had committed multiple administrative offences under the Mining Act 1992 relating to Schedule 8A obligations, including failure to publish the approved ROBJs within 14 days (Clause 11). After considering the administrative nature of the breaches, HVO's cooperation, compliance history, and public interest, the Regulator determined that no further enforcement action would be taken. **No recommendation is required as the non-compliance was administrative, low-risk, self-identified by HVO, and promptly reported to the Regulator. The RMP has since been updated, and HVO has strengthened its internal document-control processes. The Regulator reviewed the matter and determined no further action was necessary, therefore no recommendation has been made.**
NC-020	*Mining Regulation 2016 (NSW),* Schedule 8A, Division 3, Clause 16(2)	The holder of a mining lease must make a document to which this clause applies publicly available by— (a) publishing it on its website in a prominent position,	The 2023 Annual Rehabilitation Report (ARR) ARR0001048 was not published on the HVO public website within the required 14-day timeframe, constituting a breach of Schedule 8A, Clause 16(2). At the time of the audit the required documents (the 2024 ARR, the Rehabilitation Management Plan and the current Forward Program) were available on the HVO public website. However, it is noted that ARRs from previous years were not published, however, this is not required under Schedule 8A. Publication of prior ARRs could improve transparency but does not affect compliance. **Recommendation: No recommendation made. Refer justification against NC-019**

NC ID	Criteria	Requirement Summary	Details of Non-Compliance and Recommendation
NC-021	*Mining Regulation 2016 (NSW),* Schedule 8A, Division 3, Clause 16(3)	If a document is published on the website of the holder of the mining lease, the holder must ensure that it is published— (a) for a rehabilitation management plan—within 14 days after it is prepared or amended, or (b) for a forward program or an annual rehabilitation report—within 14 days after it is given to the Secretary or amended,	During the audit period, HVO did not meet these timeframes for several statutory documents. The NSW Resources Regulator investigation letter (12 August 2025) confirmed the following sustained breaches of Clause 16: • Forward Program FWP0001105 (submitted 3 November 2022) – not published within 14 days. • Forward Program FWP0001133 (submitted 30 March 2023) – not published until 5 December 2023. • Annual Rehabilitation Report ARR0001048 – not published within 14 days. • Rehabilitation Management Plan Version 1.1 (finalised 11 August 2023) – not published until 5 December 2023. These issues were administrative in nature and were self-reported by HVO to the Regulator on 31 July 2025. The Regulator sustained the non-compliances across 41 mining titles, but determined that no further action would be taken, noting HVO's cooperation, compliance history and absence of environmental harm. HVO has since implemented additional compliance controls within its Compliance Management System (CMO) to ensure future adherence to Clause 16 publication timeframes. **Recommendation: No recommendation made. Refer justification against NC-019**

4.0 Environmental Performance

The following section is prepared to address the requirements of HVO North DA 450-10-2003 Schedule 5, Condition 9, HVO South PA 06_0261, Condition 10 and the 2020 Independent audit PAR. The section is delivered in the following sections:

- **Section 4.1** – General overview of environmental management inclusive of the following:
  - A review of relevant operating systems, risk management approach, management interaction as well as training and competencies of staff, contractors and visitors at HVO.
  - A review of any notices, orders, penalty notices or prosecutions issued in relation to the consents during the audit period.
  - A high-level review on community complaint management.
- **Sections 4.2 – 4.13** – Specific environmental topics inclusive of the following:
  - Confirmation on the status of the previous IEA findings and if any repeat findings were identified.
  - A review of community complaints received during the audit period and the adequacy of the response to and management of complaints.
  - Confirmation on operational management measures implemented during the audit period
  - Review of monitoring results and discussion of any exceedance investigations.
  - Summary of predicted impacts compared to actual impacts recorded during the audit period.
  - Feedback received from the appointed specialists and feedback on the status of compliance between actual and predicted impacts documented in environmental impact assessments/ environmental assessments issued under the Consents.
  - A review of incidents and non-compliances during the audit period including review of the adequacy of the response and management of such incidents.
  - Additional OFI's.

4.1 Overview of Environmental Management

HVO operates as a joint venture between Yancoal and Glencore, with Glencore's operating systems, environmental management systems and corporate procedures applying across the site. Environmental compliance is delivered through these established systems, supported by site-based implementation by the E&C Department.

The E&C Department is led by an E&C Manager, with a change in this role occurring in February 2025. Within the team, individual staff members hold responsibility for key environmental areas such as water, biodiversity, heritage and land management. This structure provides clear ownership of day-to-day obligations while maintaining coordinated oversight at the manager level.

HVO continues to use the CMO compliance system as the central tool for tracking statutory requirements, documenting inspections and audits, recording incidents and complaints, and monitoring follow-up actions. During the site visit, HVO demonstrated how conditions, evidence and updates are managed within CMO, and the system appeared to be functioning effectively for compliance management.

Environmental performance is further supported by Glencore's corporate audit program, which includes internal and third-party audits ahead of each IEA. Routine site inspections, ongoing environmental monitoring and the Ground Disturbance Permit (GDP) process complement this framework by identifying operational risks and confirming implementation of controls.

Overall, the combination of corporate systems, a well-resourced E&C team and structured compliance processes provides a sound framework for managing environmental obligations at HVO.

4.1.1 Inspection Program

Each year, HVO prepares an annual site-wide inspection schedule that outlines the inspections required across the operation and their timing. The E&C Department implements this schedule through a structured inspection program, with progress reviewed weekly. Completed inspections are uploaded to CMO as inspection events, where records, actions and close-out requirements are managed. Any issues or emerging trends are discussed during weekly E&C meetings. Inspections are shared among team members to ensure broad site coverage and maintain objectivity.

Targeted Visible Leadership (TVL) inspections are also undertaken by an Environmental representative with at least one additional participant to promote cross-functional involvement.

In addition to E&C inspections, environmental aspects are also reviewed through inspection programs operated by other departments across the site, including the CHPP and workshop areas, each of which maintains its own inspection schedule.

4.1.2 Summary of Notices, Orders, Penalty Notices or Prosecutions Issued

A review of information available on the Department's and EPA's public registers, together with consultation with regulatory agencies and information provided by HVO, was undertaken to identify any notices, orders, penalty notices or prosecutions issued during the audit period. Based on the information reviewed, no regulatory action appears to have been taken by regulators other than the NSW EPA.

Regulatory action was taken by the EPA in relation to an unauthorised discharge of saline mine water from Dam 17N to Farrells Creek in June 2024. HVO notified the EPA on 24 June 2024 and submitted a detailed report on 19 July 2024. The EPA subsequently issued a Show Cause notice on 11 November 2024, followed by a Penalty Notice on 16 December 2024. Further detail on this matter is provided in the EPL 640 compliance checklist.

4.1.3 Complaints Management

HVO manages community complaints through a structured process supported by the Community Complaints Hotline (1800 888 733) and the digital complaints management system. The hotline is advertised on the HVO public website and in local newspapers in accordance with EPL and internal procedural requirements. When a community member lodges a complaint, an operator answers the call and records the details directly into the complaints management system. Automated SMS notifications are then issued to relevant personnel on site, including the E&C Department, shift supervisors and dispatch, to ensure the matter is reviewed promptly.

The E&C Department, examines the information provided, undertakes the necessary checks or investigations, and enters the complaint into CMO, where it is tracked, actioned and closed out. Summary tables of complaints are prepared monthly and published on the HVO website in line with licence requirements.

A review of the complaints registers from 1 December 2022 to 17 October 2025 showed that HVO is following its Community Complaints Management Procedure (CCMP). Complaints were generally acknowledged and investigated promptly, with most callers contacted on the same day and follow-up calls usually made within 24 hours. The investigation notes reviewed included the expected checks, such as blast information, weather and air quality data, or traffic and safety considerations, and the summaries contained all the key details: what the complaint was about, the monitoring information reviewed, the outcome of the investigation, the actions taken and how the complainant was kept informed.

The figure below provides a summary of the complaints received during the audit period. Complaints relating to blasting were the most common, followed by dust and air quality concerns. Further detail on complaints for each environmental topic is provided further in **Section 4** below.

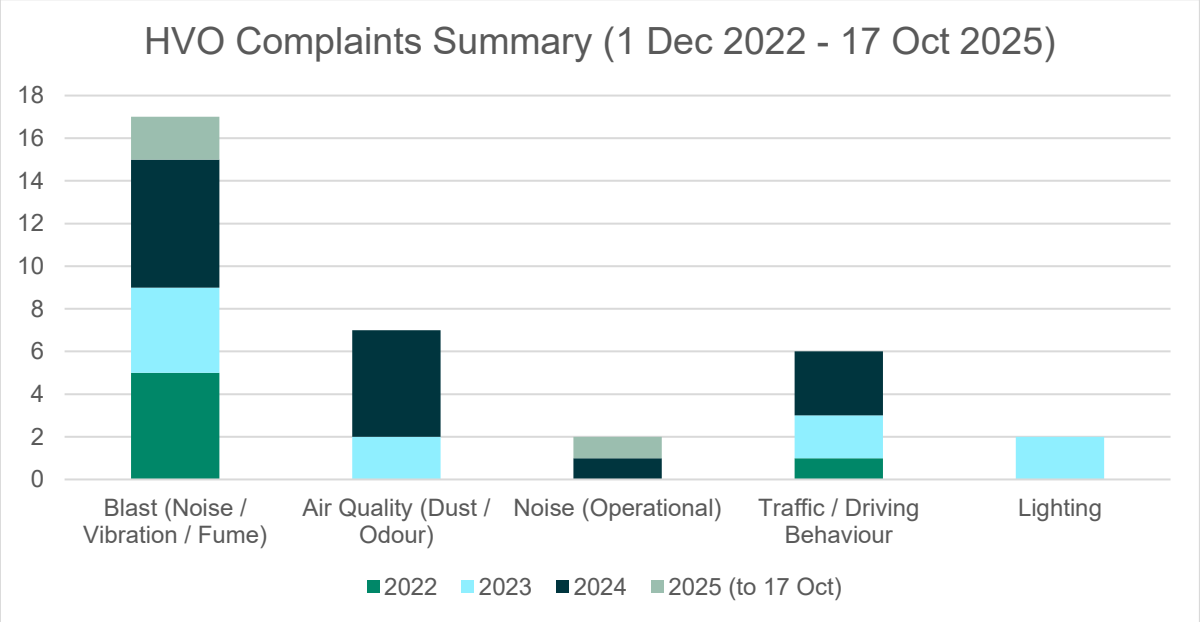


Figure 11 HVO Complaints Summary, 1 December 2022 – 17 October 2025.

4.1.4 External Reporting

HVO summarises environmental monitoring data and reports externally through a range of mechanisms in accordance with approval, licence and regulatory requirements. External reporting includes, but is not limited to, Annual Reviews, Annual Returns, Annual Rehabilitation Reports, National Greenhouse and Energy Reporting (NGER) and National Pollutant Inventory (NPI) reporting.

A detailed review of environmental data presented in the Annual Reviews and Annual Returns for the audit period was undertaken to verify consistency with raw monitoring data and supporting monitoring reports. This review identified minor inconsistencies and administrative errors associated with the reporting of certain groundwater and surface water data. Given the scale of the monitoring network and the volume of data managed, these errors were assessed as low risk and were not considered to materially affect the overall trends or conclusions presented in the reports.

Review of HVO's Annual Reviews for 2022, 2023 and 2024 identified inconsistencies in the identification, classification and reporting of non-compliances, particularly within Section 1 – Statement of Compliance. These inconsistencies primarily relate to variations in interpretation and, in some instances, conservative over-reporting of events that did not technically meet the definition of a non-compliance under the relevant approval conditions.

In particular, insufficient explanation was provided in Section 11 – Incidents and Non-Compliances to clearly document the rationale for why certain incidents (including blast fume events) were treated differently between reporting years or excluded from non-compliance classification. Minor inconsistencies were also observed between the compliance status reported in Section 1 and the supporting descriptions provided in Section 11.

The Annual Review Guideline (October 2015) requires the Statement of Compliance to provide a clear and transparent summary of compliance against all relevant approvals, including development consents, mining leases and other applicable statutory instruments. The guideline further requires that all non-compliances be clearly identified, without the use of partial or ambiguous classifications, and be expanded upon in Section 11 of the Annual Review.

An OFI has been made (**OFI-001**) to expand the Annual Review Section 1 – Statement of Compliance to include a consolidated compliance assessment against all relevant approvals and licences, and ensure that all non-compliances, regardless of approval type, are consistently identified in Section 1 and cross-referenced to detailed discussion in Section 11.

4.2 Noise

4.2.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) identified one noise non-compliance against PA 06_0261 Schedule 3 Condition 2 and DA 450-10-2003 Schedule 3 Condition 7, when attended monitoring at Jerrys Plains East on 22 July 2021 recorded 55 dB(A) LA1(1-min) against the 45 dB(A) criterion. No recommendation was raised in relation to this non-compliance. An administrative OFI was raised to update reference in Table 9 of the Monthly Environmental Monitoring Reports to reference LA1, 1-minute criteria.

Additional OFIs were raised in relation to the following:

- Monthly reports did not provide details on tonality penalties. An OFI was raised to include discussion and clarification on whether a tonality penalty constitutes an exceedance or is attributable to other sources.
- Improve documentation of responses to real-time noise alarms.
- Continue sound power testing of mobile equipment to confirm the effectiveness of attenuation kits.

All recommendations were adequately addressed by HVO.

4.2.2 Complaints Received

Noise related complaints were reviewed against the HVO Community Complaints Registers. No noise specific complaints were recorded in 2022 or 2023. In 2024, one noise complaint was received from Jerrys Plains regarding operational noise and horn use, the issue was investigated, and operational adjustments were made. In 2025 (to August), one further evening noise complaint was received from Jerrys Plains, with monitoring confirming compliance and the complainant reporting that noise had subsided.

Across the audit period, two noise complaints were received, both from Jerrys Plains. Each was investigated in accordance with the Noise Management Plan, operational responses were implemented where appropriate and monitoring confirmed compliance with relevant noise criteria.

4.2.3 Operational Management Measures

HVO manages noise under a single Noise Management Plan (NMP) applying to both HVO North and HVO South. Management measures include:

- Real-time monitoring: A network of directional noise monitors at Knodlers Lane, Maison Dieu, Jerrys Plains, Moses Crossing and Long Point operates continuously. Alarms notify staff of elevated levels, prompting operational changes such as relocating or shutting down equipment.
- Attended monitoring: Routine attended surveys are conducted at designated receiver locations, typically during the night period, in accordance with consent and EPL requirements. These measurements quantify the acoustic environment and confirm compliance with impact assessment criteria.
- Low-frequency assessment: Noise results are assessed against the EPA's Noise Policy for Industry (NPfI), with modification factors applied if relevant.
- Operational response: Alarms or exceedances trigger investigation and corrective actions, with records maintained to demonstrate compliance and continuous improvement.

This monitoring framework ensures HVO can track performance against regulatory limits and respond promptly to potential noise impacts.

4.2.4 Monitoring Results

Monthly attended monitoring results confirmed full compliance with all HVO North and HVO South noise criteria. No exceedances of impact assessment or land acquisition criteria occurred during the audit period. Results showed:

- All measured LAeq (15-minute) and LA1 (1-minute) levels were within applicable limits.

- Meteorological screening was correctly applied where conditions were outside Noise Policy for Industry (NPfI) requirements.
- Annual noise model validation confirmed measured levels remained consistent with predicted acoustic envelopes.
- Real-time monitoring alarms were rare and promptly addressed, with operational actions documented.
- Equipment calibration certificates (Benchmark Monitoring and ARL) confirmed monitoring accuracy.
- Two noise complaints were investigated and confirmed compliant with no exceedances recorded.

Overall, the monitoring data indicates stable and well-controlled noise emissions throughout the audit period.

4.2.5 Predicted Vs Actual Impacts

Noise modelling in the HVO EIS (2009) and subsequent modification assessments predicted that operational noise would generally comply with INP/NPfI criteria, with occasional minor (<2 dB) exceedances possible at Jerrys Plains, Knodlers Lane, Maison Dieu and the Hunter Valley Gliding Club under adverse meteorological conditions (inversions). Cumulative noise levels were predicted to approach but remain within applicable limits.

Based on the monitoring results reviewed:

- Actual measured noise levels remained below or consistent with predicted EIS noise envelopes.
- No exceedances of criteria occurred, even during adverse meteorology.
- Low-frequency noise was within NPfI modifying factor thresholds.
- Annual Review summaries also reported compliance with predicted performance, with no deviations from expected acoustic behaviour.

In conclusion actual impacts align with, and in many cases perform better than, predicted impacts.

4.2.6 Incidents and Non-Compliances

No noise-related incidents or non-compliances were reported or identified during the audit period. Monitoring confirmed full compliance with all consent and EPL criteria.

4.2.7 Additional OFIs

Table 7 below summarises the context that triggered improvements in relation to noise, together with the specific OFIs made by the auditors.

Table 7 Noise – OFI Summary

Reference	Context	Recommendation / OFI
OFI-002	The NMP currently refers to ARTC's EPL requirements for locomotive noise. During the audit period, Pacific National assumed responsibility for locomotive noise compliance under EPL 21364, and provided written confirmation of compliance to HVO.	NMP Section 7.3 should be updated to reference Pacific National's EPL 21364 rather than ARTC, ensuring alignment with current regulatory responsibilities.
OFI-003	The distinction between EPL monitoring points (referenced in Table 6 of the NMP) and Development Consent receiver locations (referenced in Table 8-3) is not always clear, requiring cross-referencing between multiple tables to confirm which criteria apply at each location. Day and evening EPL criteria (L5.1) are not included in Table 8-3, despite these criteria	Clarity between EPL locations and DA locations in monthly reports would allow easier determination of locations (Table 8-3 of NMP), noting that day and evening criteria are not included in table 8-3.

Reference	Context	Recommendation / OFI
	being applicable under the EPL, and the NMP does not explicitly describe how day/evening criteria relate to the predominantly night-focused attended monitoring program described in Section 8.2.3.	

4.3 Blasting

4.3.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) identified one non-compliance with PA 06_0261 Schedule 3 Condition 7, relating to a 2020 airblast overpressure exceedance, with no recommendation applied. Two OFIs were raised in relation to:

- Ensuring the website blasting schedule is consistently maintained; and
- Correcting inconsistent references in Tables 1–3 of the Blast Management Plan.

Both OFIs were adequately addressed by HVO.

4.3.2 Complaints Received

During the audit period, blast-related complaints represented approximately 50% of all complaints received. Blasting complaints typically related to noise, vibration, dust, and occasional visible fume plumes, with clusters of complaints arising after isolated blasts, particularly in 2022 and August 2024. Complaints increased slightly in 2024 and early 2025, particularly from Jerry's Plains and Maison Dieu, although monitoring showed the blast remained well below criteria.

The IEA concluded that HVO applied a consistent response to each complaint, including:

- Verifying blast monitoring data, confirming all blasts remained within approved overpressure, vibration and air quality criteria;
- Investigating dust and fume reports using weather data, plume behaviour and monitoring records;
- Implementing additional controls where relevant (e.g. modified blast deck configurations, timing adjustments, moisture controls);
- Directly contacting complainants to provide blast details and monitoring outcomes; and
- Responding to NSW EPA enquiries promptly when raised.

Overall, while complaints were periodically received, HVO demonstrated appropriate investigation, verification and communication, and no complaint corresponded with a regulatory exceedance.

4.3.3 Operational Management Measures

HVO manages blasting activities under the approved Blast Management Plan (BMP) which applies to both blasting practices in HVO North and HVO South. Management measures in place during the audit period included:

- Pre-blast assessment and risk screening – A formal pre-blast assessment is undertaken prior to each blast using the Dust and Fume Trigger Action Response Plan (TARP). The assessment considers meteorological conditions, ground and moisture conditions, blast design, proximity to sensitive receivers, inter-mine blasting coordination and potential cumulative impacts. Escalation and approval pathways apply where elevated risks are identified.
- Blast Design and Execution – Each blast is designed, weather-assessed and documented to optimise blast performance while minimising environmental impacts, in accordance with internal procedures.
- Monitoring – Blasts are monitored at sensitive locations using fixed and portable compliance monitors, with data used to verify compliance, inform investigations and refine predictive models.

- Safety, notification and land management controls – Protective measures are implemented, including blast clearance zones, road closures where required, roadside signage, blast hotline operation and public notifications.
- Fume and Weather Considerations – Blast fume risk is managed in accordance with the Post-Blast Fume Generation Mitigation and Management Plan, with real-time weather conditions reviewed prior to firing and blasting postponed where conditions are unfavourable.
- Training and Competency – Relevant personnel receive training on blasting controls and environmental obligations to ensure safe and compliant operations.

4.3.4 Monitoring Results

Ground vibration and airblast overpressure monitoring is undertaken in accordance with the HVO Blast Management Plan, which specifies mandatory criteria, fixed and portable monitoring locations, verification procedures, and investigation requirements.

Monitoring data for the audit period was reviewed across the Blast Database (KABOOM) and Monthly Environmental Monitoring Reports. No exceedances of the applicable ground vibration criteria were recorded during the audit period at any compliance monitor representing privately-owned receivers. All peak particle velocity (PPV) values remained well below the relevant limits, with no events within the allowable 5% exceedance tolerance. Data reviewed in KABOOM and reported in monthly environmental summaries was consistent and accurate.

A cross-check of raw data against the published monthly reports confirmed:

- No blasts occurred outside the approved hours of 7:00 am – 6:00 pm.
- No blasts occurred on Sundays or public holidays.
- The maximum of four blasts per day was not exceeded; and
- The maximum of eight blasts per calendar week was not exceeded.

4.3.5 Predicted Vs Actual Impacts

Environmental impact predictions in the HVO North and HVO South EIS and Modification Environmental Assessments anticipated that blasting would remain well within regulatory limits, with peak vibration generally ≤5 mm/s (95th percentile) and airblast overpressure ≤115 dB(L) at sensitive receivers. The assessments predicted no structural damage, with vibration at most privately-owned receivers expected to remain <3 mm/s.

Review of monitoring data, Annual Review summaries (2022–2024), monthly environmental reports, and KABOOM database confirms that actual impacts have consistently remained below predicted levels. Across the audit period:

- No exceedances of vibration or overpressure criteria were recorded at compliance monitors.
- All blasts remained well within EPL 640 limits and consent criteria.
- Events associated with complaints were verified as compliant and aligned with predicted impact ranges.
- No blast-related structural damage claims or exceedance investigations were triggered.
- Annual Reviews consistently report that measured vibration and overpressure levels are significantly lower than those modelled in the EIS/EAs.

4.3.6 Incidents and Non-Compliances

HVO reported three non-compliances in relation to blasting during the audit period, including:

- Two relating to fume events which occurred in 2024,
- One in 2024 relating to a blast monitoring anomaly at the Maison Dieu compliance monitor.

The monitoring non-compliance occurred where the Mason Dieu blast monitor failed to capture valid airblast and/or vibration data for a scheduled blast. Although the blast was confirmed to have remained

within expected compliance limits, the absence of monitoring data constituted a non-compliance with the monitoring and reporting requirements of the development consent and EPL.

Blast Fume Events

Three Level 4B blast fume events occurred during the audit period. These included:

- 9 September 2023 – HVO North,
- 4 June 2024 – HVO South, and
- 22 November 2024 – HVO North.

A Level 4B fume event indicates visible post-blast NOx fumes (orange/red in colour) classified as a medium-level event under the AEISG Code of Practice (2011). The 2023 fume event resulted in fume travelling across HVO land and dispersing at height prior to reaching Lemington Road. Both 2024 fume events dispersed above the HVO pit.

Each event involved visible post-blast fume generation, was investigated by HVO. The Department was notified of each fume event, and an incident report was prepared and submitted by HVO following investigation of the circumstances and contributing factors.

All events were attributed to moisture ingress, ground conditions, or explosive performance factors and were managed in accordance with HVO's Post-Blast Fume Generation Mitigation and Management Plan.

Following investigation HVO formed the view that the fume did not pose a likelihood of harm to persons outside the premises and they did not interfere unreasonably with comfort or repose beyond the site boundary, therefore notification to the EPA did not occur. The Post-Blast Fume Generation Mitigation and Management Plan requires all Level 4 or 5 events to be reported to the Department, with EPA notification required only where fume leaves the site and has the potential to cause material harm.

The 2023 event was investigated and reported to the Department, however, it was not classified as a non-compliance in the 2023 Annual Review. In contrast, the two fume events in 2024 were reported as a non-compliance against Condition 17 of Schedule 3 of DA 450-10-2003 and Condition 18 of Schedule 3 of PA 06_0261 in the 2024 Annual Review. This difference reflects a change in compliance interpretation approach, rather than a substantive change in blast fume outcomes or impacts.

Although blast fume events occurred during the audit period, the evidence does not demonstrate a failure to implement best management practice as required by S3 C17(a). Pre-blast risk assessments, escalation controls, monitoring, investigation and reporting were consistently applied. The classification of the 2024 events as non-compliances reflects a conservative reporting approach rather than a substantive departure from best management practice. Based on information provided to the auditors for review, the auditors could not justify that HVO had not implemented best practice measures to manage fume.

4.3.7 Additional OFIs

Table 8 below summarises the context that triggered improvements in relation to blasting, together with the specific OFIs made by the auditors.

Table 8 Blasting – OFI Summary

Reference	Context	Recommendation / OFI
OFI-004	The BMP clearly defines the requirements for regulatory notification of blast fume events to the Department of Planning, Housing and Infrastructure and, where applicable, the EPA. However, audit review identified that there is less clarity regarding how blast fume events are to be consistently classified for compliance reporting purposes, such as within Annual Review documentation. This has resulted in similar blast fume events being classified	Clarify BMP guidance on when blast fume events should be classified as non-compliances for Annual Review reporting

Reference	Context	Recommendation / OFI
	differently across reporting periods, reflecting differences in interpretation rather than differences in blast controls, outcomes, or impacts.	

4.4 Air Quality

4.4.1 Previous IEA Findings

The 2022 Independent Environmental Audit (RPS, 2023) identified one OFI relating to air quality management at HVO. The OFI recommended strengthening operator awareness of dust management procedures, specifically the Dust Management TARPs, to ensure more proactive management of wheel-generated and plant-generated dust during routine operations.

In response, HVO implemented refresher training for operational personnel through the 2023 operator toolbox program, which included a focused review of the Dust TARP and associated control measures. Evidence reviewed during this audit confirmed that the training was delivered and that dust management expectations are now consistently reinforced through operational briefings and internal assurance activities.

The 2025 IEA concludes that this previous OFI has been fully implemented, with no further action required.

4.4.2 Complaints Received

During the audit period, a total of seven air-quality-related complaints were recorded. These complaints primarily related to dust.

Each complaint was investigated in accordance with the Air Quality and Greenhouse Gas Management Plan (AQGGMP, 2022). Investigations included review of real-time monitoring data, meteorological conditions, operational activities, and camera footage. In all cases related to the complaints, HVO's contribution was confirmed to be within the applicable air quality criteria, and no non-compliances were identified.

HVO responded promptly to complainants and implemented appropriate operational adjustments where relevant, demonstrating effective complaint management and adherence to internal procedures.

4.4.3 Operational Management Measures

During the audit period, HVO implemented a well-established air quality management system in accordance with the AQGGMP, 2022. Key measures included:

- Real-time monitoring and forecasting: Continuous TEOM, HVAS and meteorological data, supported by automated dust alarms and live camera feeds, enabled immediate identification of elevated dust conditions. Daily weather and ENVMet forecasts informed operational planning.
- Dust suppression controls: Active mining areas, haul roads, ROM pads, overland conveyors and loading facilities were managed using water carts, fixed sprays and moisture controls. Operational adjustments were applied through the Dust TARP, including altered dumping locations, reduced speeds, and restricting equipment activity during adverse conditions.
- Monitoring maintenance and calibration: Benchmark Monitoring & AECOM maintained all compliance monitors, with calibration certificates and maintenance records current and consistent with the Approved Methods.
- Internal oversight: Routine PRONTO inspections, targeted dust inspections during high-risk weather, and weekly operational planning packs provided structured oversight and assurance. Dispatch staff demonstrated timely responses to dust alarms.
- Greenhouse gas management: Monthly NGER-compliant emissions calculations and ongoing optimisation of plant and equipment supported the site's GHG management commitments.

Overall, the measures in place during the audit were effective, consistently implemented, and aligned with the AQGGMP and industry best practice.

4.4.4 Monitoring Results

Air quality performance for HVO North and South was assessed using monthly environmental monitoring reports (2022–2025), Annual Reviews (2022–2024), the approved Air Quality and AQGGMP, 2022, the updated draft AQGGMP (post-MOD 8), exceedance investigation reports, real-time monitoring dashboards, site inspections (October 2025), and discussions with the HVO E&C Department.

The approved AQGGMP reflects the pre-MOD 8 requirement to assess short-term PM_{10} against cumulative (total impact) criteria. Following approval of Modification 8 in April 2025, the consent was amended to require assessment of short-term PM_{10} on an incremental contribution basis only, with exceedances not recorded where HVO's contribution is below 50 µg/m³. HVO has updated the AQGGMP to reflect this change and submitted it for Department approval, however, approval was pending at the end of the audit period. From April to October 2025, HVO applied the MOD 8 consent requirements.

At HVO North, short-term PM_{10} exceedances were recorded at Cheshunt East, Jerry's Plains and Kilburnie South between 2023 and early 2025, with annual average PM_{10} and $PM_{2.5}$ exceedances also recorded in 2023 and 2024. No deposited dust exceedances were identified, and one exceedance associated with an extraordinary event was excluded from non-compliance classification.

At HVO South, elevated short-term PM_{10} concentrations were recorded on several occasions, however, investigations confirmed that HVO's incremental contribution did not exceed the applicable criteria. Annual $PM_{2.5}$ exceedances at Maison Dieu and Kilburnie South were attributed to HVAS overestimation, with co-located monitors indicating compliant concentrations. Two exceedances of the annual total suspended particulate (TSP) criterion were recorded at the Warkworth HVAS in 2023 and 2024.

Overall, exceedances of air quality criteria were identified during the audit period, resulting in non-compliances under the relevant consent conditions. Notwithstanding this, both HVO North and South were assessed as having implemented reasonable and feasible air quality mitigation measures, supported by real-time monitoring systems, established operational controls and timely investigation and reporting of monitoring results.

4.4.5 Predicted Vs Actual Impacts

Air quality predictions for HVO North and South were originally developed through the HVO EIS (2009) and subsequent Modification Environmental Assessments, which assumed implementation of best-practice dust controls, progressive rehabilitation, and a modern air quality monitoring and management framework. Predicted impacts focused on compliance with annual TSP, PM_{10}, $PM_{2.5}$ and deposited dust criteria, and acknowledged the potential for short-term PM_{10} peaks during adverse meteorological conditions (e.g., strong winds, regional dust events).

Actual air quality impacts from HVO generally align with predicted environmental outcomes in the EIS and modification assessments. Short-term and annual PM_{10}/$PM_{2.5}$ impacts remained within predicted ranges when assessed incrementally. The exception is annual TSP, where measured total concentrations at Warkworth exceeded predictions.

4.4.6 Incidents and Non-Compliances

Air quality non-compliances identified during the audit period relate to exceedances of applicable air quality criteria and monitoring implementation requirements.

For HVO North, non-compliances were identified with Schedule 3, Condition 4A of DA 450-10-2003 due to recorded exceedances of short-term and annual average PM_{10} and $PM_{2.5}$ criteria between 2023 and early 2025. In addition, periods of monitoring data mis-capture across several HVAS and TEOM units resulted in non-compliances with the implementation of the approved AQGGMP, 2022.

For HVO South, non-compliances were identified with Schedule 3, Condition 19 of PA 06-0261 due to exceedances of the annual TSP criterion at the Warkworth HVAS in 2023 and 2024.

No reportable air quality pollution or odour incidents were identified during the audit period. All air quality non-compliances were administrative or technical in nature, with no material environmental harm identified, and were managed through established investigation, reporting and mitigation processes.

4.4.7 Additional OFIs

Table 9 below summarises the context that triggered improvements in relation to noise, together with the specific OFIs made by the auditors.

Table 9 Air Quality – OFI Summary

Reference	Context	Recommendation / OFI
OFI-005	Although implementation of the TARP was clearly evident and effective, the process is not defined in the AQGGMP.	Include reference to the Air Quality TARP in the AQGGMP.
OFI-006	Current definitions are inconsistent and both sections refer to roads used for less than 12 months.	Update the definition of 'temporary' and 'primary' haul roads (Section 6.3.2.7).
OFI-007	Reference to MOP throughout AQGGMP	Remove references to the Mining Operations Plan (MOP) if these remain in the unapproved draft, noting that MOPs have been replaced by the Rehabilitation Management Plan (RMP) framework.
OFI-008	Updated AQGGMP not yet approved by the Department resulting in inconsistencies with implementation due to changes in consent conditions following approval of MOD 8	Follow up with the Department regarding approval of the updated AQGGMP, submitted following HVO North Modification 8.

4.5 Surface Water

4.5.1 Previous IEA Findings

The previous IEA identified that the approved Water Management Plan (Version 3.0, 2018) required updating to better reflect current operations, surface water monitoring and water balance practices. HVO has since progressed updates to the WMP to address these gaps.

Several surface water infrastructure issues were also identified and have been addressed. Erosion at Dam 37S was repaired and incorporated into routine maintenance. Sedimentation and capacity issues at Dam 5N and Dam 2N were rectified through sediment removal, updated schematics and independent verification of ongoing compliance. Scour pool susceptible to erosion at the outlet of Dam 11N HRSTS discharge pipe was addressed through stabilisation works.

Overall, HVO has taken appropriate action to address the surface water–related findings from the previous IEA.

4.5.2 Complaints Received

There were no complaints received in relation to surface water during the audit period.

4.5.3 Operational Management Measures

Surface water at Hunter Valley Operations is managed in accordance with the approved Water Management Plan (WMP) Version 3.0. The WMP functions as an integrated water management framework for the HVO complex, providing a consistent approach to water management across HVO North and HVO South.

While Version 3.0 of the WMP is the latest approved plan, it no longer fully reflects current operations, infrastructure, monitoring networks or amended consent and licence requirements arising from multiple project modifications since 2018. In response, HVO has prepared updated WMP revisions, most

recently Version 4.0, which incorporates updated surface water monitoring networks and performance criteria, revised drainage, diversion and dam descriptions, updated water balance methodologies, and alignment with current consent and EPL requirements. At the time of the audit, Version 4.0 had been submitted to the Department but remained unapproved, resulting in an ongoing procedural misalignment between the approved plan and current site practices.

The following surface water management measures were observed to be effectively implemented during the audit period:

- HVO have a comprehensive surface water and groundwater monitoring program in place, including baseline data collection, routine sampling, rain-event monitoring and continuous discharge monitoring, to ensure compliance with EPL and licence conditions.
- Routine inspection and maintenance of dams, drains, pumps and pipelines.
- Monitoring of stream stability and riparian vegetation health.
- Prioritisation of mine-affected water for operational use, with Hunter River water used as contingency only.
- Controlled saline water discharges managed under the Hunter River Salinity Trading Scheme (HRSTS) in accordance with EPL 640.
- Erosion and sediment control: The auditors observed effective implementation of erosion and sediment controls across disturbed areas. Management measures sighted included the application of HVO's GDP process, which requires the development of site-specific Erosion and Sediment Control Plans (ESCPs) prior to disturbance. Assurance inspections are undertaken to verify that erosion and sediment controls are installed, maintained and functioning as designed.

4.5.4 Monitoring Results

HVO engaged suitably qualified consultants to complete routine ambient water quality monitoring, rain-event sampling, discharge monitoring and stream health assessments, with results stored in the Environmental Monitoring Database (EMD).

Monitoring of the Hunter River, Wollombi Brook and surrounding tributaries showed that pH, electrical conductivity and total suspended solids (TSS) were generally consistent with historical ranges. A small number of TSS exceedances were recorded during 2023 and 2024, however, investigations confirmed these were associated with rainfall, low-flow conditions or natural sediment disturbance rather than mining activities. No Hunter River trigger exceedances attributable to HVO were identified.

Controlled discharges occurred from authorised EPL monitoring points in 2022, 2024 and 2025. Review of Annual Returns and supporting data confirmed compliance with EPL 640 pH and TSS limits for all discharges, and all releases were managed in accordance with the Hunter River Salinity Trading Scheme.

Annual stream health and riparian monitoring undertaken in 2022, 2023 and 2024 found no evidence of adverse mining-related impacts on channel stability or vegetation condition in the Hunter River or Wollombi Brook. Results were consistent with long-term trends and reflected natural catchment variability.

4.5.5 Predicted Vs Actual Impacts

Surface water impact assessments for HVO North and HVO South predicted that mine-affected water would be managed through an integrated site-wide system, with controlled discharges only under the Hunter River Salinity Trading Scheme, negligible downstream salinity impacts, effective sediment control, and maintenance of a positive site water balance to prevent uncontrolled discharges.

Monitoring data indicates that actual performance was broadly consistent with the predicted outcomes. Routine surface water quality monitoring (EC, pH and TSS) remained within EPL 640 limits.

Two uncontrolled discharges were recorded during the audit period, these included a low-residual flow event on 15 December 2022 from Parnells Dam (HRSTS Point 4), and an unauthorised discharge from the Dam 17N pump station to Farrells Creek on 12 June 2024. Both events were investigated, with no material environmental harm identified.

Sediment basins and progressive rehabilitation functioned as intended, with no evidence of off-site sedimentation. Annual stream health monitoring confirmed stable channel condition and riparian vegetation consistent with baseline and long-term trends. Review of site water balance data for the audit period shows HVO consistently maintained a positive water position with adequate storage capacity.

Overall, actual surface water impacts align with EIS predictions and the outcomes reported in recent Annual Reviews.

4.5.6 Incidents and Non-Compliances

During the audit period, a number of water-related incidents and non-compliances were identified. These primarily related to isolated uncontrolled discharge events, monitoring data anomalies, and administrative and procedural matters associated with the implementation and currency of the approved Water Management Plan and associated monitoring and reporting requirements.

As outlined in Section 4.5.5, two uncontrolled discharge events occurred during the audit period. Both events were investigated, reported in accordance with regulatory requirements and did not result in material environmental harm.

Additional non-compliances were identified in relation to monitoring and reporting obligations, including isolated missed samples due to access constraints, data gaps or mis-captures arising from equipment or telemetry issues, and errors within Annual Water Quality Monitoring Reports submitted with EPL Annual Returns.

An administrative non-compliance was also identified in relation to the Water Management Plan, as the currently approved Version 3.0 (2018) no longer fully reflects current operations or consent requirements, while elements of an updated but unapproved plan are being applied in practice.

4.5.7 Additional OFIs

No additional OFIs were made in relation to surface water.

4.6 Groundwater

4.6.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) found that the approved Water Management Plan (WMP Version 3.0, 2018) was outdated and no longer reflected current groundwater conditions, modelling or monitoring practices. The audit identified the need to update groundwater triggers, revise the monitoring network (consistent with the SLR 2019 review), and incorporate the latest groundwater modelling improvements. RPS also noted gaps in trigger exceedance reporting and recommended clearer alignment between monitoring results, investigation processes and the WMP requirements. Overall, groundwater monitoring was occurring, but the management framework required substantial revision to ensure compliance with consent conditions.

4.6.2 Complaints Received

No complaints were received during the audit period in relation to groundwater.

4.6.3 Operational Management Measures

Across the audit period, HVO continued to implement the water management framework required by the approved WMP Version 3.0. However, several operational practices, particularly within the groundwater monitoring program, reflect implementation of the unapproved WMP updates (Version 4.0). These relate to trigger values, monitoring network rationalisation, and interpretation of exceedances, which creates a procedural compliance risk.

Version 4.0 of the WMP includes updates in relation to groundwater management compared with the approved WMP Version 3.0 (2018), incorporating outcomes from SLR's 2019 network review, Umwelt's 2023–2024 groundwater assessments, and the updated AGE (2022) numerical model.

Several bores have been reclassified, recommended for replacement, or proposed for removal from the compliance monitoring network in the draft WMP, with some retained only for operational observation. These changes reflect a combination of factors, including documented bore integrity issues (e.g.,

blocked or poorly constructed bores), non-representativeness of hydrogeological conditions relative to mining influence, and redundancy identified through the SLR (2019) network review and subsequent Umwelt assessments. Version 4.0 also includes recalculated EC, pH and groundwater level triggers based on contemporary datasets and refined stratigraphic groupings, in contrast to the legacy baselines that currently underpin Version 3.0.

While Version 4.0 reflects a more contemporary plan which is reflective of the site's current operations, it remains unapproved, therefore, HVO is still required to implement Version 3.0 for compliance purposes.

4.6.4 Monitoring Results

Groundwater monitoring was being undertaken across the site, however, the network configuration, trigger values, and interpretation of results increasingly reflect elements of the unapproved WMP Version 4.0.

Groundwater monitoring was undertaken across the HVO North and South networks during the audit period, with results showing a generally consistent hydrogeological response to ongoing mining activities. Groundwater levels in the alluvium are predominantly correlated with the cumulative rainfall departure whereas groundwater levels within the Permian coal reflect semi-confined conditions and the effects of depressurisation due to mining activities.

An initial comparison of raw groundwater data against the Annual Review summaries revealed several apparent inconsistencies relating to data recovery, bore condition reporting, and alignment between summary tables and Appendix B of the Annual Review. Discussion with HVO's and subsequent review of additional information revealed one genuine data reporting issue was confirmed in relation to groundwater well GW108 being incorrectly reported as having 0% data recovery in the Annual Review when it should have been 25%. HVO acknowledged this reporting error.

All other initial concerns were satisfactorily resolved through HVO's clarifications. These explanations demonstrated that:

- Apparent sampling omissions were attributable to legitimate field constraints, such as physical obstructions (e.g., a decomposing snake in 4034P), bore deformation, bank collapse, or insufficient water within the screened interval.
- Delayed or missing data from certain piezometers and VWPs were explained by instrument failure and removal from the operational monitoring network based on technical recommendations.
- Access issues and inaccuracies in the base mapping (e.g., for NPz5) were clarified through the provision of updated spatial information.

Remediation actions (e.g., cleaning of 4036C in December 2023) were documented and consistent with field observations.

4.6.5 Predicted Vs Actual Impacts

Water-related impact assessments for HVO North and HVO South, as documented in the EIS and subsequent Modification Environmental Assessments, predicted from groundwater modelling that drawdown of less than 10 m in the Permian strata and less than 1 m in alluvium at HVO North, with similar outcomes predicted for HVO South, generally <8 m drawdown in Permian strata near the southern pits and only minor influence on Hunter River baseflow.

Groundwater levels were within the modelled ranges, maintaining a positive site water balance with inputs generally exceeding outputs, and mine-water storages remained within their available capacities.

For groundwater indirect take Umwelt presented a conceptual model of how indirect take may influence water levels in nearby watercourses but there is no link back to the measured water levels in the relevant watercourses or alluvial screened bores. The only way that indirect take is monitored is by accessing data from the numerical model, which is not provided nor is information that could be used to determine indirect take impacts.

4.6.6 Incidents and Non-Compliances

While no incidents or non-compliances with the audit findings were reported by HVO during the audit period several trigger exceedances were recorded across EC, pH and groundwater level indicators,

primarily within units adjacent to active mining areas (e.g. Carrington Interburden, West Pit Alluvium, Lemington South groups, Cheshunt / Mt Arthur Seam). Umwelt's quarterly and annual reviews concluded that most exceedances were attributable to long-term natural variability, localised geological conditions, or expected mining-related drawdown. In some cases, exceedances were linked to bore integrity issues (e.g., blocked or compromised bores), historical construction constraints, or naturally fluctuating water quality conditions observed since at least 2005.

For some trigger value exceedances the discussion refers to the value being within the historical range, which is not provided. It is further noted that the only relevant historical range is the range from which the trigger value was determined.

A review of HVO's groundwater trigger exceedance investigations indicates that exceedances continue to be formally identified against the approved WMP Version 3.0 (2018) trigger levels, consistent with the site's regulatory obligations. However, while exceedances are identified against Version 3.0, the justification for several exceedances relies on the assessment framework outlined in the draft Version 4.0, this included:

- Referencing updated (lower or adjusted) EC/pH trigger values proposed in the draft WMP.
- Concluding that anomalies are "not representative" because the bore is proposed for removal in Version 4.0.
- Discounting exceedances on the basis that revised stratigraphic groupings or new trigger methods would not result in a trigger exceedance.
- Referring to Version 4.0's reduced compliance monitoring network to explain why a bore's exceedance is "no longer relevant".

Investigation summaries prepared by Umwelt include trend assessments, hydrogeological context, and discussion of potential causes such as long-term pH trends, natural salinity in certain formations, drought conditions, or known sources such as the North Void TSF. This approach is consistent with the TARP structure in the approved WMP.

4.6.7 Additional OFIs

No additional OFIs were made in relation to groundwater.

4.7 Flora and Fauna (Biodiversity)

4.7.1 Previous IEA Findings

The previous 2022 IEA reported no biodiversity-related non-compliances, with HVO assessed as effectively implementing its Integrated Biodiversity Management Plan and flora/fauna procedures. The audit noted generally stable River Red Gum (*Eucalyptus camaldulensis*) condition, though increased exotic species were observed following high-rainfall years, and access to some offset areas (e.g., Goulburn River) was limited due to flooding, identified as items of note rather than compliance issues. Overall, biodiversity performance was considered sound with no formal OFIs raised.

4.7.2 Complaints Received

No complaints in relation to flora and fauna were received during the audit period.

4.7.3 Operational Management Measures

Across HVO North and South, biodiversity management during the audit period was implemented through the Integrated Biodiversity Management Plan (IBMP) and the Rehabilitation Management Plan (RMP), supported by specific strategies such as the River Red Gum Rehabilitation and Restoration Strategy (RRGRR Strategy Version 2.0, approved 26 August 2025).

Operational controls in place during the audit period included:

- Defined disturbance limits, pre-clearance surveys and GDP-based salvage planning for soil, hollows, logs, rocks and key flora (e.g. Tiger Orchids).
- Habitat protection and access controls, including restricted access to Carrington Billabong due to *Phytophthora inundata* risk and hygiene protocols for personnel and contractors.

- Targeted weed and feral animal management, focusing on riparian weeds (balloon vine, castor oil, thistle) and seasonal vertebrate pest control (including feral pig management to limit pathogen movement).
- River Red Gum management, including tubestock planting in priority areas, post-planting irrigation, slashing to reduce weed competition, and application of genetic management recommendations (e.g. seed sourcing from the Namoi catchment).
- Offset management, including routine inspections, weed control, fauna habitat assessments and maintenance works within the Goulburn River Biodiversity Area.
- Monitoring-linked adaptive management, with groundwater and environmental triggers applied for the Carrington Billabong under the ERA framework.

4.7.4 Monitoring Results

Monitoring undertaken during the audit period, together with field observations made during the site inspection, confirms that HVO continues to actively implement its biodiversity and River Red Gum management programs across HVO North and South. At Carrington Billabong, the auditors sighted the fenced pathogen-exclusion zone, Phytophthora hygiene signage, access restrictions, and close by pig traps, demonstrating ongoing implementation of weed, pest and pathogen controls. Approximately 20 mature River Red Gums have been lost to *Phytophthora inundata*, consistent with the declining canopy condition identified in recent monitoring reports. Additional stressors, including insect defoliation, hydrological variability, and competition from weeds, were evident during the inspection, aligning with findings in the ecological assessments.

Across HVO South, auditors observed River Red Gum Stands A–C along the Hunter River and Stand D (Wollombi Brook) from afar, with plantings of River Red Gums and Casuarina species established to strengthen riparian buffers and improve canopy density. Several of these plantings were propagated from seed collected near Carrington Billabong, consistent with genetic management recommendations referenced in the monitoring reports.

Annual stream-health monitoring undertaken by SLR (2021–2024) indicates that riparian condition remains Very Poor across all assessed sites, driven by limited native canopy structure, reduced understorey and groundcover, and the widespread presence of priority weeds. This decline in riparian health is consistent with the site observations of weed competition, dry seasonal conditions and stress across mature River Red Gums. While these factors have not resulted in geomorphic instability, they represent ongoing biodiversity pressures on riparian vegetation communities.

Across the operation, HVO continued implementing coordinated weed and vertebrate pest management, focusing on riparian zones, River Red Gum stands, and offset areas. Priority weeds such as balloon vine, castor oil plant and thistles were controlled through slashing, sprayed treatments, and targeted clearing to reduce shading of young tubestock.

Biodiversity Offset Area Monitoring

Monitoring of the Goulburn River Biodiversity Area indicated a generally stable ecological condition, consistent with previous years. Vegetation assessments show high native floristic diversity, low weed cover, and recovering woodland structure. Habitat condition scores and rapid assessments remained stable between 2023 and 2024. Bird surveys recorded no threatened migratory honeyeaters at the HVO site but did confirm several other threatened woodland species. Property inspections identified minor feral pig activity, fallen timber management requirements, and routine track maintenance needs, all of which were addressed as part of the management program.

4.7.5 Predicted Vs Actual Impacts

Biodiversity impacts observed during the audit period were consistent with those predicted in the EIS and subsequent Modification Reports for both HVO North and South. Clearing remained within approved disturbance limits, and no unapproved vegetation disturbance was identified. Offsets continued to be implemented and monitored in accordance with the IBMP and relevant offset management plans, contributing to the “no net loss” objective.

River Red Gum condition trends and hydrological sensitivity align with predictions made in the original assessments, which identified the community as vulnerable to climatic and hydrological fluctuations.

However, the emergence and scale of *Phytophthora inundata* infection is considered an unpredicted but credible natural stressor for a wetland-dependent community, rather than a mining-derived impact.

Similarly, the need for repeated planting at the Swamp Oak Floodplain Forest site reflects anticipated challenges associated with establishment success in saline-prone riparian settings, although noting that soil analysis did not attribute salinity levels to growth struggles.

Overall, actual biodiversity impacts remain consistent with predictions, with no exceedances of predicted disturbance or impacts beyond the approved footprint.

4.7.6 Incidents and Non-Compliances

No biodiversity-related non-compliances were identified during the audit period for either HVO North or HVO South. All clearing was undertaken within approved limits, and no unauthorised disturbance of vegetation, habitat, or biodiversity areas occurred.

4.7.7 Additional OFIs

Table 10 below summarises the context that triggered improvements in relation to hazard management, together with the specific OFIs made by the auditors.

Table 10 Flora & Fauna – OFIs Summary

Reference	Context	Recommendation / OFI
OFI-009	Goulburn River Biodiversity Areas monitoring reported that habitat structures (fallen logs, hollows, coarse woody debris) are expected to improve naturally over time, however the ecology consultant recommended installation of nest boxes to support in the interim.	Consider installing nest boxes to support hollow-dependent fauna while natural hollows develop.
OFI-010	Goulburn River Biodiversity Areas monitoring reported that monitoring Plot H2 does not align with the expected Biometric Vegetation Type HU843 (PCT 1629), rendering benchmark comparisons invalid.	Establish a new monitoring plot that accurately represents HU843 while continuing long-term monitoring at H2.
OFI-011	The RRGRR Strategy (Version 2.0) did not reference the Phytophthora infestation as a risk that requires mitigation. While the plan does reference maintenance of genetic integrity, and the requirement to not mix species, it does not include reference to specific management measures applicable to the pathogenic management.	It is recommended that the RRGRR Strategy be updated to better detail pathogen management measures, ensuring the current risk and existing and future management controls are clearly captured.

4.8 Rehabilitation

4.8.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) did not identify any non-compliances or opportunities for improvement in relation to rehabilitation management on site. The 2022 IEA concluded that *the rehabilitation program on site is very well organised, with robust systems to track aspects from the ground disturbance permit (GDP) process through to post rehabilitation monitoring. Areas not subject to active mining were being rehabilitated, with temporary seeding of inactive areas and stockpiles in place.*

4.8.2 Complaints Received

No complaints in relation to rehabilitation were received during the audit period.

4.8.3 Operational Management Measures

Rehabilitation across HVO has continued to progress steadily since the 2022 IEA, supported by a mature operational framework and the statutory requirements of the Mining Act 1992 and Schedule 8A of the Mining Regulation 2016, which mandate the planning, delivery, monitoring and reporting of progressive rehabilitation across all mining leases.

Operational rehabilitation activities are coordinated across several core functions at HVO. The Mine Planning team leads landform design, sequencing, material balance and the integration of updated final landform requirements (such as the micro-relief utilising geomorphic design principals, and natural landform integration introduced under HVO North Mod 8). The Overburden and Dozer Operations teams undertake the physical works required for progressive rehabilitation, including shaping, contour ripping, topsoil placement, contouring, drainage construction and stability works, supported by a fleet of dozers, graders, loaders, haul trucks and ancillary equipment.

HVO has access to a wide range of specialist skills in-house, including environmental scientists, rehabilitation specialists, civil engineers, surveyors and experienced plant operators. Rehabilitation performance is also supported by external technical expertise, with consultants such as ERR Australia, Kleinfelder, and Mosaic Ecology engaged for ecological monitoring, walkover inspections, vegetation assessments and landform reviews.

HVO's final land use strategy remains a combination of grazing land and woodland habitat. Landforms are generally constructed to slopes flatter than 25%, with steeper gradients restricted to low-wall and high-wall areas adjoining final voids. Rehabilitation completed prior to Mod 8 (HVO North) and Mod 6 (HVO South) reflects traditional landform approaches consistent with the approvals applying at the time.

4.8.4 Monitoring Results

Rehabilitation monitoring at HVO over the audit period has been undertaken through a structured combination of specialist consultant monitoring programs, annual regulatory reporting, and internal walkover inspections.

Across the 2022–2025 documentation reviewed, the following patterns were evident:

- Rehabilitation stability – Landforms across most domains remain stable with limited, localised erosion issues (ERR Walkover, 2024)
- Vegetation establishment:
    - Pasture areas continue to show improving cover, though some blocks require additional planting to improve species composition (Kleinfelder, 2024).
    - Woodland areas are developing structural complexity but several long-term monitoring (LTM) woodland blocks remain below tree stem density targets and lack species diversity, requiring supplementary planting.
- Weed pressures – Priority weeds (*Coolatai Grass, Pampas Grass, African Lovegrass*) remain present in several pasture and woodland blocks, requiring targeted treatment (2023 & 2024 reports).
- TARP triggers – A number of blocks triggered TARP actions related to vegetation cover, composition, or erosion, with corrective actions identified in monitoring reports.

During the audit site inspection, the following observations corroborated findings from the monitoring reports:

- Rehabilitation areas were generally stable, with appropriate contour ripping, shaping, and surface drainage controls in place.
- Vegetation cover and ground condition were improving, particularly on older rehabilitation, consistent with monitoring results from Kleinfelder (2024) and ERR (2024).
- Newer rehabilitation areas showed good early growth but remained susceptible to weed invasion, requiring continued maintenance, consistent with findings in the 2024 walkover report.

- Habitat features (logs, woody debris) had been placed across woodland rehabilitation areas, consistent with recommendations in consultant reports.
- No significant stability failures or safety issues were observed.
- Areas identified by consultants for maintenance or rework (e.g., erosion repair, infill seeding, weed control) were visibly in various stages of treatment, indicating active implementation of maintenance plans.

Observations from the site inspection confirm that the rehabilitation areas are generally performing as expected, with ongoing maintenance actions addressing localised issues as they arise.

4.8.5 Predicted Vs Actual Impacts

The original EIS and MOD EA predictions for HVO North and South anticipated ~40 ha/yr of progressive rehabilitation, leading to stable, self-sustaining landforms and safe, compliant final voids. Since those predictions were made, the modifications to the HVO North and South consents as well as the NSW rehabilitation reform program has driven significant improvements to HVO's rehabilitation planning framework. For HVO North, EIS projections indicated an average of approx. 26 ha/yr between 2018 and 2024, reaching about 1,950 ha by end-2024. For HVO South, Modification 5 (2017) predicted approx. 22 ha/yr between 2022 and 2026, with a cumulative total of approximately 1,158 ha by end-2024.

HVO's Rehabilitation Forward Program now provides a more robust and evidence-based forecasting platform than earlier EIS-level predictions. It incorporates annual rehabilitation targets, disturbance–rehabilitation ratios, and KPI metrics to ensure progressive rehabilitation keeps pace with mining advance. The program also integrates updated landform designs, sequencing, soil and material balance constraints, and improved monitoring data.

At HVO North, the cumulative area under active rehabilitation is slightly lower than the EIS projection, reflecting the slower-than-anticipated rate of mining progression, which has limited the area available for rehabilitation rather than indicating a shortfall in rehabilitation delivery. At HVO South, rehabilitation progression remains consistent with the predicted cumulative total, with areas under active rehabilitation tracking closely with the forecast envelope.

As of October 2025, HVO's actual rehabilitation progress remains broadly consistent with the EIS-predicted trajectory and the updated Forward Program. Rehabilitation delivery is occurring within expected annual ranges, vegetation establishment is improving, and landform stability monitoring indicates no material deviations from predicted outcomes. Final void development remains aligned with the updated Final Void Management Plan (FVMP) design envelope, which was under review at the time of the audit, replacing the earlier 2018 Conceptual FVMP.

4.8.6 Incidents and Non-Compliances

No rehabilitation-related incidents occurred during the audit period.

Administrative non-compliances were identified in relation to document publication and update requirements under Schedule 8A of the *Mining Regulation 2016.* These are summarised in Section 3.2 of this report. No further rehabilitation-specific issues were identified.

4.8.7 Additional OFIs

Table 11 below summarises the context that triggered improvements in relation to rehabilitation, together with the specific OFI made by the auditors.

Table 11 Rehabilitation – Additional OFIs Summary

Reference	Context	Recommendation / OFI
OFI-014	The Forward Program (2025-2027) refers to Dragline operations. Dragline operations ceased at HVO in 2023.	At its next revision review the surface disturbance summary provided in the Forward Program and ensure it remains accurate to operations occurring or forecast to occur. For example, remove reference to Dragline use.

4.9 Heritage

4.9.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) found no heritage-related non-compliances. HVO was assessed as effectively implementing both the HVO South Aboriginal Heritage Management Plan and HVO North Aboriginal Heritage Management Plans. The audit confirmed fenced heritage exclusion zones and a heritage archive storage area, noting one missing exclusion zone sign following flood events. Overall, heritage performance was deemed compliant, with no formal Opportunities for Improvement (OFIs) identified.

4.9.2 Complaints Received

No complaints in relation to heritage were received during the audit period.

4.9.3 Operational Management Measures

Aboriginal cultural heritage management during the audit period was implemented in accordance with the HVO North Heritage Management Plan (HMP) and the HVO South Aboriginal Cultural Heritage Management Plan (CHMP). Operational controls in place included:

- Annual compliance inspections for HVO North, with biannual for HVO South, undertaken with representatives of the Aboriginal Cultural Heritage Working Group (CHWG), including site inspections, performance reviews, and recommendations for improvements.
- Physical site protection with signage, barricading, fencing for protected sites and mandatory ground-disturbance buffers around mapped sites.
- Short- and long-term management of Aboriginal objects under approved Aboriginal Heritage Impact Permit (AHIP) and Care Agreements, on-site storage of salvaged items, and options for future relocation to conservation areas or government-approved keeping places.
- Implementation of procedures for verification and management of scarred trees, hearths, spiritual places, subsurface deposits, and other culturally significant features, as well as protocols for the discovery of human skeletal remains or previously unidentified objects.
- Cultural Heritage Management Database (ACHMD) and the Cultural Heritage GIS & Zoning Scheme (CHZS) (HVO North) and the Cultural Heritage Zoning Plan (CHZP) (HVO South) which map all known sites, management requirements, and zoning controls that regulate land-disturbing activities.
- GDP process.
- Heritage Inductions mandatory for all workers and contractors on site.

Non-Indigenous heritage management during the audit period was implemented through the HVO Historic Heritage Management Plan, which identifies and describes the measures for managing historic heritage places and items. Key operational controls included:

- Maintenance and repairs under Conservation Management Plans (CMP).
- Stabilisation Works Plan (specific to Former Chain of Ponds Inn).
- Undertaking archival records (digital photography) to capture the pre-development state of certain historic heritage items prior to any disturbance.
- Undertaking significance assessments before making decisions about future protection and management.
- Blast vibration monitoring under the HVO North and HVO South Blast Management Plans.
- Procedures for the discovery of new heritage items/sites, and if a potential burial site or potential human skeletal remains are exposed.

4.9.4 Monitoring Results

Compliance inspections for HVO North and HVO South during the audit period found that Aboriginal cultural heritage sites continued to be managed in full conformance with the approved management plan requirements. The inspections confirmed that inspected sites were intact, stable and free from unauthorised disturbance, with management measures such as zoning, buffers and physical protection implemented appropriately.

A small number of sites could not be located due to poor ground surface visibility or limitations in legacy site-recording data. Minor maintenance needs, principally repairs to fencing, barricades and vegetative sediment controls, were identified annually, often compounded by high vegetation cover.

Occasional natural impacts such as termite activity and soil disturbance from feral pigs were noted but presented no significant threat to site integrity. Overall, the inspections verified the effectiveness of the GDP process and provided opportunities to review recent chance finds, with no significant risks identified across the audit period.

In 2024, EMM undertook a due diligence assessment in an area proposed for car park extension in HVO North and identified five objects requiring verification. RAP representatives and an EMM archaeologist confirmed the items as Aboriginal cultural heritage artefacts. Permanent barricading was installed and the car park design amended to avoid impact, with the site recorded as AHIMS 37-2-6621. This outcome demonstrated the effectiveness of the heritage management controls.

Records of consultation (newsletters, project updates) with Registered Aboriginal Parties (RAPS) were sighted during the audit period.

4.9.5 Predicted Vs Actual Impacts

For HVO North, the EIS predicted that known Aboriginal cultural heritage sites within impact areas would be salvaged in accordance with approved HMP requirements, while historic heritage items would be preserved and protected. Similar outcomes were predicted for HVO South, with the CHMP anticipating a consistent management framework involving Aboriginal stakeholder consultation, monitoring, and appropriate salvage or protection measures based on the CHZP and GDP processes.

Across the audit period, Compliance Inspections confirmed that all inspected sites at both HVO North and HVO South remained intact, stable, and managed in full accordance with the relevant management plans, with no unauthorised disturbance or unexpected impacts recorded. Minor maintenance actions and natural impacts were noted but did not affect site integrity.

GDP processes were applied effectively, and chance finds were managed appropriately, including a 2024 due diligence assessment where five artefacts were confirmed as Aboriginal cultural heritage and protected through design changes and site barricading, demonstrating effective heritage controls

Based on the auditor’s review of inspection reports, and Annual Reviews, no additional or unexpected heritage impacts have occurred, and actual impacts remain consistent with or below those predicted.

4.9.6 Incidents and Non-Compliances

No heritage-related non-compliances were identified during the audit period for either HVO North or HVO South.

4.9.7 Additional OFIs

Table 12 below summarises the context that triggered improvements in relation to heritage, together with the specific OFI made by the auditors.

Table 12 Heritage – Additional OFIs Summary

Reference	Context	Recommendation / OFI
OFI-015	HVO maintain and implement separate heritage management plans for HVO South and HVO North.	It is recommended that HVO consider consolidating the North and South Cultural Heritage Management Plans into a single Cultural Heritage Management Plan to streamline management processes and ensure consistency across operations.
OFI-016	Section 5.13 of the HVO North HMP states that Scarred tree 37-2-2080 (C3) was removed (salvaged) in August 2007 under an AHIP consent (#2547) and relocated for storage at the HVO Cultural Heritage Storage Facility, HVS, under the terms of Care and Control Plan #2863. This is not accurate as the tree has been placed out the front of the HVO North Admin building (south of the building).	Update Section 5.13 of the HVO North HMP to include the correct location of the Scarred tree 37-2-2080 (C3). During the update it is suggested HVO update the document to ensure the effective and review dates and versions are consistent across the cover page and internal sections and implement a version-control check to prevent future discrepancies.

4.10 Transport

4.10.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) confirmed compliance with traffic/transport requirements, with no OFIs or non-compliances identified.

4.10.2 Complaints Received

There were 6 traffic/driving behaviour complaints received during the audit period relating to unsafe or inappropriate driving behaviours by vehicles entering or exiting HVO access roads, including failure to give way, tailgating, overtaking risks and near-miss incidents at the Golden Highway and Lemington Road intersections.

Internal investigations were conducted for each complaint, with corrective actions implemented such as site-wide communications on safe driving, inclusion of road safety messaging in daily communication meetings and Safety Training Days, vegetation maintenance to improve visibility, and targeted briefings to Mine and Maintenance teams. In instances where drivers were identified, supervisors followed up directly. No broader traffic-related non-compliances were identified.

4.10.3 Operational Management Measures

HVO has established comprehensive traffic and transport controls to ensure safe and efficient vehicle movements across the mine and to minimise interactions with the public road network. Coal is transported via the following means:

- Coal from the HVCPP is conveyed to the Hunter Valley Load Point (HVLP) and Newdell Load Point (NLP) via an overland conveyor,
- Coal from the Howick CHPP is hauled along internal private roads and a small section of Pikes Gully Rd to the NLP. Use of Pikes Gully Road, including associated access works and traffic management, is authorised under a Section 138 approval issued by Singleton Council in accordance with the *Roads Act 1993* (NSW).
- All product coal is loaded onto trains at HVLP or NLP.

The site maintains an extensive network of private haul roads, which are subject to routine inspection, grading, dust suppression and drainage maintenance. Heavy-vehicle operating protocols apply across the network, including speed limits, overtaking restrictions, radio-call procedures and heavy-light vehicle separation where practicable. Controlled access points at the Golden Highway and Lemington Road

manage the interface with public roads, supported by signage, visibility management (e.g. vegetation maintenance), and adherence to posted road rules when entering public traffic.

4.10.4 Monitoring Results

There are no specific traffic or transport monitoring requirements in the development consents or the EPL, other than maintaining annual records of coal haulage volumes, which are reported in the Annual Reviews. As coal transport is undertaken exclusively via internal haul roads, overland conveyors and rail load-out facilities, there are no mandated public-road traffic counts or on-road monitoring programs applicable to HVO.

Operational oversight of traffic movements is instead achieved through routine inspections of internal haul roads, incident and hazard reporting systems, vehicle telemetry monitoring, and supervision of driver behaviour. No issues were identified through these internal processes during the audit period that would indicate elevated traffic risk or non-compliance with transport-related consent conditions.

4.10.5 Predicted Vs Actual Impacts

The EIS predicted negligible impacts to regional road traffic, as coal transport would be rail-based and no new road transport routes were proposed. Actual operations during the audit period confirm that coal haulage continues via internal haul roads, overland conveyors and rail load-out facilities, with no coal transported on public roads. No transport-related complaints or incidents were reported. This was confirmed during the site inspection. While six complaints were received regarding individual driving behaviour at site access points, these related to driver conduct rather than traffic volume or mine-generated pressure on the road network.

4.10.6 Incidents and Non-Compliances

There were no reported incidents or non-compliances identified during the audit period.

4.10.7 Additional OFIs

No OFIs have been made in relation to traffic or transport.

4.11 Visual Amenity

4.11.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) confirmed that a site-wide Lighting Review was completed in October 2022, with the audit finding existing lighting controls to be effective and requiring no improvements. In relation to visual amenity, the IEA observed that progressive rehabilitation was being implemented in accordance with, and in some areas ahead of, the previously approved Mining Operations Plan, supporting effective management of visual impacts at the Site. The 2022 IEA confirmed compliance with visual amenity requirements, with no OFIs or non-compliances identified.

4.11.2 Complaints Received

Lighting and visual amenity-related complaints were reviewed against the HVO Community Complaints Registers for the audit period. Two lighting-related complaints were received from Long Point residents in 2023, each reporting light shining directly into their homes. In both cases, the Open Cut Examiner (OCE) contacted the complainants, adjusted or shut down the identified lighting plants, and confirmed the disturbances had ceased. Internal investigations found the lights were likely visible from the complainants' locations, prompting process changes and a review of lighting tower operational practices.

No other complaints were received during the audit period.

4.11.3 Operational Management Measures

Visual amenity at HVO is primarily managed through the Rehabilitation Management Plan (RMP, Version 2.0) and operational controls that seek to minimise the visibility of mining activities from public viewpoints and sensitive receivers.

HVO manage visual amenity under the RMP, Version 2.0 by maintaining the ridge between Jerrys Plains and HVO North as an effective visual barrier and the use of additional visual screening

measures, including vegetation plantings and fencing with shade cloth along sections of Lemington Road, which was observed during the Site Inspection.

HVO also undertakes temporary stabilisation of overburden areas through seeding with sterile cover crops, which, as a by-product, contributes to improved visual amenity.

Lighting is managed under the site's environmental and operational management framework, incorporating AS 4282 principles. Controls included:

- Directional lighting and shielding to minimise upward and horizontal light spill;
- Careful siting and angling of lighting towers;
- Shutdown of non-essential lighting;
- Immediate corrective response to lighting complaints; and
- Reinforcement of lighting protocols following 2023 complaint investigations.

The site inspection was conducted during daylight hours only, limiting the ability to directly verify night-time lighting effects; however, infrastructure layout, complaint response processes and historical lighting reviews provide reasonable assurance of effective management.

4.11.4 Monitoring Results

There are no specific visual amenity monitoring requirements in the development consents or EPL.

4.11.5 Predicted Vs Actual Impacts

The EIS for both HVO North and HVO South predicted moderate visual impacts, with progressive rehabilitation expected to enhance visual quality over time. Actual outcomes to October 2025 show that vegetation screening and rehabilitation have been effective, with no visual complaints recorded. Overall performance is better than predicted, indicating improving visual amenity conditions.

4.11.6 Incidents and Non-Compliances

There were no incidents reported, or non-compliances identified during the audit period.

4.11.7 Additional OFIs

No OFIs have been made in relation to visual amenity.

4.12 Waste

4.12.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) did not identify any non-compliances or opportunities for improvement in relation to waste management on site. The 2022 IEA reported HVO remained compliant with all EPL waste acceptance, handling, disposal and tyre-management requirements, with no evidence of improper waste disposal. Waste segregation, bunding and pollution controls in workshops and CHPP areas were effective, and no burning of waste occurred.

4.12.2 Complaints Received

No complaints in relation to waste were received during the audit period.

4.12.3 Operational Management Measures

Waste is managed at the Site in accordance with the Waste Management System and the Non-Mineral Waste Management Plan (2022). HVO engages JR Richards as its licensed waste contractor.

Operational controls include waste segregation, waste recycling programs, waste tracking and reporting, waste recovery (steel), monthly inspections of waste storage areas, annual reporting, monthly waste management reporting spreadsheets by JR Richards (and formerly Cleanaway).

HVO operates two active on-site sewage treatment plants (STPs) at HVO North and HVO South. A third, former plant, STP West, remains in use only for storage purposes. Operational controls include quarterly monitoring in accordance with EPL requirements, with all results documented and reported

through the Annual Return. Each STP is routinely maintained to ensure continued and effective treatment performance.

4.12.4 Monitoring Results

Waste was sighted to be appropriately segregated on site, with designated and signposted storage areas, supported by completed monthly waste management reporting and evidence of waste tracking documentation. No waste-related non-compliances or externally reportable incidents were recorded during the audit period.

Quarterly monitoring at STP North and STP South was undertaken in accordance with EPL requirements, with results compiled by AECOM. Monitoring confirmed all required sampling occurred during the audit period. Faecal coliform levels were reported to have decreased at HVO North and South following recent system upgrades, while high levels persist at HVO West as it functions only as a holding facility, with untreated effluent transferred to HVO North and offsite to licenced facilities by the Licence Waste Contractor.

4.12.5 Predicted Vs Actual Impacts

The EIS and Modification EAs for both HVO North and HVO South predicted minimal waste generation, supported by segregation practices and recycling performance achieving greater than 80% recycling. During the audit period, HVO achieved recycling rates above 90%, surpassing the greater than 80% reuse target described in the sites Non-Mineral Waste Management Plan . Waste volumes were actively monitored, and major waste streams (effluent, scrap steel, waste oil) were recovered.

Waste segregation was observed to be effective, with clear and well-maintained systems in place to support compliant waste handling across the operation. Designated and signposted storage areas were in use, monthly waste management reporting spreadsheets were consistently completed, and waste tracking documentation was available and up to date. No waste-related non-compliances or unauthorised disposals were recorded across the period, further supporting strong alignment with, and outperformance of, predicted impacts.

4.12.6 Incidents and Non-Compliances

No incidents or non-compliances were identified in relation to waste and recycling, however HVO remained non-compliant with EPL 640 Condition O2.6(a), which requires certification from the system provider confirming that each sewage treatment plant (STP) operates within capacity. Certification was unavailable as the original provider is no longer engaged, and capacity documentation is missing.

4.12.7 OFIs

No specific OFIs were identified during the audit period.

4.13 Hazard Management

4.13.1 Previous IEA Findings

The 2022 IEA (RPS, 2023) identified no non-compliances relating to spontaneous combustion, dangerous goods, or bushfire management. Controls for all three hazard areas were found to be effective and appropriately implemented.

Two hazard-related OFIs were noted. Signage and delineation in the southern bioremediation area were observed to be unclear, with treatment cells and storage areas not well defined. In addition, several dangerous goods storage issues were observed, including uncovered waste containers on bunded pallets and a 20L oil container without secondary containment near the Hunter River crossing.

No OFIs were raised for spontaneous combustion or bushfire management, and bushfire controls were assessed as fully compliant with approved fire-management requirements.

4.13.2 Complaints Received

No complaints in relation to hazard management were received during the audit period.

4.13.3 Operational Management Measures

HVO has established systems for managing dangerous goods, spontaneous combustion and bushfire risk. Dangerous goods are managed under site procedures for hazardous chemicals and explosives, supported by appropriate segregation, bunding, labelling, manifests, spill response equipment, fire controls, trained emergency response personnel and PPE. These controls are reinforced through routine inspections, periodic third-party audits and tracking of corrective actions in the Compliance Management System (CMO).

Spontaneous combustion is managed in accordance with the Spontaneous Combustion Principal Hazard Management Plan (2022), which was sighted and is scheduled for review in August 2025. Bushfire risk is managed under the Bushfire Management Plan (2023) through asset protection zones, vegetation management, ignition source controls, fire suppression systems, training and emergency response procedures.

4.13.4 Monitoring Results

Fuel farms are inspected three times per week, with additional monthly and six-monthly environmental inspections undertaken across dangerous goods storage areas. Site inspections confirmed appropriate spill kits, labelling, placarding, segregation and secondary containment.

The most recent third-party dangerous goods audit (SLR, 2018) identified bunding deficiencies under AS 1940-2017, however all actions from the 2018 audit were closed out at the time of the audit.

No spontaneous combustion thresholds were triggered during the audit period. Two minor bushfire-related events occurred in 2023 and were promptly controlled. No bushfire events occurred in 2022 or 2024.

4.13.5 Predicted Vs Actual Impacts

The EIS and modification EAs predicted low spill and bushfire risk under the site's management framework. Actual performance during the audit period was generally consistent with these predictions, with no spill incidents recorded and bushfire impacts remaining minor and well managed. However, legacy bunding deficiencies mean infrastructure compliance does not fully align with EIS assumptions.

4.13.6 Incidents and Non-Compliances

There were no reported incidents regarding dangerous goods, spontaneous combustion or bushfire during the audit period.

One non-compliance was identified in relation to closing out deficiencies identified in a 2018 audit of hazardous chemical storage on site. Refer Condition O6.2 of EPL 640 for details.

4.13.7 Additional OFIs

Table 13 below summarises the context that triggered improvements in relation to hazard management, together with the specific OFIs made by the auditors.

Table 13 Hazard management – OFIs Summary

Reference	Context	Recommendation / OFI
OFI-017	Auditors sighted this plan during the assessment and noted it is scheduled for review on 10/08/2025.	HVO to review the Spontaneous Combustion Principal Hazard Management Plan.

5.0 Adequacy of HVOs Approved Management Strategies, Plans or Programs

A high-level assessment to determine the adequacy of HVOs Approved Management Strategies, Plans or Programs is provided in Table 15 below.

Table 14 Adequacy of HVO's Approved Management Strategies, Plans or Programs

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
Agricultural Land Reinstatement Management Plan Version: 4.0 Date: 19 August 2025	Schedule 3, Condition 62D	n/a	The plan details the process for ensuring mined alluvial agricultural lands are suitably restored in accordance with regulatory criteria. The plan has been revised twice within the audit period, including in August 2023 and August 2025. The 2023 revision was to include a summary of consultation, as well as minor updates to the completion criteria to reflect consent conditions. The 2025 revision was to address changes required following the approval of HVO North Mod 8. The Agricultural Land Reinstatement Management Plan incorporates the requirements relevant to the Carrington West Wing revised proposed extension area and was prepared in consultation with the Department of Primary Industries (DPI), with evidence of DPI consultation sighted. At this stage, HVO has satisfied the preparatory requirements of Schedule S3 Condition 62D(a)–(b), with full implementation to occur once disturbance of the relevant alluvial lands takes place. The updated Plan was approved by the Department on 26/08/2025 and has been made publicly available. Evidence of consultation with DPI is included in Appendix C of the plan.
Bushfire Management Plan Version: 5.0 Date: 19 July 2023	Schedule 3, Condition 61	n/a	The plan details the process for identifying and assessing bushfire risks and preventative measures to manage these risks. Appendix E of the plan details consultation and approval from Singleton Council and Appendix F of the plan details consultation and approval from NSW Rural Fire Service (RFS). RFS endosed the updated Version 6.0 on 1 September 2025. Overall, the Bushfire Management Plan satisfies the conditions of Schedule 3, Condition 61 of DA450-10-2003.
Final Void Management Plan	Schedule 3, Condition 28	n/a	HVO consulted with the Department to defer the submission of the FVMP and, prior to the audit period, prepared and obtained approval for a Conceptual Final Void Management Plan (CFVMP) (Version 1.2, EMM) on 16 May 2022.

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
Version: 1.2 Date: 21 November 2024			Multiple extensions to the FVMP submission date were requested to allow incorporation of updated landform design, groundwater modelling, slope stability assessment following Regulator feedback. While formal written approval was not issued for each extension, audit evidence confirms the Department was consistently informed of progress and acknowledged the revised timelines without objection. Correspondence dated 1 July 2025 acknowledged the proposed submission date of 31 October 2025 and noted no comments, which is considered acceptance of the revised timeframe. At the close of the audit period, preparation of the FVMP was ongoing, with submission proposed by 31 October 2025.
Goulburn River Biodiversity Area Management Plan Version: 3 Date: 27 July 2022	n/a	Schedule 3, Condition 36	The Goulburn River Biodiversity Areas Management Plan (Version 3) has been prepared and implemented to satisfy the biodiversity offset requirements under EPBC 2002/629, SSD-6464, and Condition 29 of Schedule 3 of PA 06-0261. The Plan covers a 1,206 ha offset area, comprising 140 ha attributed to HVO and 1,066 ha to Mt Thorley-Warkworth (MTW) Mine, with the HVO portion managed commercially by MTW Mine. This plan has not been revised during the audit period. A number of OFIs were identified in relation to implementing recommendations from biodiversity offset monitoring reports.
Hunter Valley Gliding Club Amenity Management Plan Version 9.6 Date: 21 June 2024	n/a	Schedule 3, Condition 49	The plan was developed in consultation with HVGC, with details of the consultation outcomes provided in Appendix F and Approval from DPHI included in Appendix E of the plan. The plan adequately addressed the requirements of Condition 49 of Schedule 3. Additional controls under the Hunter Valley Gliding Club Amenity Management Plan include Obstacle Limitation Surface (OLS) management under agreed protocols, coordinated communication with HVGC to adjust operations during gliding activities, blasting restrictions within 500 metres on gliding days, mandatory notifications for relevant activities, requirements to locate infrastructure in positions acceptable to HVGC, and ongoing review and consultation to ensure the AMP continues to meet HVGC's operational needs.
HVO Air Quality & Greenhouse Gas Management Plan	Schedule 3, Condition 6	Schedule 3, Condition 23	During the audit period HVO operated under a single, integrated Air Quality and Greenhouse Gas Management Plan (AQGGMP) that satisfies the requirements of Schedule 3, Condition 6 of DA 450-10-2003 (HVO North) and Schedule 3, Condition 23 of PA 06_0261 (HVO South). The currently approved version (Version 3, December 2021) was endorsed by the Department on 19 May 2022.

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
Version: 3.5 Date: 22 May 2025			Following the approval of Modification 8 in April 2025, DA 450-10-2003 (HVO North) was amended so that short-term PM_{10} must be assessed using incremental criteria rather than the cumulative (total impact) criteria referenced in the currently approved AQGGMP (Version 3, approved 19 May 2022). HVO subsequently updated the AQGGMP to incorporate these MOD 8 changes, and at the same time reviewed trigger levels and proposed adjustments to the air quality monitoring network, including the removal of the Warkworth TSP monitor. The updated plan had been submitted to the Department for approval but had not been approved at the time of the audit period concluding. It is noted that HVO proposes to separate the AQGGMP into two distinct management plans, comprising an Air Quality Management Plan and a Greenhouse Gas Management Plan. As these plans had not been implemented during the audit period, they were not subject to audit review. The AQGGMP was found to be adequately addressing the requirements of HVOs consent conditions. However, several OFIs were made to improve the plan, as detailed in Table 9 and Section 6.0. At the time of the audit, the updated plan remained unapproved, resulting in reliance on superseded criteria within the operative management plan.
HVO Blast Management Plan Version: 4.0 Date: 18 August 2025	Schedule 3, Condition 19	Schedule 3, Condition 18	The plan details the procedures to ensure compliance with Approval conditions regarding blasting impacts, as well as assessment mechanisms for blast monitoring results against relevant criteria. The plan has been revised thrice during the audit period, including in 2023, 2024 and 2025.These changes followed approval of PA 06_0261 Mod 8, Annual Reviews, IEA, 2024 AEMR and approval of DA 450-10-2003 Mod 8. Appendix F provides evidence for approval of the management plan from the Department.
HVO Environmental Management Strategy Version: 6.0 Date: 19 August 2025	Schedule 5, Condition 1	Schedule 5, Condition 1	The HVO Environmental Management Strategy was assessed against Schedule 5, Condition 1 of DA450-10-2003 and Schedule 5, Condition 1of PA 06_0261. The strategy details HVO's management of environmental and community aspects, impacts and performance. Appendix E details the approval from DPHI for the management plan on 26 August 2025.

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
HVO Fine Reject Management Strategy Version: 5.0 Date: 16 April 2025	Schedule 3, Condition 28	n/a	The plan details the strategy for management of fine rejects (tailings) based on the planned production schedule from January 2024 to March 2030. Evidence of consultation with NSW Resources Regulator and DPE is included in Table 9.1, and approval from the Department is documented in Appendix B of the plan. Overall, the HVO Fine Reject Management Strategy satisfies the conditions of Schedule 3, Condition 28 of DA450-10-2003.
HVO Historic Heritage Management Plan Version: 1.0 Date: 24 June 2025	n/a	Schedule 3, Condition 9	The HVO Historic Heritage Management Plan was assessed against Schedule 3, Condition 9 of PA 06_0261. HVO North has no historic heritage conditions, however, HVO South includes a single requirement to ensure vibration levels at St Philip's Church and the Archerfield outbuildings do not exceed 5 mm/s. In addition to this Condition, under previous HVO South Environmental assessment (ERM, 2008) HVO had commitments to undertake targeted assessments of additional heritage features, including a derelict bridge and the Dog Leg (Cockatoo) Fence. These assessments have been completed, although the Dog Leg Fence remains extant on HVO-owned land. Compliance with this requirement is monitored through routine blasting vibration monitoring, using the Warkworth monitoring location for St Phillip's Church under the Blast Management Plan, Version 4.0, 2025.
HVO Integrated Biodiversity Management Plan Version: 3.0 Date: 19 August 2025	Schedule 3, Condition 35	Schedule 3, Condition 33A	HVO has prepared and implemented the HVO Integrated Biodiversity Management Plan (IBMP). The IBMP was initially approved by the Department prior to the commencement of the audit period. The most recent version of the IBMP (Version 3.0) was approved by the Department on 26 August 2025. The IBMP provides a high-level framework for biodiversity management and integrates relevant offset, rehabilitation and restoration strategies. The audit confirmed the IBMP was effectively implemented during the audit period, with biodiversity management measures and monitoring undertaken in accordance with the Plan and supporting documents, and results accurately reported in Annual Reviews. While the IBMP generally addresses the requirements of Condition 35 of DA 450-10-2003 and Condition 33A of PA 06_0261, opportunities were identified to improve clarity by more clearly documenting and linking performance and completion criteria, monitoring programs and remedial triggers within the IBMP, and to address minor administrative matters.

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
			An OFI was made (OFI-012) to review and update the Integrated Biodiversity Management Plan to clearly document and integrate performance and completion criteria, monitoring programs and remedial triggers, and to correct minor administrative and formatting issues, to ensure the Plan clearly demonstrates alignment with the requirements of Condition 33A.
HVO Noise Management Plan Version: 2.0 Date: 2 April 2025	Schedule 3, Condition 10	Schedule 3, Condition 6	HVO has in place an approved Noise Management Plan (NMP) that applies to both HVO North (DA 450-10-2003) and HVO South (PA 06_0261). The NMP is implemented in accordance with Condition 10 of Schedule 3 of the HVO North consent and Condition 6 of Schedule 3 of the HVO South consent, both of which require the preparation, approval and maintenance of a noise management plan that outlines the operational, monitoring, reporting and mitigation measures to be applied across the complex. According to the change management table in the NMP and discussions with HVO's E&C department, the NMP was updated once during the audit period. The update responded to recommendations from the 2022 IEA and incorporated changes associated with the approval of HVO South Modification 8. The revised NMP Version 4.0 was submitted to the Department in February 2025. Following a review process, during which HVO responded to the Department's comments and requests for further information, the Department confirmed that the updated NMP met the requirements of both HVO North and HVO South consents. Version 4.0 of the Noise Management Plan was formally approved on 17 March 2025. The NMP is considered to adequately address the conditions of the consent however several OFIs were made to improve the plan, as detailed in Table 7 and Section 6.0.
HVO North Heritage Management Plan Version: 7.0 Date: 2 October 2024	Schedule 3, Condition 41	n/a	The HVO North Heritage Management Plan was assessed against Schedule 3, Condition 41 of DA450-10-2003. Version 7.0 is current and was reviewed and updated once during the audit period and formally approved by DPHI on 21/10/2024. Management of Aboriginal heritage is undertaken separately for HVO North and HVO South. HVO advised auditors that Version 8.0 is currently in draft. The HVO North HMP adequately addressed the requirements of Schedule 3 Condition 41.
HVO River Red Gum Rehabilitation & Restoration Strategy	Schedule 3, Condition 31	Schedule 3, Condition 30	The River Red Gum Rehabilitation and Restoration (RRGRR) Strategy (Version 2.0, dated 18/08/2025), prepared by Umwelt (Australia) Pty Ltd reflects engagement with DPE Water including their feedback, amendments, and subsequent approval.

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
Version: 2.0 Date: 18 August 2025			The Department approved the current version of the strategy on 26 August 2025. External consultant Umwelt were engaged to prepare the Strategy as the suitably qualified experts. The current version, RRGRR Strategy Version 2.0, represents an updated and strengthened revision of the 2017 strategy, incorporating over a decade of monitoring findings (2007–2017) and addressing feedback from the regulators. It outlines clear rehabilitation and restoration objectives for the Carrington Billabong and associated river red gum population, sets out short, medium and long-term management measures, and establishes detailed assessment and completion criteria consistent with the condition requirements. An OFI has been made to update the RRGRR Strategy (Version 2.0) to better detail pathogen management measures, ensuring the current risk and existing and future management controls are clearly captured
HVO South Aboriginal Cultural Heritage Management Plan Version: 6.0 Date: 2 October 2024	n/a	Schedule 3, Condition 40	The HVO South Aboriginal Cultural Heritage Management Plan was assessed against Schedule 3, Condition 40 of PA 06_0261.Management of Aboriginal heritage is undertaken separately for HVO North and HVO South. Auditors were advised that an updated HVO South ACHMP has been drafted, with references to AHIPs removed and minor wording updates included. The draft was issued to RAPs for comment and is currently undergoing internal review before submission to the Department. This updated plan has not yet been lodged for approval. The plan adequately addressed the requirements of Condition 40, Schedule 3 of PA 06_0261.
HVO Water Management Plan Version: 3.0 Date: 27 July 2018	Schedule 3, Condition 27	Schedule 3, Condition 27	HVO operates under an approved Water Management Plan Version 3.0, endorsed by the Secretary on 16 October 2018. This version remains the only approved plan despite several subsequent revisions by HVO to address operational changes, consent modifications, and recommendations from Annual Reviews and the 2022 IEA. Since 2018, HVO has updated the WMP multiple times (including versions 3.4 and 4.0) to incorporate MOD 6 and MOD 8 approvals, revised surface and groundwater monitoring networks, updated triggers and performance criteria, refined water balance methodology, and improved descriptions of drainage, diversions, dams, erosion controls, and groundwater monitoring requirements. Version 4.0 addresses the key gaps previously identified in the 2022 IEA, including the need for clearer groundwater inflow quantification, improved surface-water performance criteria, and updated

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
			monitoring network configuration, however the updated WMP remained unapproved at the time of the audit period concluding. While HVO continues to implement the approved WMP, aspects of day-to-day water management, particularly groundwater trigger values, bore rationalisation and investigation processes, reflect the unapproved Version 4.0, creating a procedural compliance risk.
Low Permeability Barrier Monitoring and Management Plan	Schedule 3, Condition 25	n/a	This project has not commenced, and therefore the condition has not yet been triggered.
Rehabilitation Management Plan Version 2.0 Date: November 2025	Schedule 3, Condition 32	Schedule 3, Condition 36	The revised RMP consolidates HVO North and HVO South into a single rehabilitation framework. The RMP was approved by the Department of Planning, Housing and Infrastructure (DPHI) on 24 November 2025, with the version number updated to Version 4.0 to align with HVO's internal document control numbering system. The approved version has been published on the HVO website in accordance with the NSW Mining Regulation 2016. HVO previously received approval from the Department on 2 December 2022 to combine the conceptual Landscape and Rehabilitation Management Strategy with the overarching site Rehabilitation Management Plan. The approved RMP aligns rehabilitation planning and implementation across both HVO North and HVO South under a single, integrated framework. The RMP defines objectives for landform stability, drainage, ecosystem function, and final land use. The plan includes a detailed conceptual layout for progressive rehabilitation, integrates with mining lease obligations under the Mining Act 1992, and provides clear measures and indicative closure timeframes. In relation to offsets and the integration with regional vegetation corridors, the reader is directed to the HVO Integrated Biodiversity Management Plan. Overall, the plan provides a framework for landscape management and rehabilitation across the site.
Rehabilitation Strategy	Schedule 3, Condition 32	n/a	At the conclusion of this IEA audit period, the Rehabilitation Strategy was under development and had not yet reached its regulatory submission deadline. As such, this condition was not triggered for the reporting period, and no compliance assessment was required at this stage. HVO has advised that, once prepared, the Rehabilitation Strategy will include measures to address the rehabilitation objective relating to the management of socio-economic impacts associated with mine closure. While the HVO South consent includes a corresponding requirement to minimise

Document Details	Reference		Summary of Management Plans Adequacy
	DA450-10-2003 (HVO North)	PA 06_0261 (HVO South)	
			adverse socio-economic effects associated with mine closure, it does not require preparation of a standalone rehabilitation strategy. It is also noted that, subject to approval of the Continuation Project, HVO South is scheduled to close earlier than HVO North, meaning closure-related socio-economic impacts are likely to arise earlier for HVO South. An OFI has been made (OFI-013) to ensure that the Rehabilitation Strategy prepared for HVO North includes consideration of measures to minimise adverse socio-economic effects associated with mine closure of HVO South, noting the absence of a standalone rehabilitation strategy requirement under the HVO South consent.

6.0 Recommendations and OFI Summary

Table 15 below provides a consolidated summary of the Recommendations (RECs) and Opportunities for Improvement (OFIs) identified during the 2025 IEA. In accordance with Condition 11 of Schedule 5 of DA 450-10-2003 and Condition 6 of Schedule 5 of PA 06_0261, HVO is required to submit to the Secretary, within 12 weeks of commencing the IEA, a copy of this Independent Environmental Audit report together with:

- HVO's response to each recommendation contained in the audit report; and
- A timetable for the implementation of any measures proposed to address the recommendations.

The IEA commenced on 13 October 2025. Accordingly, this audit report, together with HVO's responses to the recommendations detailed in Table 15 below and the associated implementation timetable, must be submitted to the Secretary by 5 January 2026.

Table 15 Summary of Recommendations and OFIs

ID	Applicable Criteria	Context	Recommendation / OFI
REC-001	EPL 640 - O2.6	The HVO South STP upgrades (new pumps, UV lamps, and chlorine disinfection) were completed in July 2025, enabling future certification. Full compliance will be achieved once the HVO South STP certification is obtained.	HVO should obtain certification from the system provider confirming that the HVO South STP is operating within its design capacity, in accordance with Condition O2.6(a) of EPL 640, to achieve full compliance.
REC-002	EPL 640 – R5.8	HVO submitted Annual Water Quality Monitoring Reports with its EPL 640 Annual Returns, however, multiple discrepancies were identified between values reported in the Annual Return tables and the underlying raw monitoring data (including incorrect parameters reported, mismatched EC and pH values, substitution of "<5" results as "5", incorrect or inconsistent datasets, and formatting errors).	HVO should review the root cause of the errors and confirm appropriate processes are in place to ensure the accuracy of data presented in external reports.
OFI-001	DA 450-10-2003 - S5 C9 PA 06_0261 - S5 C4	Review of HVO's Annual Reviews for 2022, 2023 and 2024 identified inconsistencies in the identification, classification and reporting of non-compliances, particularly within Section 1 – Statement of Compliance. In particular, there was insufficient explanation provided in Section 11 – Incidents and Non-Compliances as to why certain incidents (including blast fume events) were treated differently between reporting years, or excluded from non-compliance classification under relevant approvals. Minor inconsistencies were also observed	Expand the Annual Review Section 1 – Statement of Compliance to include a consolidated compliance assessment against all relevant approvals and licences, and ensure that all non-compliances, regardless of approval type, are consistently identified in Section 1 and cross-referenced to detailed discussion in Section 11.

ID	Applicable Criteria	Context	Recommendation / OFI
		between the compliance status reported in Section 1 and the descriptions provided in Section 11. The Annual Review Guideline (October 2015) requires the Statement of Compliance to provide a clear and transparent summary of compliance against all relevant approvals, including development consents, mining leases and other applicable statutory instruments. The guideline further requires that all non-compliances be clearly identified, without the use of partial or ambiguous classifications, and be expanded upon in Section 11 of the Annual Review.	
OFI-002	DA 450-10-2003 - S3 C10 PA 06_0261 - S3 C6	The NMP currently refers to ARTC's EPL requirements for locomotive noise. During the audit period, Pacific National assumed responsibility for locomotive noise compliance under EPL 21364, and provided written confirmation of compliance to HVO.	NMP Section 7.3 should be updated to reference Pacific National's EPL 21364 rather than ARTC, ensuring alignment with current regulatory responsibilities.
OFI-003	DA 450-10-2003 - S3 C10 PA 06_0261 - S3 C6	The distinction between EPL monitoring points (referenced in Table 6 of the NMP) and Development Consent receiver locations (referenced in Table 8-3) is not always clear, requiring cross-referencing between multiple tables to confirm which criteria apply at each location.	Clarity between EPL locations and DA locations in monthly reports would allow easier determination of locations (Table 8-3 of NMP), noting that day and evening criteria are not included in table 8-3.
OFI-004	DA 450-10-2003 - S3 C19 PA 06_0261 - S3 C18	The BMP clearly defines the requirements for regulatory notification of blast fume events to the Department of Planning, Housing and Infrastructure and, where applicable, the EPA. However, audit review identified that there is less clarity regarding how blast fume events are to be consistently classified for compliance reporting purposes, such as within Annual Review documentation. This has resulted in similar blast fume events being classified differently across reporting periods, reflecting differences in interpretation rather than differences in blast controls, outcomes, or impacts.	Clarify BMP guidance on when blast fume events should be classified as non-compliances for Annual Review reporting
OFI-005	DA 450-10-2003 - S3 C6 PA 06_0261 - S3 C23	Although implementation of the TARP was clearly evident and effective, the process is not defined in the AQGGMP.	Include reference to the Air Quality TARP in the AQGGMP.

ID	Applicable Criteria	Context	Recommendation / OFI
OFI-006	DA 450-10-2003 - S3 C6 PA 06_0261 - S3 C23	Current definitions are inconsistent and both sections refer to roads used for less than 12 months.	Update the definition of 'temporary' and 'primary' haul roads (Section 6.3.2.7).
OFI-007	DA 450-10-2003 - S3 C6 PA 06_0261 - S3 C23	Reference to MOP throughout AQGGMP	Remove references to the Mining Operations Plan (MOP) if these remain in the unapproved draft, noting that MOPs have been replaced by the Rehabilitation Management Plan (RMP) framework.
OFI-008	DA 450-10-2003 - S3 C6 PA 06_0261 - S3 C23	Updated AQGGMP not yet approved by the Department resulting in inconsistencies with implementation due to changes in consent conditions following approval of MOD 8	Follow up with the Department regarding approval of the updated AQGGMP, submitted following HVO North Modification 8.
OFI-009	PA 06_0261 - S3 C29	Habitat structures (fallen logs, hollows, coarse woody debris) are expected to improve naturally over time, however ecology consultant recommended HVO consider the installation of nest boxes to support in the interim.	Consider installing nest boxes to support hollow-dependent fauna while natural hollows develop.
OFI-010	PA 06_0261 - S3 C29	Monitoring Plot H2 does not align with the expected Biometric Vegetation Type HU843 (PCT 1629), rendering benchmark comparisons invalid.	Establish a new monitoring plot that accurately represents HU843 while continuing long-term monitoring at H2.
OFI-011	DA 450-10-2003 - S3 C31	The RRGRR Strategy (Version 2.0) did not reference the Phytophthora infestation as a risk that requires mitigation. While the plan does reference maintenance of genetic integrity, and the requirement to not mix species, it does not include reference to specific management measures applicable to pathogenic management.	It is recommended that the RRGRR Strategy be updated to better detail pathogen management measures, ensuring the current risk and existing and future management controls are clearly captured.
OFI-012	PA 06_0261 - S3 C33A	Opportunities were identified to improve clarity by more clearly documenting and linking performance and completion criteria, monitoring programs and remedial triggers within the IBMP, and to address minor administrative matters.	Review and update the Integrated Biodiversity Management Plan to clearly document and integrate performance and completion criteria, monitoring programs and remedial triggers, and to correct minor administrative and formatting issues, to ensure the Plan clearly demonstrates alignment with the requirements of Condition 33A.
OFI-013	PA06_0261 S3 C35	HVO has advised that the Rehabilitation Strategy being prepared for HVO North will include measures to address the rehabilitation objective relating to the management of socio-economic impacts associated with mine closure,	HVO should ensure that the Rehabilitation Strategy prepared for HVO North includes consideration of measures to minimise adverse socio-economic effects associated with mine closure of HVO South, noting the

ID	Applicable Criteria	Context	Recommendation / OFI
		and that these measures are intended to also apply to HVO South.	absence of a standalone rehabilitation strategy requirement under the HVO South consent.
OFI-014	Standard Conditions for Mining Leases	The Forward Program (2025-2027) makes reference to Dragline operations. Dragline operations ceased at HVO in 2023.	At its next revision review the surface disturbance summary provided in the Forward Program and ensure it remains accurate to operations occurring or forecast to occur. For example, remove reference to Dragline use.
OFI-015	DA 450-10-2003 - S3 C41A PA 06_0261 - S3 C40	HVO maintain and implement separate heritage management plans for HVO South and HVO North.	It is recommended that HVO consider consolidating the North and South Cultural Heritage Management Plans into a single Cultural Heritage Management Plan to streamline management processes and ensure consistency across operations.
OFI-016	DA 450-10-2003 - S3 C41A PA 06_0261 - S3 C40	Section 5.13 of the HVO North HMP states that Scarred tree 37-2-2080 (C3) was removed (salvaged) in August 2007 under an AHIP consent (#2547) and relocated for storage at the HVO Cultural Heritage Storage Facility, HVS, under the terms of Care and Control Plan #2863.	Update Section 5.13 of the HVO North HMP to include the correct location of the Scarred tree 37-2-2080 (C3). During the update it is suggested HVO update the document to ensure the effective and review dates and versions are consistent across the cover page and internal sections and implement a version-control check to prevent future discrepancies.
OFI-017	DA 450-10-2003 - S3 C58	Auditors sighted this plan during the assessment and noted it is scheduled for review on 10/08/2025.	HVO to review the Spontaneous Combustion Principal Hazard Management Plan.
OFI-018	2022 IEA Findings - PA 06_0261 - S5 C1C	The 2022 IEA identified deficiencies in version control for certain management plans, including outdated versions being accessible online and inconsistent documentation of consultation and approval status. While HVO has undertaken actions to update and correct several management plan versions since the previous audit, the current audit identified similar version control issues during the audit period. Specifically, some management plans available on the website and internal systems did not consistently reflect the most current approved versions or clearly demonstrate version history, consultation outcomes, and approval status. As such, although partial improvements	This finding therefore remains relevant for the current audit period, highlighting the need for strengthened document control processes to ensure that version control, approval dates, and consultation evidence are consistently and clearly documented across all plans.

ID	Applicable Criteria	Context	Recommendation / OFI
		have been made since the 2022 audit, the underlying issue has not been fully resolved and continues to recur.	

Appendix A

Compliance Checklists

Appendix A Compliance Checklists

Audit Checklist – HVO North DA 450-10-2003

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Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
SCHEDULE 2 ADMINISTRATIVE CONDITIONS					
Obligations to Minimise Harm to the Environment					
S2 C1	The Applicant must implement all practicable measures to prevent and/or minimise any harm to the environment that may result from the construction, operation, or rehabilitation of the development.	As detailed throughout the audit checklists	During the audit period, the auditors and relevant specialists reviewed incident and non-compliance records, community complaints, and overall environmental performance in the context of Hunter Valley Operations (HVO) Environmental Management Strategy (EMS) and associated management plans. Except where specific issues were identified, HVO was found to be compliant with its obligations to implement all reasonable and feasible measures to prevent, or where not possible, minimise, material harm to the environment arising from construction, operational and rehabilitation activities.	Compliant	
Terms of Approval					
S2 C2	The Applicant must carry out the development generally in accordance with the: (a) DA 450-10-2003; (b) EIS titled Hunter Valley Operations – West Pit Extension and Minor Modifications, volumes 1 – 4, dated October 2003, and prepared by Environmental Resources Management Australia; (c) the section 96(1A) modification application for the Hunter Valley Loading Point, dated 30 June 2005, and prepared by Matrix Consulting; (d) Carrington Pit Extended Statement of Environmental Effects volumes 1 & 2, dated October 2005, and prepared by Environmental Resources Management Australia; (e) Carrington Pit Extension Response to Submissions Report, dated May 2006, and prepared by Environmental Resources Management Australia;	Refer evidence throughout checklist	During the audit period one modification to DA 450-10-2003 was approved. Mod 8 determination date is 24 Apr 2025 and related to an extension of time for West Pit operations to 31 Dec 2026. This IEA focused verifying HVO was carrying out the development in accordance with the original West Pit extension and Minor Modifications Environmental Assessment (2003) and the MOD 8 Environmental Assessment (2024), as MOD 8 was the only modification approved during the audit period. Earlier modifications were reviewed in previous audit cycles and introduced only minor refinements or additional mitigation measures. HVO North is operating within the approved development layout and in a manner generally consistent with the project description, impact predictions and Statement of Commitments. The site inspection confirmed that mining	Non-Compliant	**NC-001**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(f) Summary of Commitments for Carrington Pit as Extended, dated 28 May 2006 and prepared by the Applicant; (g) Carrington West Wing Environmental Assessment dated 1 October 2010, Carrington West Wing Response to Submissions dated 21 December 2010, Carrington West Wing Agricultural Impact Assessment dated 10 June 2011, Carrington West Wing Statement of Commitments dated 4 March 2013; (h) HVO North – Fine Reject Emplacement Modification Environmental Assessment dated June 2013 and HVO North – Fine Reject Emplacement Modification Response to Submissions dated August 2013; (i) modification application DA 450-10-2003 Modification 5 and accompanying environmental assessment entitled Hunter Valley Operations North Modification 5 HVLP Sediment Basin and HVO North Communication Towers Environmental Assessment and dated November 2016; (j) modification application DA 450-10-2003 Modification 6 and accompanying Environmental Assessment entitled Hunter Valley North Operations Modification 6 Environmental Assessment Report dated November 2016 and Hunter Valley North Operations Modification 6 Response to Submissions dated December 2016 and January 2017; (k) modification application DA 450-10-2003 Modification 7 and accompanying Environmental Assessment entitled Proposed modification 7 to Hunter Valley Operations North development consent (DA 450-10-2003) to amend historical boundary errors and update the Schedule of Lands dated June 2017;		areas, infrastructure, water systems, haul routes, CHPP operations and rehabilitation areas align with the approved layout. During the audit period, several specific non-compliances were identified against individual consent conditions applicable to HVO North. These non-compliances have been assessed and documented under their respective conditions throughout this checklist. These non-compliances demonstrate that not all consent conditions were complied with during the audit period. While HVO generally implements the requirements of DA 450-10-2003 and PA 06_0261, the non-compliances identified against specific conditions mean that S2 C2A cannot be assessed as compliant. **No recommendation has been raised against this condition as it is a general compliance obligation that reflects adherence to all individual consent conditions.**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(I) modification application DA 450-10-2003 Modification 8 and accompanying Hunter Valley Operations North DA 450-10-2003 Modification 8 – Modification Report (EMM, November 2024) and HVO North Modification 8 – Submissions Report (EMM, January 2025)				
S2 C2A	The Applicant must carry out the development in accordance with the conditions of this consent.	Refer evidence throughout checklist	During the audit period, several specific non-compliances were identified against individual consent conditions applicable to HVO North. These non-compliances have been assessed and documented under their respective conditions throughout this checklist. These non-compliances demonstrate that not all consent conditions were complied with during the audit period. While the operation generally implements the requirements of DA 450-10-2003, the non-compliances identified against specific conditions mean that S2 C2A cannot be assessed as compliant.	Non-Compliant	**Refer NC-001**
S2 C3	If there is any inconsistency between the documents listed in condition 2, the most recent document shall prevail to the extent of the inconsistency. The conditions of this consent shall prevail over the documents in condition 2 to the extent of any inconsistency.		The IEA reviewed all relevant approval and assessment documents and, where inconsistencies were identified between environmental mitigation measures or predicted impacts, relied upon the most recent modification Environmental Assessment and the conditions of DA450-10-2003 as the prevailing document in accordance with this condition.	Compliant	
S2 C4	The Applicant must comply with any reasonable requirement/s of the Secretary arising from the Department's assessment of: (a) any strategies, plans, programs, reviews, audits, reports or correspondence that are submitted in accordance with this consent (including any stages of these documents); (b) any reviews, reports or audits commissioned by the Department regarding compliance with this consent; and		Based on the document review and discussions during the audit, no evidence was identified which indicated HVO failed to comply with any requests or requirements issued by the Department during the audit period.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(c) the implementation of any actions or measures contained in these documents.				
Surrender of Consents					
S2 C5	Within 3 months of the submission of the revised West Pit extension MOP to the Resources Regulator, the Applicant must surrender all existing development consents and existing use rights associated with Hunter Valley Operations' (HVO's) mining operations and related facilities north of the Hunter River in accordance with clause 97 of the EP&A Regulation.	Discussion with E&C Department RPS (2019) IEA Report	Condition S2 C5 relates to the one-off requirement for HVO to surrender all pre-existing development consents and existing use rights north of the Hunter River following submission of the revised West Pit Extension MOP. This requirement was actioned and completed prior to the current audit period, and no further obligations are triggered for this IEA cycle.	Not Triggered	
Limits on Approval					
S2 C6	The Applicant may carry out mining operations on the site until 31 December 2026. *Note: Under this consent, the Applicant is required to rehabilitate the site and carry out additional undertakings to the satisfaction of both the Secretary and Resources Regulator. Consequently, this consent will continue to apply in all other respects other than the right to conduct mining operations until the rehabilitation of the site and those additional undertakings have been carried out satisfactorily.*	Site Inspection Discussion with the E&C Department MOD 8 Determination	MOD 8 provides approval for mining operations at HVO North to continue until 31 December 2026. Mining operations were ongoing during the audit period.	Compliant	
S2 C7	The Applicant must not extract more than 12 million tonnes per annum (Mtpa) of ROM coal from the West Pit and 10 Mtpa of ROM coal from the Carrington Pit.	Annual review summaries Overview Physicals Spreadsheet 2022-2026.xlsx	The HVO Tech Services Department track coal extracted and processed. During the audit period mining in the Carrington West Wing location has not yet commenced and is not planned to commence during 2025. The auditors reviewed the Annual Reviews (2022–2024) and production data from the Overview Physicals spreadsheet (2022–2026). All recorded extraction volumes from the West Pit were well below the limit of 12 Mtpa set in the consent: • 2025 (estimate): 5.71 Mt • 2024: 7.20 Mt	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• 2023: 6.24 Mt • 2022: 4.38 Mt		
S2 C8	The Applicant must ensure that the Hunter Valley Coal Preparation Plant does not receive more than 16 Mtpa of coal from mining operations south of the Hunter River, and process more than 20 Mtpa of coal.	Annual review summaries Overview Physicals Spreadsheet 2022-2026.xlsx	Review of the Annual Review summaries and the Overview Physicals Spreadsheet (2022–2026) confirmed that the Hunter Valley Coal Preparation Plant (HVCPP) operated within the approved throughput limits during the audit period. The data verified that: • Coal received from mining operations south of the Hunter River remained below the permitted 16 Mtpa limit; and • Total coal processed by HVCPP remained below the maximum allowable 20 Mtpa. No inconsistencies were identified between the Annual Review reporting and the physicals dataset.	Compliant	
S2 C9	The Applicant must ensure that the West Pit Coal Preparation Plant does not process more than 6 Mtpa of coal.	Annual review summaries Overview Physicals Spreadsheet 2022-2026.xlsx	Review of Annual Review summaries and the site's Overview Physicals Spreadsheet (2022–2026) confirmed that the West Pit Coal Preparation Plant, referred to onsite as the Howick CHPP, processed volumes below the permitted limit of 6 Mtpa in each year of the audit period. The reported figures were consistent across both data sources, with no discrepancies identified.	Compliant	
Structural Adequacy					
S2 C10	The Applicant must ensure that all new buildings and structures, and any alterations or additions to existing buildings and structures, are constructed in accordance with the relevant requirements of the BCA. *Notes:*	HVCPP Flotation Acrocert Report – Email, complying development 13/10/2025	Upgrades to the HVCPP occurred during the audit period, specifically the construction and commissioning of a new flotation plant managed under the HVO Continuation Project. Construction commenced and was completed in 2025. The upgrade involved adding a flotation circuit to the existing HVCPP to improve product yield by recovering ultrafine coal currently reporting to the Carrington Tailings Storage Facility.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	1) Under Part 4A of the EP&A Act, the Applicant is required to obtain construction and occupation certificates for the proposed building works. *2) Part 8 of the EP&A Regulation sets out the requirements for the certification of development.* *3) The development is located in the Patrick Plains Mine Subsidence District. Under section 15 of the Mine Subsidence Compensation Act 1961, the Applicant is required to obtain the Mine Subsidence Board's approval before constructing or relocating any improvements on the site.*	HVCPP Flotation Issued for Construction Plans AcroCert Pty Ltd. Fire Safety Schedule for Flotation Building at 1011 Lemington Road, Liddell NSW, 26/02/2024.	As the works comprised additions to existing infrastructure, they were required to be constructed in accordance with the relevant requirements of the Building Code of Australia (BCA). Evidence sighted, including the Mine Subsidence Board Notice of Determination, issued-for-construction plans, AcroCert Pty Ltd fire safety schedule, and certified/stamped design documentation. indicates that the works were undertaken under appropriate BCA certification pathways. The Construction and/or Occupation Certificate was not provided for audit review, however, the documentation available was sufficient at this stage to demonstrate that the works were being managed through the appropriate approval and certification process. Final confirmation of full BCA compliance will require review of the applicable certificate once issued.		
Demolition					
S2 C11	The Applicant must ensure that any demolition work is carried out in accordance with AS 2601-2001: The Demolition of Structures, or its latest version.	Discussion with E&C Department	No demolition works conducted during the audit period.	Not Triggered	
Operation of Plant and Equipment					
S2 C12	The Applicant must ensure that all plant and equipment used at the site, or to transport coal off-site, are: (a) maintained in a proper and efficient condition; and (b) operated in a proper and efficient manner.	Life Cycle Principal Hazard Management Plan Site Inspection Discussion with E&C Department,	The auditors reviewed maintenance records, interviewed maintenance planners and personnel, examined SAP work orders and defect notifications, and verified operator competencies and licence records to confirm that plant and equipment are maintained and operated appropriately. The site inspection included the Mine Infrastructure Area (MIA), the Main Workshop and Stores Building, HVO North Fuel Farm, HVO North Sewage	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Maintenance Planners and associated personnel Maintenance History Report 2311 – 2112019 WT888 – 789 Water Cart – 1000hr SERV.PDF TR719 – 830E-1- 1500hr SERV.PDF Benchmark Maintenance SharePoint for April 2025	Treatment Plant (STP), Tyre Bay allowing verification of maintenance practices and equipment condition onsite. As the overarching maintenance and operational systems apply across the whole HVO complex, further detail is provided under Schedule 2, Condition 12 of the HVO South consent audit checklist (PA06_0261). This section provides only the elements specific to HVO North. **North Workshop and Tyre Bay** The HVO North Workshop is the larger of the two workshops on site and primarily services the heavy vehicle fleet. Review of maintenance records (including SAP work orders, scheduled servicing logs and defect close-outs) confirmed that both routine and reactive maintenance are undertaken in accordance with site procedures. During the inspection, maintenance activities were observed on the heavy vehicle fleet, including exhaust system and muffler replacements on Vehicles 461 and 717. No issues were identified during the inspection of the North Workshop or associated stores. **HVO North Sewage Treatment Plant (STP)** The North STP is managed by the HVO Infrastructure Department. Scheduled pump-outs are conducted by JR Richards, which was sighted during the Site Inspection while All Septic Solutions undertakes specialist maintenance and servicing. STP condition and operation observed during the site inspection were consistent with proper maintenance and operational standards. **Fuel Farm (HVO North)**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			The HVO North fuel farm was inspected and found to be in good operating condition, with bunding, signage and dispensing infrastructure in good condition. Records confirmed routine inspections and maintenance actions are captured within SAP. However comments have been made in relation to the bund material in place, refer Schedule 3 Condition 59. **Environmental Monitoring Equipment** Benchmark Monitoring undertakes scheduled calibration, servicing and maintenance for air quality, noise and blast monitoring equipment relevant to HVO North. A sample of calibration certificates and maintenance records were sighted. **Competency and Operation of Equipment** Operator competencies and licences for personnel working in HVO North are maintained through the Glencore Workforce Onboarding System and DAMSTRA. Training Needs Assessments confirm that staff operating plant and equipment hold appropriate competencies. No issues were identified related to improper or unsafe operation.		
Community Enhancement Contribution					
S2 C13	Before carrying out any development, or as agreed otherwise by Council, the Applicant must pay Council $15,000 for the provision of stream improvement works in the Hunter River or its tributaries. If Council has not carried out these enhancement works within 12 months of payment, the Applicant may retrieve the funds from Council.	Discussion with E&C Department	Discussions with the Environment & Community Department and reference to previous audit documentation confirmed that the required $15,000 payment to Singleton Council for stream improvement works was made and verified as part of the 2013 Independent Environmental Audit. The Voluntary Planning	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			Agreement (VPA) associated with this requirement was completed, and no ongoing payments or obligations apply.		
S2 C14	Deleted				
Evidence of Consultation					
S2 C15	Where consultation with any stakeholder identified in the conditions of this consent is required by any conditions of this consent, the Applicant must: (a) consult with the relevant stakeholder prior to submitting the required document to the Secretary for approval; (b) submit evidence of such consultation as part of the relevant document; (c) describe how matters raised by the stakeholder have been addressed and identify any matters that have not been resolved; and (d) include details of any outstanding issues raised by the stakeholder and an explanation of disagreement between any stakeholder and the Applicant.	Discussions with the E&C Department	Based on discussions with the E&C Department, consultation with relevant stakeholders does occur, however the level of documentation varies between plans. In some instances, consultation records are appended (e.g., letters/emails), while in others, the consultation process is outlined within the plan and records are maintained in the E&C document folders. No issues with regards to consultation obligations were identified. Refer individual conditions throughout the project approval checklist.	Compliant	
Compliance					
S2 C16	The Applicant must ensure that all employees, contractors and sub-contractors are aware of, and comply with, the conditions of this consent relevant to their respective activities.	Topsoil Management Training Email, HVO, 9/10/2025 Expired Skills email, HVO Training Department, 7/10/25 Induction Site Familiarisation	General environmental awareness training forms part of Glencore's mandatory site induction requirements. Workers and contractors cannot sign onto the DAMSTRA terminals unless the required environmental induction modules have been completed. Refresher training is scheduled on a three-year cycle, with HVO employee records maintained in Workday and contractor records managed through DAMSTRA. Contractors are unable to sign in if training has expired, ensuring ongoing compliance.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Training Package, Module 3 Environment and Community. Simply e learning 2021. Blasting, Noise, Dust, Complaints and Lighting Training Package, 13412, HVO Sharepoint, 8 May 2025. Sample of training records, extract from Workday, 16/5/25 Health and Safety Team (HST) Senior Leadership Team (SLT) Weekly GM Report, Slide deck -Training by Departments CGAA Sept 25. Blast_Noise_Dust Complaints_Lighting_Training	For HVO employees, training is coordinated and tracked by the HVO Training Department, which manages training needs analyses, training packages and due dates. Evidence sighted included an email from the Training Coordinator (dated 9 October 2025) issuing a reminder to personnel regarding the due 'Topsoil Management Training' module. **Environmental Training Packages** Environmental training is delivered through a combination of induction modules, general environmental awareness presentations (2021 site familiarisation package), and targeted environmental training for specific roles. Targeted packages include Blasting, Noise, Dust, Lighting and Complaints Management, comprising requirements for implementing TARPs and responding to complaints. The draft HVO E&C Training Procedure consolidates the environmental training framework and outlines delivery methods, most of which occur via online modules, with initial onboarding conducted in person. **Training Compliance and Reporting** Training compliance is monitored and reported routinely. The auditors sighted a slide presented at the October Senior Leadership Team Meeting showing Department-level training status, with overall training compliance reported at 97.9%. Based on the evidence reviewed, appropriate systems, induction processes and refresher training programs are in place to ensure that employees, contractors and subcontractors are aware of, and comply with, the consent		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Record Spreadsheet, May 2025. HVO Training Needs Analysis (TNA) Procedure Draft – No version or doc date.	conditions relevant to their activities. No non-compliances were identified.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
SCHEDULE 3 SPECIFIC ENVIRONMENTAL CONDITIONS					
Acquisition Upon Request					
S3 C1	Deleted				
S3 C2	Deleted				
Air quality and greenhouse gas					
S3 C3	**Odour** The Applicant must ensure that no offensive odours are emitted from the site, as defined under the POEO Act.	Complaints Register Site Inspection Discussion with HVO E&C Department	Section 129 of the POEO Act prohibits licensed premises from causing or permitting the emission of any "offensive odour". Offensive odour is an air pollutant that interferes with the comfort and use of the environment outside a licensed premises. At HVO, the primary potential source of odour is blast fume, with spontaneous combustion presenting a low but manageable risk in terms of off-site odour impacts. Review of site records and community complaints confirmed that no odour-related complaints were received during the audit period, and no evidence was identified to suggest offensive odour emissions from the site.	Compliant	
S3 C4	**Greenhouse Gas Emissions** The Applicant must implement all reasonable and feasible measures to minimise the release of greenhouse gas emissions from the site to the satisfaction of the Secretary.	Site Inspection Discussion with E&C Department	Greenhouse gas management at HVO is primarily implemented through compliance with the National Greenhouse and Energy Reporting Act 2007, which establishes mandatory annual reporting of energy use, production and greenhouse gas emissions for entities that meet reporting thresholds. HVO triggers reporting requirements under this legislation and therefore undertakes monthly Scope 1, Scope 2 and Scope 3 emissions calculations, which are provided to Glencore corporate to support annual NGER submissions. Evidence reviewed during the audit confirmed that HVO maintains an established emissions accounting process	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			and reports regularly in accordance with corporate requirements. An example of continuous improvement in fleet performance was shared with identified benefits for both noise and emissions reduction. Discussions with site maintenance planners and engineers demonstrated that HVO undertakes research and development to optimise the efficiency and lifecycle of heavy plant. One example involved the redesign and rebuild of a heavy vehicle engine to achieve reduced source noise levels without relying on external noise attenuation fitted to the equipment. The previous attenuation had increased engine operating temperatures, leading to higher fuel consumption, reduced engine life and increased fugitive emissions. By engineering a lower-noise engine solution, HVO was able to remove the external attenuation, allowing the engine to operate at cooler temperatures, thereby reducing fuel use and greenhouse gas emissions while maintaining noise compliance. This was considered a positive example of proactive optimisation consistent with the objectives of Air Quality and Greenhouse Gas Management Plan. **Comparison of predicted vs actual impacts** Due to the age and structure of the original EIS documents, a direct comparison between predicted and actual greenhouse gas (GHG) emissions is not straightforward. Historical predictions were prepared separately for HVO North and HVO South under the individual consents (DA 450-10-2003 and PA 06_0261), whereas current emissions reporting is undertaken on a whole-of-complex basis in accordance with NGER legislative requirements. As a result, the format and assumptions of the original EISs do not align neatly with contemporary reporting boundaries or methods.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			HVO completes annual reporting under the National Greenhouse and Energy Reporting Scheme and maintains carbon credits to offset emissions. The Annual Review provides a comparison of actual emissions against the original EIS forecasts, however, interpretation is constrained by the legacy consent structure and the differences in assessment methodology between the historical EISs and current operational practice. If the HVO Continuation Project is approved, future reporting is expected to become more streamlined and transparent, with a single EIS, updated consents and revised management plans providing a consolidated basis for predicting and reporting GHG emissions across the entire complex.		
S3 C4A	**Air Quality Criteria** Except for the air quality affected land in Table 1, the Applicant must ensure that all reasonable and feasible avoidance and mitigation measures are employed so that particulate matter emissions generated by the development do not exceed the criteria listed in Tables 2, 3 or 4 at any residence on privately-owned land or on more than 25 percent of any privately-owned land. *Table 2: Long term criteria for particulate matter* Pollutant: Total suspended particulate (TSP) matter; Averaging Period: Annual; [d] Criterion: [a] 90 µg/m³ Pollutant: Particulate matter < 10 µm (PM_{10}); Averaging Period: Annual; [d] Criterion: [a] 30 µg/m³ *Table 3: Short term criterion for particulate matter* Pollutant: Particulate matter < 10 µm (PM_{10}); Averaging Period: 24 hour; [d] Criterion: [b] 50 µg/m³ *Table 4: Long term criteria for deposited dust* Pollutant: [c] Deposited dust; Averaging Period: Annual; Maximum increase in deposited dust level: [b] 2 g/m²/month; Maximum total deposited dust level: [a] 4 g/m²/month	Monthly Environmental Monitoring Reports (2022–2025) Annual Reviews (2022, 2023, 2024) AQGGMP (Approved 2022) and Updated Draft AQGGMP (post-MOD 8) HVO E&C Team Discussions Site Inspection (October 2025)	The current Air Quality and Greenhouse Gas Management Plan (AQGGMP) was last approved by the Department in 2022 and reflects the pre-MOD 8 requirement for assessment of short-term PM_{10} against cumulative (total) criteria. Following the approval of Modification 8 in April 2025, the development consent was amended so that short-term PM_{10} results are now assessed based on incremental contribution only, consistent with Note (a), whereby exceedances are not recorded where HVO's contribution does not exceed 50 µg/m³. HVO has updated the AQGGMP to reflect this change from cumulative to incremental assessment and submitted the revised plan to the Department for approval, however, formal approval is still pending. As a result, there is currently a misalignment between the approved AQGGMP (which still references cumulative criteria) and the development consent conditions, which now references incremental assessment. From April – Oct 2025 HVO has been applying the MOD 8 consent requirements and therefore is not recording non-	Non-Compliant	**NC-002**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	In this condition 'reasonable and feasible avoidance and mitigation measures' includes, but is not limited to, the operational requirements in Condition 5 of Schedule 4 and the requirements in Conditions 5 and 6 of Schedule 4 to develop and implement a real-time air quality management system that ensures effective operational responses to the risks of exceedance of the criteria. *Notes to Tables 2–4:* *• a Total impact (i.e. incremental increase in concentrations due to the development plus background concentrations due to all other sources);* *• b Incremental impact (i.e. incremental increase in concentrations due to the development on its own);* *• c Deposited dust is to be assessed as insoluble solids as defined by Standards Australia, AS/NZS 3580.10.1:2003: Methods for Sampling and Analysis of Ambient Air - Determination of Particulate Matter - Deposited Matter - Gravimetric Method.* *• d Excludes extraordinary events such as bushfires, prescribed burning, dust storms, sea fog, fire incidents, illegal activities or any other activity agreed by the Secretary.*	Exceedance Investigation Reports Real-Time Air Quality Dashboard HVO (2025) Notification – Extraordinary Event 27 May 2025 HVO (2024) 2023 Annual Average Air Quality Exceedances PM10 & PM2.5, dated 21/03/2024 HVO (2024) Detailed Report – Cheshunt East PM10 exceedance (DA 450-10-2003), 19 December 2023, dated 16/01/2024 HVO (2023) Detailed Report – Jerrys Plains PM10 exceedance (DA	compliances for short-term PM_{10} events where investigations confirm that HVO's incremental contribution is below 50 µg/m³. HVO's position is that the development consent is the primary statutory instrument and prevails over the superseded management plan, particularly given that an updated AQGGMP has been prepared and submitted but not yet approved. **Data Review** A review of HVO's air quality exceedance and incident spreadsheet identified a total of 35 monitoring-related events relevant to this condition, comprising: • 11 exceedances of the criteria in Tables 5, 6 and 7 (short-term PM_{10}, annual PM_{10} and deposited dust), • 22 mis-captures (data unavailability events), • 1 extraordinary event, and • 1 invalid sample. These events were assessed against the requirements of Condition 4A and the applicable criteria at the time they occurred. **Exceedances of Criteria** Short-term PM_{10} exceedances were recorded at Cheshunt East, Jerry's Plains, and Kilburnie South between 2023 and early 2025. Annual average exceedances for PM_{10} and $PM_{2.5}$ were also recorded in 2023 and 2024. No deposited dust exceedances were recorded. In accordance with Note (d), one exceedance attributed to an extraordinary event was not classified as a non-compliance. **Data Mis-captures**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		450-10-2003), 2 October 2023, dated 10/10/2023 HVO (2023) Detailed Report – Cheshunt East PM10 exceedance (DA 450-10-2003), 20 and 26 September 2023	Mis-captures occurred across Cheshunt East, Wandewoi and Kilburnie South. These events reflect periods where valid monitoring data were not obtained due to equipment malfunction, telemetry failures, power interruptions or invalid sampling conditions. One sample was deemed invalid following post-processing quality checks, likely due to filter irregularities or sampler malfunction. For the purposes of this IEA, data mis-captures will be recorded as non-compliances against the implementation of the Air Quality and Greenhouse Gas Management Plan (AQGGMP) rather than the air quality criteria conditions. Refer Schedule 3, Condition 6 for details. **Conclusion** Exceedances of the criteria in Tables 2 and 3 were identified during the audit period, therefore, this condition is assessed as non-compliant. HVO is considered to have implemented reasonable and feasible avoidance and mitigation measures for air quality management, as demonstrated through the operational controls, real-time systems and procedures described under Schedule 3 Conditions 5 and 6. No recommendation is deemed necessary.		
S3 C4B	**Air Quality Acquisition Criteria** If particulate matter emissions generated by the development exceed the criteria in Tables 5, 6 or 7 on a systemic basis at any residence on privately-owned land or on more than 25 percent of any privately-owned land, then upon receiving a written request for acquisition from the landowner the Applicant must acquire the land in accordance with the procedures in Conditions 7 and 8 of Schedule 5.	Discussion with E&C Manager Air Quality monitoring data	No systemic exceedances of the acquisition criteria were identified at privately-owned residences during the audit period, and no acquisition requests were received; therefore, Condition 4B was not triggered.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Table 5: Long term acquisition criteria for particulate matter **Pollutant** | **Averaging Period** | **[d] Criterion** Total suspended particulate (TSP) matter | Annual | [a] 90 µg/m³ Particulate matter < 10 µm (PM_{10}) | Annual | [a] 30 µg/m³ *Table 6: Short term acquisition criteria for particulate matter* **Pollutant** | **Averaging period** | **[d] Criterion** Particulate matter < 10 µm (PM_{10}) | 24 hour | [a] 150 µg/m³ Particulate matter < 10 µm (PM_{10}) | 24 hour | [b] 50 µg/m³ *Table 7: Long term acquisition criteria for deposited dust* **Pollutant** | **Averaging Period** | **Maximum increase in deposited dust level** | **Maximum total deposited dust level** [c] Deposited dust | Annual | [b] 2 g/m²/month | [a] 4 g/m²/month *Notes to Tables 5-7:* *• a Total impact (i.e. incremental increase in concentrations due to the development plus background concentrations due to all other sources);* *• b Incremental impact (i.e. incremental increase in concentrations due to the development on its own);* *• c Deposited dust is to be assessed as insoluble solids as defined by Standards Australia, AS/NZS 3580.10.1:2003: Methods for Sampling and Analysis of Ambient Air - Determination of Particulate Matter - Deposited Matter - Gravimetric Method.* *• d Excludes extraordinary events such as bushfires, prescribed burning, dust storms, sea fog, fire incidents, illegal activities or any other activity agreed by the Secretary.*				
S3 C4C	**Mine-owned Land** The Applicant must ensure that particulate matter emissions generated by the development do not exceed the criteria listed in Table 2, Table 3 and Table 4 at any occupied residence on any mine-owned land (including land owned by adjacent mines) unless: (a) the tenant and landowner has been notified of health risks in accordance with the notification requirements under Schedule 5 of this consent;	HVO (2023) dated, 20 and 26 Sep Cheshunt East PM10 Exceedances, 19/10/2023 HVO (2023) 20 and 26 Sep	Two short-term PM_{10} exceedances were recorded at Cheshunt East on 20 and 26 September 2023, triggering the notification requirements for occupied mine-owned land under Condition 4C. HVO initially advised that landholder notification was not required (letter dated 19/10/2023), but subsequently revised this position (letter dated 20/10/2023) and committed to notify affected tenants. The Department confirmed this approach on 15 November 2023. The audit	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) the tenant on land owned by the Applicant can terminate their tenancy agreement without penalty, subject to giving reasonable notice, and the Applicant uses its best endeavours to provide assistance with relocation and sourcing of alternative accommodation; (c) air mitigation measures (such as air filters, a first flush roof water drainage system and/or air conditioning) are installed at the residence, if requested by the tenant and landowner (where owned by another mine other than the Applicant); (d) particulate matter air quality monitoring is undertaken to inform the tenant and landowner of potential health risks; and (e) monitoring data is presented to the tenant in an appropriate format, for a medical practitioner to assist the tenant in making an informed decision on the health risks associated with occupying the property, to the satisfaction of the Secretary.	Cheshunt East PM10 Exceedances, dated 20/10/2023 DPHI (2023), 20 and 26 Sep Cheshunt East PM10 Exceedances, dated 15/11/2023 HVO (2023), Notification – Cheshunt East PM10 Air Quality Exceedances – 20 and 26 Sep 2023, dated 27/10/2023 HVO (2023) Chestnut east air quality exceedance, dated 27/10/2023	sighted notification letters issued on 27 October 2023 to the relevant mine-owned residence.		
S3 C5	**Air Quality Operating Conditions** The Applicant must: (a) implement best management practice to minimise the off-site odour, fume and dust emissions of the development, including best practice coal loading and	Refer findings against Schedule 3 Condition 6	Best practice controls to minimise dust, and odour emissions were observed during the site inspection, including effective use of water sprays, water carts, coal loading moisture controls, real-time oversight via the camera network, and optimisation initiatives that also reduce greenhouse gas emissions. A comprehensive air	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	profiling and other measures to minimise dust emissions from coal transportation by rail; (b) operate a comprehensive air quality management system on site that uses a combination of predictive meteorological forecasting, predictive and real time air dispersion modelling and real-time air quality monitoring data to guide the day to day planning of mining operations and implementation of both proactive and reactive air quality mitigation measures to ensure compliance with the relevant conditions of this approval; (c) manage PM2.5 levels in accordance with any requirements of any EPL; (d) minimise the air quality impacts of the development during adverse meteorological conditions and extraordinary events (see note d above under Table 5-7); (e) minimise any visible off-site air pollution; (f) minimise the surface disturbance of the site generated by the development; and (g) co-ordinate air quality management on site with the air quality management at nearby mines (Mount Thorley Warkworth, Wambo, Ravensworth and HVO South mines) to minimise the cumulative air quality impacts of these mines and the development, to the satisfaction of the Secretary.		quality management system is in place, supported by predictive meteorology tools, real-time monitoring, dynamic operational controls and a structured exceedance investigation process. Air quality management during adverse conditions was demonstrated through the implementation of operational triggers and response actions and no visible off-site dust emissions were observed during the inspection. Refer findings against Schedule 3 Condition 6 for more details on the implementation of the sites Air Quality and Greenhouse Gas Management Plan. PM2.5 monitoring is undertaken consistent with EPL requirements, and surface disturbance continues to be managed through progressive rehabilitation and controlled haul road development, with no new haul roads implemented during the audit period. A summary of progressive rehabilitation conducted during the audit is provided against Clause 5 of the Standard Conditions for Mining Leases Audit Checklist. HVO also participates in regional coordination with neighbouring mines to manage cumulative air quality impacts, with evidence of inter-mine communication and cooperative forecasting/response practices sighted by the auditors.		
S3 C6	**Air Quality & Greenhouse Gas Management Plan** The Applicant must prepare a detailed Air Quality & Greenhouse Gas Management Plan for the development to the satisfaction of the Secretary. This plan must: (a) be prepared in consultation with the EPA, and submitted to the Secretary for approval by the end of June 2013;	Approved AQGGMP (Version 3.5, effective 22/05/2025) Site Inspection	HVO operates under a single, integrated Air Quality and Greenhouse Gas Management Plan (AQGGMP) that satisfies the requirements of Schedule 3, Condition 6 of DA 450-10-2003 (HVO North) and Schedule 3, Condition 23 of PA 06_0261 (HVO South). The currently approved version (Version 3, December 2021) was endorsed by the Department on 19 May 2022.	Non-Compliant	**NC-003**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) describe the measures that would be implemented to ensure: • best management practice is being employed; • the air quality impacts of the development are minimised during adverse meteorological conditions and extraordinary events; and • compliance with the relevant conditions of this consent. (c) describe the proposed air quality management system; (d) include a risk/response matrix to codify mine operational responses to varying levels of risk resulting from weather conditions and specific mining activities; (e) include commitments to provide summary reports and specific briefings at CCC meetings on issues arising from air quality monitoring; (f) include an air quality monitoring program that: • uses a combination of real-time monitors and supplementary monitors to evaluate the performance of the development; • adequately supports the proactive and reactive air quality management system; • includes PM2.5 monitoring; • includes monitoring of occupied development-related residences and residences on air quality-affected land listed in Table 1, subject to the agreement of the tenant; • evaluates and reports on the effectiveness of the air quality management system; and • includes a protocol for determining any exceedances of the relevant conditions in this approval; and (g) include a protocol that has been prepared in consultation with the owners of nearby mines (Mt	Air Quality Inspection Form – 8/9/2025 PRONTO Inspection System – sighted digital inspection records, dated 12/10/2025 Sample of air quality exceedance investigation reports quarterly CCC meetings. Annual Review 2022, 2023 and 2024 Refer evidence against Schedule 3 Condition 4A of DA 450-10-2003.	Following the approval of Modification 8 in April 2025, DA 450-10-2003 (HVO North) was amended so that short-term PM_{10} must be assessed using incremental criteria rather than the cumulative (total impact) criteria referenced in the currently approved AQGGMP (Version 3, approved 19 May 2022). HVO subsequently updated the AQGGMP to incorporate these MOD 8 changes, and at the same time reviewed trigger levels and proposed adjustments to the air quality monitoring network, including the removal of the Warkworth TSP monitor. The updated plan had been submitted to the Department for approval but had not been approved at the time of the audit period concluding. For the period post MOD 8 being approved in April 2025 to the end of the audit period (17 October 2025), HVO was implementing the amended consent requirements and assessed short-term PM_{10} exceedances on an incremental basis, consistent with DA 450-10-2003 (MOD 8). As a result, exceedances of cumulative total impact (background and all other sources) were no longer reported where investigations showed that HVO's incremental contribution did not exceed the relevant criterion. This creates a technical non-compliance in the implementation of the approved AQGGMP, as the plan still reflects the pre-MOD 8 cumulative framework. However, HVO has taken reasonable steps by updating the plan and submitting it for approval, and the divergence arises solely because the updated plan remained unapproved during the audit period. **Adequacy Review**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Thorley Warkworth, Wambo, Ravensworth and HVO South mines) to minimise the cumulative air quality impacts of these mines and the development. The Applicant must implement the approved management plan as approved from time to time by the Secretary		The AQGGMP was found to be adequately addressing the requirements of this condition. However the following OFIs have been made: • OFI-005: Include reference to the Air Quality TARP in the AQGGMP. Although implementation of the TARP was clearly evident and effective, the process is not defined in the AQGGMP. • OFI-006: Update the definition of 'temporary' and 'primary' haul roads (Section 6.3.2.7). Current definitions are inconsistent and both sections refer to roads used for less than 12 months. • OFI-007: Remove references to the Mining Operations Plan (MOP) if these remain in the unapproved draft, noting that MOPs have been replaced by the Rehabilitation Management Plan (RMP) framework. • OFI-008: Follow up with the Department regarding approval of the updated AQGGMP, submitted following HVO North Modification 8. At the time of the audit, the updated plan remained unapproved, resulting in reliance on superseded criteria within the operative management plan. **Implementation Review** During the site inspection, the auditors observed a range of operational air quality and greenhouse gas controls consistent with the requirements of the AQGGMP and contemporary industry practice. Key controls sighted included: • Coal Loading, Processing & Haulage Controls		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			○ Water sprays at both rail loading points (Newdell LP and HVLP), applying water as coal is loaded into each wagon. ○ Water sprays at the CHPP dump hopper, where haul trucks tip ROM coal. ○ Multiple water carts in operation, with real-time GPS visibility enabling dispatch to monitor coverage and redeploy carts as needed. • Dispatch and Operations Management ○ Mining operations in West Pit and South Pit were observed for approximately 15 minutes from an elevated vantage point by the auditors and air quality specialist. No visible dust plumes or operational air quality issues were identified. ○ Live camera network accessible from the Dispatch Centres (North and South) and the E&C Department, allowing continuous real-time surveillance of dust-generating activities across the pits. ○ Discussions with dispatch operators confirmed active implementation of HVO's internal Dust Trigger Action Response Plan (TARP), including real-time response to dust alarms, meteorological conditions, and complaint notifications. Evidence of dispatch receiving training on the dust TARP by the E&C Department was also sighted. ○ Recent Enviro Alerts were reviewed showing Level 1 and Level 2 dust alerts generated from the internal real-time network and responded to appropriately • Monitoring Infrastructure		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			○ As detailed against Condition 4A above air quality monitoring was verified to be occurring. The auditors sighted key compliance monitoring units, including, West Pit HV-1 TEOM MS110, Kilburnie HVAS and Wandewoi TEOM. • Data Mis-captures ○ Mis-captures occurred across Cheshunt East, Wandewoi and Kilburnie South. These events reflect periods where valid monitoring data were not obtained due to equipment malfunction, telemetry failures, power interruptions or invalid sampling conditions. One sample was deemed invalid following post-processing quality checks, likely due to filter irregularities or sampler malfunction. The data mis-captures were considered a non-compliance with the air quality management plan which stipulates data capture requirements. ○ No recommendation has been made as the mis-captures were technical and non-systemic, were identified and rectified promptly, and did not result in unreported exceedances. In addition, annual data capture rates remained within regulatory expectations. • Exceedance Investigations ○ A sample of exceedance investigations was reviewed by the Lead Auditor and the air quality specialist. ○ HVO engages an independent air quality specialist to undertake exceedance investigations. Investigations consistently examine, HVO operational activities, temporal and spatial alignment between activities and monitoring		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			results, wind direction and speed, contributions from adjacent mines and regional dust sources as well as relevant meteorological conditions. ○ All investigations reviewed were consistent with the AQGGMP compliance assessment protocol and applied an appropriate causal analysis methodology. ○ No deficiencies were identified in the investigation or documentation of exceedances. • Weekly Operations Planning Packs are distributed internally which include: ○ Adverse weather forecasts ○ Controls required on specific digs or dumps ○ Recommended alternate dump locations (e.g. RL65, RL28) Packs are issued Thursdays, with operational distribution on Fridays to align with weekend shift commencement. • Internal Assurance Activities ○ The auditors sighted evidence of internal assurance undertaken by the E&C Department, including Air Quality Inspections which are completed over a 4–6 hour period during predicted peak dust conditions. Inspections are undertaken from both field locations and via the live camera network. The camera network provides high-resolution coverage enabling E&C personnel to monitor multiple active mining areas concurrently – a		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			significant efficiency improvement given the large geographic footprint. The process is robust, proactive, and demonstrates strong environmental oversight. ○ HVO uses the PRONTO digital inspection application to enable supervisors and managers to log inspections in real time. The air quality specialist noted the strong quality of this approach. Evidence sighted included: ▪ PRONTO inspection reports emailed to the E&C Department. ▪ TARPs embedded within the PRONTO interface, enabling photos and comments to be uploaded directly from the field. ▪ Example reviewed: 12/10/2025 – HVO Mining Inspection, Level 2 was dust observed by a supervisor, Operations were amended immediately, and the Inspection was captured through PRONTO with supporting photos and commentary. **Conclusion** The AQGGMP is considered adequate overall, and the audit identified well-demonstrated implementation of air quality controls across the operation, including proactive dust management. A limited number of OFIs have been raised to enhance clarity and alignment with operational practice. The updated AQGGMP, which has been submitted to the Department for approval, is reflective of current operations and aligns with the current consent condition requirements following Modification 8 of the HVO North consent.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			The condition is assessed as technically non-compliant because the approved AQGGMP still requires reporting of total PM_{10} rather than incremental PM_{10} as required post-Mod 8, and because monitoring mis-captures, while not affecting compliance with impact criteria, represent a failure to fully implement the approved monitoring program. HVO were in the process of following up on the Departments review and endorsement of the AQGGMP at the time of the audit period concluding. On this basis no recommendation has been applied to this finding.		
S3 C6A	Within six months of the determination of Modification 8, unless otherwise agreed by the Secretary, the Applicant must prepare a Greenhouse Gas Mitigation Plan in consultation with the EPA. *Notes:* *• With the introduction of the EPA's Climate Change Policy and Climate Change Action Plan, the Applicant will be required to prepare and implement a Climate Change Mitigation and Adaptation Plan (or similar) in accordance with requirements provided by the EPA under the POEO Act.* *• In accordance with its Climate Change Action Plan 2023-26, the NSW EPA is preparing guidance for the preparation and implementation of various climate change related guidelines.* *• Once the Greenhouse Gas Mitigation Plan in Condition 6A of Schedule 3 has been prepared the greenhouse gas management components of the Air Quality & Greenhouse Gas Management Plan in Condition 6 of Schedule 3 can be satisfied through that plan and the EPA's regulatory framework.*	Discussion with E&C Department	Modification 8 was determined on 24 April 2025, requiring HVO to prepare a Greenhouse Gas Mitigation Plan in consultation with the EPA by 24 October 2025, unless otherwise agreed by the Secretary. The audit period concluded on 17 October 2025, prior to the deadline for preparation of the plan. As the due date had not yet passed, HVO was not required to have completed or submitted the Greenhouse Gas Mitigation Plan during the audit period. The condition is assessed as Not Triggered for the 2025 audit. No findings apply at this stage. Compliance with this condition should be assessed in the next audit period, once the requirement has fallen due.	Compliant	
Noise					
S3 C7	**Noise Impact Assessment Criteria**	Monthly attended noise	HVO demonstrates compliance with Condition S3 C7 through the implementation of a structured noise	Compliant	

<table>
<tr><th>Condition of Consent</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td>The Applicant must ensure that the noise generated by the development does not exceed the noise impact assessment criteria presented in Table 9 at any privately-owned land.
Table 9: Noise impact assessment criteria dB(A)
<table>
<tr><th>Day/Evening/Night
$L_{Aeq(15\ minute)}$</th><th>Night
$L_{A1(1\ minute)}$</th><th>Land Number</th></tr>
<tr><td>40</td><td>46</td><td>4 – Muller (from year 1 to year 7)
7 – Stapleton
Jerrys Plains Village – represented by residence locations 13 and 14 on Figure 24, volume 4 of the EIS (years 20 & 21).
1 – Hayes (years 20 & 21)
18 – Bennet (years 20 & 21)
51 – Nicholls (years 20 & 21)
52 – Old – (years 20 & 21)</td></tr>
<tr><td>39</td><td>46</td><td>2 – Skinner
3 – Elisnore
11 – Fisher
19 – Biralee Feeds
31 – Cooper
36 – Garland
54 – Skinner</td></tr>
<tr><td>38</td><td>46</td><td>1 – Hayes (from year 1 to year 19)
18 – Bennet (from year 1 to year 19)
51 – Nicholls (from year 1 to year 19)
52 – Old (from year 1 to year 19)</td></tr>
<tr><td>36</td><td>46</td><td>4 – Muller (from year 8 to year 21)</td></tr>
<tr><td>35</td><td>46</td><td>All other residential or sensitive receptors, excluding the receptors listed in condition 1 above.</td></tr>
</table>
Notes:
(a) The years referenced in Table 9 are to be considered as the position of mining operations as set out in the EIS for that year. If mining operations are delayed or accelerated from the planned location as shown in the EIS for a particular year, then the noise assessment criteria will be adjusted in accordance with the location of actual mining operations. The location of actual mining operations in relation to locations predicted in the EIS, will be indicated in the Annual Review (see schedule 6, condition 5).
(b) The noise limits in Table 9 are for the noise contribution of the West Pit extension and all Hunter Valley Operations north of the Hunter River and coal haulage identified in the EIS from the south side of the Hunter River.
(c) Noise from the development is to be measured at the most affected point within the residential boundary, or at the most affected point within 30 metres of a dwelling (rural situations) where the dwelling is more than 30 metres from the boundary, to</td><td>monitoring reports (Dec 2022 – Aug 2025)

Real-time noise system

Site Inspection

Annual Reviews 2022, 2023 2024</td><td>monitoring program that includes routine monthly attended noise monitoring undertaken by independent consultant EMM in accordance with the HVO Noise Monitoring Programme (NMP).

HVO operates a network of Barn Owl directional noise monitors, with several units progressively being replaced by Noise Compass monitors to improve directional accuracy and attribution of mine-related noise.

EMM conduct unannounced attended surveys, primarily during the night-time period (after 10pm) when criteria are most stringent, at all required receptor locations.

The auditors reviewed noise monitoring data covering the full audit period. This included monthly attended noise monitoring reports conducted by EMM from December 2022 to August 2025, detailing measured LAeq(15-minute) and LA1(1-minute) levels, meteorological conditions, operator attribution notes, and compliance assessments against the Table 9 criteria. The following is noted by the auditors from the review:

• No exceedances of the applicable HVO North or HVO South noise impact assessment criteria were recorded at any monitoring location.

• EMM do not notify HVO prior to monitoring, ensuring independence and preventing operational bias.

• All attended surveys reviewed for the audit period occurred at night after 10 pm, aligned with the time-of-day when criteria are most stringent and mining noise is most detectable.

• Some months include two attended monitoring nights (e.g., March 2023) to satisfy quarterly monitoring obligations in addition to monthly rounds.</td><td></td><td></td></tr>
</table>

<table>
<tr><th>Condition of Consent</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td>determine compliance with the LAeq(15 minute) noise limits in the above table.
(d) To determine compliance with the LAeq(15 minute) noise limits in the above table. Where it can be demonstrated that direct measurement of noise from the development is impractical, the EPA may accept alternative means of determining compliance (see Chapter 11 of the NSW Industrial Noise Policy). The modification factors in Section 4 of the NSW Industrial Noise Policy must also be applied to the measured noise levels where applicable.
(e) Noise from the development is to be measured at 1 metre from the dwelling façade to determine compliance with the LA1(1 minute) noise limits in the above table.
(f) The noise limits in Table 9 are to be applied in accordance with the limitations and requirements set out in Appendix 3.</td><td></td><td>Where meteorological conditions were outside INP-compliant ranges, results were appropriately reported as N/A in accordance with the Noise Monitoring Programme.
No land acquisition criteria were exceeded during the audit period.
Attended monitoring was undertaken in full accordance with the Noise Monitoring Programme every month during the audit period.</td><td></td><td></td></tr>
<tr><td colspan="6">Land Acquisition Criteria</td></tr>
<tr><td>S3 C8</td><td>If the noise generated by the development exceeds the criteria in Table 10, the Applicant must, upon receiving a written request for acquisition from the landowner, acquire the land in accordance with the procedures in Conditions 6 and 7 of Schedule 5.

Table 10: Land acquisition criteria dB(A)<table><tr><th>Day/Evening/Night $L_{Aeq(15\ minute)}$</th><th>Property</th></tr><tr><td>43</td><td>11 – Fisher</td></tr><tr><td>42</td><td>7 - Stapleton</td></tr><tr><td>41</td><td>All residential or sensitive receptors, excluding the receptors listed in condition 1 above</td></tr></table>
Note: See notes (c) to (f) to Table 9.</td><td>Discussion with E&C Department</td><td>This condition was not triggered during the audit period</td><td>Not Triggered</td><td></td></tr>
<tr><td>S3 C9</td><td>Noise Operating Conditions
The Applicant must:
(a) implement best management practice to minimise the operational, low frequency, road and rail traffic noise of the development;</td><td>HVOenviro.anyaccess.net (Webpage)</td><td>Sources of Noise – Mitchell Pit mining commenced during the audit period. Jerrys plains has been impacted more by noise from these operations.</td><td>Compliant</td><td></td></tr>
</table>

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(a) operate a comprehensive noise management system on site that uses a combination of predictive meteorological forecasting and real-time noise monitoring data to guide the day to day planning of mining operations and the implementation of both proactive and reactive noise mitigation measures to ensure compliance with the relevant conditions of this approval; (b) maintain the effectiveness of any installed noise suppression equipment on plant at all times and ensure defective plant is not used operationally until fully repaired; (c) ensure that any noise attenuated plant on site is deployed preferentially in locations relevant to sensitive receivers; (d) minimise the noise impacts of the development during meteorological conditions when the noise limits in this approval do not apply; (e) ensure that the site is only accessed by locomotives that are approved to operate on the NSW rail network in accordance with the noise limits in ARTC's EPL (No. 3142); (f) use its best endeavours to ensure that the rolling stock supplied by service providers is designed, constructed and maintained to minimise noise; (g) co-ordinate the noise management on site with the noise management at nearby mines (Mt Thorley Warkworth, Wambo, Ravensworth and HVO South mines) to minimise the cumulative noise impacts of these mines and the development, to the satisfaction of the Secretary.	Inter-Mine E&C Meeting Minutes (July 2025 and 16 October 2025) Thearle Engineering (2025) Sound power determination and whole body vibration mobile machinery, CAT 777 Service cart report, 17/02/2025 Sound Attenuation Tracker Monthly attended noise monitoring reports (Dec 2022 – Aug 2025) Real-time noise monitor calibration certificates from Benchmark Monitoring and Acoustic Research Labs for the entire	In the cooler months, with temperature inversions, there are increased noise alerts. **(a) Operate a comprehensive noise management system** • HVO operates a comprehensive noise management system that combines predictive meteorological forecasts with real-time noise data to guide day-to-day operations. • The auditors sighted the real-time data displayed on a webpage which contains a database of alarms (noise, air quality, met station triggers). This system collects real-time data, shows noise roses and provides alerts approximately 2 dB below to criteria level to ensure issue can be addressed prior to exceedance. The system offers a live feed audio of monitor to assist with determination of the source. Daily check process involves review of alerts from day prior. • Calibration certificates from Benchmark Monitoring and ARL confirm that the real-time and attended monitoring equipment was properly calibrated throughout the audit period. • Noise alarms were generally acknowledged by dispatch within 20 minutes, well within the 1-hour response timeframe, with documented actions (e.g., speed reductions, changing dump locations). • The introduction of Noise Compass units demonstrates an ongoing improvement in the system's ability to distinguish HVO noise from other sources and better direct mitigation. **(b) maintain the effectiveness of noise suppression equipment**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		audit period (e.g., Barn Owl Knoddlers 13/03/2024; Long Point 28/08/2024; ARL quarterly reports 30/10/2024; 08/02/2024; 06/08/2025). EMM (2024) Annual Environmental Monitoring Report Complaints register Pacific National (2025), Letter Re: Pacific National Locomotive Compliance, 1 October 2025	• All fleet are described as sound attenuated, with a documented program of routine maintenance and periodic attenuation testing. • The auditors sighted records confirming that sound attenuation tests were undertaken during the audit period in accordance with the three-year schedule, supporting that noise suppression remains effective over time. • Maintenance records showed that plant with noise-related defects is not returned to operational service until repairs are completed. **(c) Noise attenuated plant** • The mine design and operational controls demonstrate a deliberate focus on deploying attenuated plant and applying additional controls in pits closer to sensitive receivers. • All mobile fleet is sound attenuated, enabling preferential deployment of quieter plant in more exposed or sensitive locations. • HVO's response to noise related complaints (12/03/2024 Jerrys Plains) shows operational amendments where noise risk to a sensitive receiver was identified. (d) **Minimise Noise Impacts** • Attended noise monitoring reports showing meteorological screening and identification of periods when consent criteria do not formally apply (reported as "N/A").		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• Daily weather report is provided identifying the air quality and noise risk based on meteorological conditions. • Dispatch and complaint response records showed that controls were still implemented during adverse meteorological conditions (e.g., inversions, calm conditions) such as: ○ Lowering bucket heights. ○ Minimising horn usage. ○ Reducing haul truck speeds. ○ Restricting dozers to 1st gear. **(e) Site access only by approved locomotives** • The auditors sighted ARTC compliance letters provided to HVO verifying that the locomotives accessing the site are approved ARTC locomotives and that noise levels meet the relevant ARTC requirements. • Letter from Pacific National dated 1 October 2025, confirmed that: ○ Pacific National now holds EPL 21364; ○ locomotives operating at HVO comply with the EPL; and ○ Pacific National conducts a Post Engine Overhaul Noise Testing Program, with locomotive noise testing results reported annually to the EPA. **(f) Rolling Stock**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• HVO relies on rail service providers that operate within ARTC's framework, which includes noise performance requirements. **(g) Inter-mine Meetings** • The auditors sighted evidence of inter-mine coordination through Inter-Mine E&C meetings, which are held approximately quarterly (not always exactly three months apart). Meetings occurred in July 2025 and 16 October 2025 during the audit period. • Noise is a standing agenda item, with each participating mine reporting on any noise exceedances, monitoring results, operational issues and complaints. • Attendees included representatives from Ravensworth, Mount Owen / Glendell, Rix's Creek, Liddell, United Wambo, and HVO. • Mines shared recent noise trends, meteorological challenges affecting noise propagation, and operational strategies implemented to minimise cumulative impacts across the region. • The meeting provides a mechanism to coordinate controls (e.g., shared awareness of atmospheric conditions, reviewing operational changes to reduce combined noise exposure for sensitive receivers).		
S3 C10	Noise Management Plan The Applicant must prepare a Noise Management Plan for the development to the satisfaction of the Secretary. This plan must: (a) be prepared in consultation with the EPA, and submitted to the Secretary for approval by the end of June 2013;	Refer evidence against S3 C9	HVO has in place an approved Noise Management Plan (NMP) that applies to both HVO North (DA 450-10-2003) and HVO South (PA 06_0261). The NMP is implemented in accordance with Condition 10 of Schedule 3 of the HVO North consent and Condition 6 of Schedule 3 of the HVO South consent, both of which require the preparation, approval and maintenance of a noise management plan	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) describe the measures that would be implemented to ensure: • best management practice is being employed; • the noise impacts of the development are minimised during meteorological conditions when the noise criteria in this consent do not apply; and • compliance with the relevant conditions of this consent. (c) describe the proposed noise management system in detail, including: • nomination of the real-time noise monitoring locations and the noise levels that would trigger additional noise management actions; • a matrix of predetermined actions to be employed when trigger levels are exceeded; and • procedures for varying the rates and locations of attended monitoring should the real-time monitoring data suggest that the relevant noise limits are being exceeded; (d) include a risk/response matrix to codify mine operational responses to varying levels of risk resulting from weather conditions and specific mining activities; (e) include a noise monitoring program that: • uses attended monitoring to evaluate the performance of the development, including a minimum of four days attended monitoring per quarter at locations agreed to by the Secretary, or more regularly where required; • uses real-time monitoring to support the proactive and reactive noise management system on site; • evaluates and reports on the effectiveness of the noise management system on site; • provides for the annual validation of the noise model for the development; and		that outlines the operational, monitoring, reporting and mitigation measures to be applied across the complex. According to the change management table in the NMP and discussions with HVO's E&C department, the NMP was updated once during the audit period. The update responded to recommendations from the 2022 IEA and incorporated changes associated with the approval of HVO South Modification 8. The revised NMP Version 4.0 was submitted to the Department in February 2025. Following a review process, during which HVO responded to the Department's comments and requests for further information, the Department confirmed that the updated NMP met the requirements of both HVO North and HVO South consents. Version 4.0 of the Noise Management Plan was formally approved on 17 March 2025. The NMP is considered to adequately address the conditions of the consent however the following minor OFIs have been made. • The NMP currently refers to ARTC's EPL requirements for locomotive noise. During the audit period, Pacific National assumed responsibility for locomotive noise compliance under EPL 21364, and provided written confirmation of compliance to HVO. OFI-002: NMP Section 7.3 should be updated to reference Pacific National's EPL 21364 rather than ARTC, ensuring alignment with current regulatory responsibilities. • The distinction between EPL monitoring points (referenced in Table 6 of the NMP) and Development Consent receiver locations (referenced in Table 8-3) is not always clear, requiring cross-referencing between multiple tables to confirm which criteria apply at each location.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(f) include a protocol that has been prepared in consultation with the owners of nearby mines (Mt Thorley Warkworth, Wambo, Ravensworth and HVO South mines) to minimise the cumulative noise impacts of these mines and the development. The Applicant must implement the approved management plan as approved from time to time by the Secretary.		Day and evening EPL criteria (L5.1) are not included in Table 8-3, despite these criteria being applicable under the EPL, and the NMP does not explicitly describe how day/evening criteria relate to the predominantly night-focused attended monitoring program described in Section 8.2.3. OFI-003: Clarity between EPL locations and DA locations in monthly reports would allow easier determination of locations (Table 8-3 of NMP), noting that day and evening criteria are not included in table 8-3. **Implementation Review** The auditors found that HVO implemented the approved Noise Management Plan (Version 4.0) consistently and effectively across the audit period. Implementation of the plan was supported by an established real-time monitoring network, predictive meteorological forecasting, routine attended monitoring, and structured operational response processes that are embedded into daily site management. • **Monitoring -** Routine attended monitoring was undertaken by an independent specialist (EMM) in accordance with the NMP, with no exceedances recorded and monitoring demonstrating ongoing compliance with both HVO North and HVO South criteria. Annual noise model validation, conducted by EMM, confirmed that measured noise levels remained consistent with predicted performance. • **Operational Controls** – Refer to the findings against Schedule 3, Condition 9, which demonstrate that HVO implemented a comprehensive suite of proactive and reactive noise controls consistent with the NMP, including real-time alarm response, attenuation of		

<table>
<tr><th>Condition of Consent</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td></td><td></td><td>fleet, meteorological risk management, and operational adjustments when needed.
• Complaints – Noise-related complaints were infrequent, with only two complaints received over the three-year audit period. Each complaint was managed in accordance with the Noise Management Plan
• Resourcing – The audit confirmed that HVO maintains adequate resourcing to support implementation of the Noise Management Plan. This includes dedicated E&C personnel, dispatch staff trained in noise alarm investigation, external specialist support (EMM, Benchmark Monitoring, Acoustic Research Labs), and established governance processes such as daily ENVMet noise-risk notifications, routine review of noise alarms, and participation in inter-mine coordination meetings.</td><td></td><td></td></tr>
<tr><td>S3 C11</td><td>Meteorological Monitoring
The Applicant must maintain a permanent meteorological station at a location approved by the EPA, and to the satisfaction of the Secretary, to monitor the parameters specified in Table 13, using the specified units of measure, averaging period, frequency, and sampling method in the table.
Table 11: Meteorological monitoring<table><tr><th>Parameter</th><th>Units of measure</th><th>Averaging period</th><th>Frequency</th><th>Sampling method[1]</th></tr><tr><td>Lapse rate</td><td>°C/100m</td><td>1 hour</td><td>Continuous</td><td>Note[2]</td></tr><tr><td>Rainfall</td><td>mm/hr</td><td>1 hour</td><td>Continuous</td><td>AM-4</td></tr><tr><td>Sigma Theta @ 10 m</td><td>°</td><td>1 hour</td><td>Continuous</td><td>AM-2</td></tr><tr><td>Siting</td><td>-</td><td>-</td><td>-</td><td>AM-1</td></tr><tr><td>Temperature @ 10 m</td><td>K</td><td>1 hour</td><td>Continuous</td><td>AM-4</td></tr><tr><th>Parameter</th><th>Units of measure</th><th>Averaging period</th><th>Frequency</th><th>Sampling method[1]</th></tr><tr><td>Temperature @ 2 m</td><td>K</td><td>1 hour</td><td>Continuous</td><td>AM-4</td></tr><tr><td>Total Solar Radiation @ 2m</td><td>W/m²</td><td>1 hour</td><td>Continuous</td><td>AM-4</td></tr><tr><td>Wind Direction @ 10 m</td><td>°</td><td>1 hour</td><td>Continuous</td><td>AM-2</td></tr><tr><td>Wind Speed @ 10 m</td><td>m/s</td><td>1 hour</td><td>Continuous</td><td>AM-2</td></tr></table></td><td>Benchmark Monitoring, Calibration Certs HVO Corp Met Station, (2022 – 2025)</td><td>HVO maintains two permanent meteorological stations, Cheshunt located in HVO South and HVO Corporate met station located in HVO North. Both stations are approved by the EPA and managed by Benchmark Monitoring on behalf of HVO.
Calibration certificates, maintenance records and inspection reports were reviewed and found to be current, with Benchmark providing certificates directly to HVO via its monitoring portal.
Live meteorological data was sighted through the online system available to operational and environmental staff. Monitoring parameters, instrumentation and operation were consistent with the Approved Methods for the Sampling and Analysis of Air Pollutants in NSW, and maintenance practices were demonstrated through a</td><td>Compliant</td><td></td></tr>
</table>

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	[1] NSW EPA, 2001, Approved Methods for the Sampling and Analysis of Air Pollutants in NSW. *[2]The Applicant must calculate lapse rate from measurements made at 2m and 10m or any improved system of the determination of inversions.*		sample of calibration and operational check records provided throughout the audit period.		
Blasting and vibration					
S3 C12	Airblast Overpressure Limits The Applicant must ensure that the airblast overpressure level from blasting at the development does not exceed the criteria in Table 14 at any residence on privately-owned land. *Table 12: Airblast overpressure impact assessment criteria* **Airblast overpressure level (dB(Lin Peak))** / **Allowable exceedance** 115 / 5% of the total number of blasts in a 12 month period 120 / 0%	Monthly Environmental Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1 KABOOM blast monitoring data (airblast and vibration logs) HVO Blast Management Plan (V4.0) Blast risk assessments, Dust & Fume TARP sheets ENVMET modelling outputs for overpressure prediction Site Inspection	Blasting at HVO North is implemented in accordance with the HVO Blast Management Plan (Version 4.0), which outlines: • airblast and vibration criteria for HVO North and South; • monitoring locations and methods; • requirements for pre-blast risk assessments and Dust & Fume TARP; • investigation and reporting processes for exceedances or anomalous results; • community notification, complaint response, and regulatory reporting obligations. The BMP confirms that fixed compliance monitors are positioned around the site to represent the nearest privately-owned receivers, with portable monitors deployed as required (e.g., infrastructure or special verification requests). The auditors sighted the KABOOM blast monitoring system, which: • records airblast overpressure (dB(L)) and ground vibration (mm/s) for every blast; • automatically logs blast times and peak values;	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Complaints Register	• stores monitoring data for compliance verification and reporting; • provides data for monthly environmental reports and public-facing updates. **Blast Monitoring Results** Blast monitoring includes permanent (fixed) compliance monitors representing nearby sensitive receivers and portable monitors that can be deployed for specific complaint investigations or infrastructure checks. The auditors reviewed blast monitoring data for the audit period. Across the audit period, no exceedances of the Table 14 air blast overpressure criteria were recorded at any compliance monitor representing privately-owned receivers. Monitoring results showed: • All airblast values remained below 120 dB(L); • Events above 115 dBL and 5 mm/s are well within the ≤5% of blasts per 12-month period tolerance. • Results associated with community complaints were all compliant. Raw data sets were reviewed against the data presented in the monthly environmental monitoring reports. No inconsistencies in data were identified.		
S3 C13	Ground Vibration Impact Assessment Criteria The Applicant must ensure that the ground vibration level from blasting at the development does not exceed the criteria in Table 15 at any residence on privately-owned land.	Monthly Environmental Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1	Ground vibration monitoring is carried out in accordance with the HVO Blast Management Plan, which details: • mandatory ground vibration criteria (Table 15); • fixed and portable blast monitoring locations; • procedures for verifying ground vibration results for every blast;	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Table 13: Ground vibration impact assessment criteria **Peak particle velocity (mm/s)** / **Allowable exceedance** 5 / 5% of the total number of blasts in a 12 month period 10 / 0%	KABOOM blast monitoring data (airblast and vibration logs) HVO Blast Management Plan (V4.0) Blast risk assessments, Dust & Fume TARP sheets ENVMET modelling outputs for overpressure prediction Site Inspection Complaints Register Blast Database 2022-2025	• investigation and reporting obligations where results approach or exceed limits. Throughout the audit period, no exceedances of Table 15 ground vibration criteria were recorded at any blast compliance monitor representing privately-owned receivers. All PPV values were below the applicable limits, no exceedances occurred within the allowable 5% tolerance and all blast results reviewed through KABOOM logs and monthly reports confirmed vibration remained well within consent limits.		
S3 C14	Blasting Hours The Applicant must only carry out blasting at the development between 7 am and 6 pm Monday to Saturday inclusive. No blasting is allowed on Sundays, Public Holidays or any other time without the written approval of the EPA.	Monthly Environmental Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1 KABOOM blast monitoring data	Blast firing times are automatically recorded through: • the KABOOM monitoring system, which logs precise timestamps (hh:mm:ss); • parallel records in the Drill & Blast database; • event summaries reported monthly in Section 4.1 of the monthly environmental reports published online. A review of the raw data from the blast database against the data presented in the monthly environmental monitoring reports published online was conducted to verify accuracy. The following was identified:	Compliant	
S3 C14A	Blasting Frequency The Applicant may carry out a maximum of: (a) 3 blasts a day, unless an additional blast is required following a blast misfire; and			Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) 12 blasts a week, for all open cut mining operations at the HVO North mine. This condition does not apply to blasts that generate ground vibration of 0.5 mm/s or less at any residence on privately-owned land, or to blasts required to ensure the safety of the mine or its workers. *Note: For the purposes of this condition, a blast refers to a single blast event, which may involve a number of individual blasts fired in quick succession in a discrete area of the mine.*	(airblast and vibration logs) Blast Database 2022-2025	• Hours: ○ No blasts occurred outside 7:00 am–6:00 pm in the audit period (1 Dec 2022 – 17 Oct 2025). ○ No blasts were recorded on a Sunday • Daily frequency: ○ A maximum of 4 blasts on any single day over the audit period were recorded. • Weekly frequency: ○ A maximum of 8 blasts in any single week were recorded (on a calendar-week basis). All blasts complied with the blast timing and frequency limits.		
S3 C15	Interactions With Adjoining Mines Prior to carrying out any mining or associated development within 500 metres of active mining areas at Ravensworth Operations, the Applicant must enter into an agreement with Ravensworth Operations Pty Ltd (or its assigns or successors in title) to address the potential interactions between the two mines. If during the course of entering into this agreement, or subsequently implementing this agreement, there is a dispute between the parties about any aspect of the agreement, then either party may refer the matter to the Secretary for resolution.	Discussions with E&D Department	An agreement, Blasting Co-operation Deed with Ravensworth Operations dated 17 October 2016, was executed prior to the audit period commencing.	Compliant	
S3 C16	Prior to carrying out any mining or associated development within 500 metres of active mining areas at Cumnock No. 1 Colliery, the Applicant must enter into an agreement with Cumnock No. 1 Colliery Pty Ltd (or its assigns or successors in title) to address the potential interactions between the two mines. If during the course of entering into this agreement, or subsequently implementing this	Discussions with E&D Department Annual S138 Road Closure Pikes Gully Hawick	As detailed against Condition 15 an agreement was executed outside of the audit period which included Cumnock No.1 Colliery. No blasting occurred within 500m of Cumnock colliery active mining area during the audit period and at the time of the audit site inspection Cumnock was not mining anymore. Note – Cumnock pit is located to the north of west pit.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	agreement, there is a dispute between the parties about any aspect of the agreement, then either party may refer the matter to the Secretary for resolution.				
S3 C16A	Property Inspections If the Applicant receives a written request from the owner of any privately-owned land within 2 kilometres of the approved open cut mining pit/s on site for a property inspection to establish the baseline condition of any buildings and/or structures on his/her land, or to have a previous property inspection updated, then within 2 months of receiving this request the Applicant must: (a) provide the Secretary with a report that: • establishes the baseline condition of any buildings and other structures on the land, or updates the previous property inspection report; and • identifies measures that should be implemented to minimise the potential blasting impacts of the development on these buildings and/or structures; and (b) provide the landowner with a copy of the new or updated property inspection report. The report is to be prepared by a suitably qualified, experienced and independent person, whose appointment is acceptable to both parties. If there is a dispute over the selection of the suitably qualified, experienced and independent person, or the Applicant or the landowner disagrees with the findings of the inspection report, either party may refer the matter to the Secretary for resolution. If the Applicant considers that an extension of time is required to complete the report, the Applicant	Discussion with E&C Department	The auditors were informed that HVO had not received a written request from a landholder which would trigger this condition	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	may apply in writing to the Secretary for an extension. The Applicant must provide a copy of the request and of the Secretary's decision to the landowner.				
S3 C16B	Property Investigations If the Applicant receives a written request from the owner of any privately-owned land within 2 kilometres of the approved open cut mining pit/s on site for a property inspection to establish the baseline condition of any buildings and/or structures on his/her land, or to have a previous property inspection updated, then within 2 months of receiving this request the Applicant must: (a) provide the Secretary with a report that: • establishes the baseline condition of any buildings and other structures on the land, or updates the previous property inspection report; and • identifies measures that should be implemented to minimise the potential blasting impacts of the development on these buildings and/or structures; and (b) provide the landowner with a copy of the new or updated property inspection report. The report is to be prepared by a suitably qualified, experienced and independent person, whose appointment is acceptable to both parties. If there is a dispute over the selection of the suitably qualified, experienced and independent person, or the Applicant or the landowner disagrees with the findings of the inspection report, either party may refer the matter to the Secretary for resolution. If the Applicant considers that an extension of time is required to complete the report, the Applicant	Discussion with E&C Department	The auditors were informed that HVO had not received a written request from a landholder which would trigger this condition	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	may apply in writing to the Secretary for an extension. The Applicant must provide a copy of the request and of the Secretary's decision to the landowner.				
S3 C17	Blasting Operating Conditions During mining operations on site, the Applicant must: (a) implement best management practice to: • protect the safety of people and livestock in the surrounding area; • protect public or private infrastructure/property in the surrounding area from any damage; and • minimise the dust and fume emissions of any blasting; (b) minimise the frequency and duration of any road closures, and avoid road closures during peak traffic periods; (c) co-ordinate the timing of blasting on site with the timing of blasting at nearby mines (including the Mt Thorley Warkworth, Wambo, Ravensworth and HVO South mines) to minimise the cumulative blasting impacts of these mines and HVO North mine; and (d) operate a suitable system to enable the public to get up-to-date information on the proposed blasting schedule on site, to the satisfaction of the Secretary.	Dust and Fume Trigger Action Response Plan (TARP) – daily pre-blast assessments (e.g. 14/10/2025) Pre-blast risk assessment records – various dates (2022–2025) KABOOM Blast Monitoring System – blast monitoring records (2022–2025) Monthly Blasting and Vibration Monitoring Reports – various months (2022–2025) Benchmark Monitoring public blast results webpage	**Pre-blast assessment process** Pre-blast assessments are undertaken each morning before firing and documented via the Dust and Fume TARP process. These assessments incorporate meteorological, groundwater, rainfall and inter-mine coordination factors. An example dated 14 October 2025 was reviewed by the auditors showing Dust Risk Level 1 (possible) and Fume Risk Level 0 (unlikely). Where elevated risks occur, the E&C Manager's approval is required. A mid-2025 example confirmed a blast was postponed due to unfavourable dust conditions, demonstrating proactive management and application of best practice. **Blast Monitoring and Results** Blasting activities and results are managed through the KABOOM blast monitoring system, which records vibration, overpressure, and fume data for each blast. The auditors reviewed blast results recorded through the audit period. The following is noted: • The system includes both fixed compliance monitors positioned strategically around the site and portable monitors that can be deployed to infrastructure (e.g., the server room) when additional verification is required. • Blast results are reported monthly, and data are available to the public via the Kaboom Benchmark Monitoring webpage on the HVO website.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		(accessed October 2025) HVO public blast schedule webpage (accessed October 2025) Community Complaints Register – blast-related complaints (2022–2025) HVO Blast Management Plan (BMP) – current approved version (sighted October 2025) nter-mine Blasting Coordination Meeting Minutes (HVO, MTW, Wambo, Ravensworth) – various dates (2022–2025)	• No exceedances of the applicable overpressure or vibration criteria were recorded during the current audit period. • A non-compliance in 2024 was identified due to a data miscapture at the Maison Dieu monitor location, with data originating from the Kaboom system. This was an isolated recording issue rather than an exceedance of the criteria. • Several results within the allowable 5% exceedance tolerance were recorded, consistent with regulatory limits. • Blasting is distributed relatively evenly between HVO North and HVO South, ensuring dispersion of blast impacts and monitoring coverage. **Blast related complaints** A review of the Complaints Register (refer Section 4.6 of this audit report) confirmed that all blast-related complaints were investigated, recorded, and responded to in accordance with the BMP and community consultation protocols. **Blast notifications** Upcoming blasts are displayed on signage on Lemington Road. In addition HVO maintain a blast hotline and a public blast schedule on the HVO public website, allowing the community to access information on upcoming blasts, consistent with Condition C17(d). **Fume Management** Two Level 4B blast fume events occurred at HVO North during the audit period, on 9 September 2023 and 22		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			November 2024, associated with blasting in the West/Mitchell Pit / West Pit area. The Department was notified of each fume event, and an incident report was prepared and submitted by HVO following investigation of the circumstances and contributing factors. Investigations attributed both events to factors including ground conditions, moisture ingress and explosive performance, with fume dispersion predominantly confined to mine-owned land. The 2023 event (9 September 2023) was investigated and reported to the Department, however, it was not classified as a non-compliance in the relevant Annual Review. In contrast, the 22 November 2024 HVO North fume event, were reported as a non-compliance against Condition 17 of Schedule 3 in the 2024 Annual Review. Audit review identified that this difference reflects a change in compliance interpretation approach, rather than a substantive change in blast fume outcomes or impacts. In 2024, a new Environment & Community (E&C) Manager was in place, and a more precautionary and conservative approach to compliance determination was adopted, resulting in Level 4B fume events being recorded as non-compliances for transparency and regulatory caution. **Auditors determination of compliance with Condition 17(a) –** based on fume occurrences during the audit period The condition requires implementation of best management practices to minimise fume. The occurrence of a fume event does not automatically indicate non-compliance with this condition.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			One community complaint was received in relation to the 2023 fume event, however this in itself does not show a failure of best practice. The auditors confirmed that for both blasts which resulted in the Level 4B fume events from HVO North: • HVO run comprehensive plume models which predict the direction a blast plume would travel. HVO also have an additional system which shows the predicted blast impact radius and validates if the blast is 'OK to Blast' based on an assessment of a range of factors. • The Pre-Blast Dust & Fume Likelihood Assessment & TARP was completed for each blast. • Meteorology and ground conditions were assessed as part of the pre-blast assessment process • post-blast investigations were completed. Amendments to the pre-blasting checklist was made following the fume event in 2023 to identify and assess changes to blast design. • The June 2024 blast was initially postponed one day due to risks to the Glider club which was occupied on the day initially planned. Additional delays occurred due to technical issues and high wind speeds resulting in the blast being fired 4 days after initial planning and loading. • No evidence was identified to indicate best management practices were not implemented in relation to fume management. **Conclusion** The evidence demonstrates that S3 C17 is being complied with. Blasting is planned, managed and communicated in accordance with best practice, with effective controls in		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			place for safety, dust, fume, coordination and community information. The isolated monitoring mis-capture does not undermine compliance with the blasting operating condition itself. Likewise, although blast fume events occurred during the audit period, the evidence does not demonstrate a failure to implement best management practice as required by S3 C17(a).		
S3 C18	The Applicant must not undertake blasting on site within 500 metres of: (a) any public road without the approval of the appropriate road authority; or (b) any land outside the site that is not owned by the Applicant; unless • the Applicant has a written agreement with the relevant landowner to allow blasting to be carried out closer to the land, and the Applicant has advised the Department in writing of the terms of this agreement, or • the Applicant has: - demonstrated to the satisfaction of the Secretary that the blasting can be carried out closer to the land without compromising the safety of the people or livestock on the land, or damaging the buildings and/or structures on the land; and - updated the Blast Management Plan to include the specific measures that would be implemented while blasting is being carried out within 500 metres of the land.	Roads Act 1993, Section 138 Consent – Annual approval (Singleton Council) Blast Management Plan Refer evidence against S3 C17	The audit found that blasting undertaken within 500 metres of public roads was managed in accordance with Schedule 3, Condition C18. Where blasting was proposed within this distance, HVO held the necessary approvals under Section 138 of the Roads Act 1993, including an annual road closure approval issued by Singleton Council. No blasting was identified within 500 metres of land outside the site without the required landowner agreement or Departmental approval.	Compliant	
S3 C19	Blast Management Plan The Applicant must prepare a Blast Management Plan for the development to the satisfaction of the Secretary. This plan must: (a) be submitted to the Secretary for approval by the end of September 2013 unless otherwise agreed;	HVO Blast Management Plan (BMP), Version 4.0 Refer evidence against	The current Blast Management Plan (BMP) (Version 4.0) was approved by the Department on 26 August 2025. In the approval correspondence, the Department confirmed that consultation with public authorities was not required for this update. The BMP includes appropriate provisions for best management practice, compliance with blasting criteria, protection of infrastructure, blast fume	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) propose and justify any alternative ground vibration limits for any public infrastructure in the vicinity of the site; (c) describe the measures that would be implemented to ensure: • best management practice is being employed; • compliance with the relevant conditions of this consent; • that blasting will not cause damage to the Carrington West Wing Groundwater Barrier (LPB) as described in Condition 23 of Schedule 4; and • that blasting in the Carrington West Wing does not cause damage or instability to the Carrington In Pit Fine Reject Emplacement embankment; (d) include a road closure management plan for blasting within 500 metres of a public road, that has been prepared in consultation with TfNSW and Council; (e) include a specific blast fume management protocol to demonstrate how emissions will be minimised including risk management strategies if blast fumes are generated; (f) include a monitoring program for evaluating the performance of the development, including: • compliance with the applicable criteria; • minimising the fume emissions from the site; and (g) include a protocol that has been prepared in consultation with the owners of nearby mines (including the Mt Thorley Warkworth, Wambo, Ravensworth and HVO South mines) to minimise the cumulative blasting impacts of these mines and the HVO North mine.	Condition 17, Schedule 3. HV Blast Schedule HVO Blast Monitoring Report	management, road closure management, monitoring, and inter-mine coordination. The plan has been reviewed and updated during the audit period to reflect approval modifications, Annual Reviews and the previous IEA. The IEA assessed the BMP's implementation through review of the evidence and findings documented above under Condition S3 C17 (Blasting Operating Conditions), including pre-blast risk assessment processes, blast monitoring results, fume management, inter-mine coordination, complaints handling and community notification mechanisms. The following was concluded from the implementation review: • Pre-blast planning and risk assessment is undertaken for every blast through the Dust and Fume TARP, incorporating meteorological conditions, ground and moisture conditions, blast design considerations and inter-mine coordination. Escalation and approval pathways are applied where elevated risks are identified, including postponement of blasting where required. • Blast monitoring is conducted at five locations around HVO in accordance with the BMP. Blast monitoring and reporting was implemented via the KABOOM blast monitoring system. Results are reported monthly and made publicly available, with no exceedances of applicable airblast or vibration criteria identified during the audit period. An isolated data miscapture in 2024 was addressed separately and does not indicate a failure of BMP implementation. • Fume management, including investigation and reporting of Level 4B fume events, has been undertaken in accordance with the BMP and consent		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	The Applicant must implement the approved management plan as approved from time to time by the Secretary.		requirements. As discussed under S3 C17(a), the occurrence of fume events does not of itself indicate a failure to implement best management practice, and audit evidence confirms that appropriate controls, investigations and corrective actions were applied. • The BMP clearly defines the requirements for regulatory notification of blast fume events to the Department of Planning, Housing and Infrastructure and, where applicable, the EPA. However, audit review identified that there is less clarity regarding how blast fume events are to be consistently classified for compliance reporting purposes, such as within Annual Review documentation. This has resulted in similar blast fume events being classified differently across reporting periods, reflecting differences in interpretation rather than differences in blast controls, outcomes, or impacts. OFI-004: Clarify BMP guidance on when blast fume events should be classified as non-compliances for Annual Review reporting • Community notification and complaints management arrangements, including roadside signage, a blast hotline, a public blast schedule webpage and investigation of complaints, are operating as intended. • Inter-mine blasting coordination is undertaken with nearby operations, as evidenced by coordination meeting records and consideration of cumulative blasting impacts during pre-blast planning. Based on the evidence referenced under Condition S3 C17, the auditors consider that the BMP is being effectively implemented.		
Surface and groundwater					
	Note: Under the Water Act 1912 and/or Water Management Act 2000, the Applicant is required to obtain the necessary				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	water licences and approvals for the development.				
S3 C20	**Pollution of Waters** Except as may be expressly provided by an EPA licence, the Applicant must comply with section 120 of the Protection of the Environment Operations Act 1997 during the carrying out of the development.	HVO (2024) Written Report – Condition R3 of EPL 640 – Dam 17N Pumping Incident 13-22 June 2024 HVO (2024) Invitation to show cause - Discharge of mine water from HVO Mine, June 2024 HVO (2024) Invitation to show cause EF16/2461 - Alleged pollution of waters and contravention of licence conditions – June 2024 EPA letter Penalty Notice 3511223 – HV Operations PTY LTD- EPL 640, 16/12/2024	HVO holds EPL 640, which authorises controlled mine water discharges via designated discharge points and specifies the conditions under which releases may occur, including compliance with the Hunter River Salinity Trading Scheme (HRSTS). The Water Management Plan also reinforces that only authorised discharges through EPL monitoring points 3, 4 and 8 are permitted. During the audit period, one unauthorised discharge incident occurred, in June 2024, where water from the Dam 17N pump station sump was released to Farrells Creek outside the EPL-authorised discharge points. Although this constituted an unauthorised discharge, water chemistry results demonstrated that the discharged water was of equal or better quality than receiving waters, and no material environmental harm occurred. The EPA determined that HVO failed to comply with Condition E1.1 of EPL 640 (relating to proper operation and maintenance of plant and equipment). This matter is addressed separately in the EPL 640 audit checklist (Appendix B3). On the basis of the following this event does not constitute a non-compliance of this condition: • The Dam 17N discharge event constituted a breach of EPL 640 Condition E1.1, not a pollution offence under s120 of the *Protection of the Environment Operations Act 1997*. • The EPA explicitly stated there was no evidence of actual environmental harm, supported by water chemistry comparisons showing receiving waters were not degraded.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		HVO Letter to EPA, Invitation to show cause - Discharge of mine water from HVO Mine, June 2024, 18/12/2024 Letter from HVO to EPA, Written Report – Condition R3 of EPL 640 – Dam 17N Pumping Incident 22 June 2024, 19 July 2024 Letter from HVO to EPA, Invitation to show cause EF16/2461 - Alleged pollution of waters and contravention of licence conditions – June 2024, 28/11/2024 Letter from HVO to EPA, Request for Further Details –	• The threshold for a breach of s120 (material or actual pollution of waters) was not met. Therefore, while there was a EPL non-compliance, this does not translate into a breach of S3 C20 of DA 450-10-2003.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Condition R3.4 of EPL 640 – Dam 17N Pumping Incident 22 June 2024, 23/09/2024 Letter from EPA to HVO, Penalty Notice 3511223 - HV Operations PTY LTD - EPL 640, 16/12/2024			
S3 C20A	**Water Supply** The Applicant must ensure that it has sufficient water for all stages of the development, and if necessary, adjust the scale of mining operations to match its available water supply, to the satisfaction of the Secretary.	Water Balance Annual Reviews 2022, 2023, 2024 Annual Reviews 2022, 2023, 2024 Water Balance Reviews: *-Waf and gcp interface_hvo_2023* *-2024waf and gcp interface_hvo* *-Waf and gcp interface_hvo (2025)*	HVO's subcontractor, Engeny, undertook an annual review of HVO's site water balance as part of its ongoing water management strategy. Throughout the audit period, HVO operated within a surplus water balance. Engeny managed the back-end modelling component of HVO's water accounting framework, with the model supporting effective onsite water management through monthly simulations that incorporated rainfall data, dust suppression requirements, and mine void volumes. A review of the site water balance for HVO across 2022, 2023, and 2024 shows that the operation consistently maintained a positive water position, with inputs generally exceeding outputs and supporting surplus water storage. The most significant surplus occurred in 2022, with a 5,663 mega litres (ML) increase in pit storage, while 2023 was characterised by a temporary reduction of 2,102 ML in storage, reflecting drier conditions and higher water usage. A return to surplus conditions was observed in 2024 with a 2,291 ML increase. Rainfall runoff remained the dominant water source each year, though volumes fluctuated in response to climatic	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			variability, peaking in 2022 and declining markedly in 2023 before partially recovering in 2024. Groundwater contributions remained relatively stable, while imported water was only required in 2023 to supplement supply during reduced rainfall periods. Discharge volumes decreased substantially after 2022, indicating enhanced water retention and reuse, while water use for dust suppression and evaporation remained the largest output components, increasing in drier conditions. A comparison of the 2023 and 2024 raw data AER summary sheet was compared with the Annual Review summary of the water balance. There were a number of numerical differences noted, however, this did not fundamentally change if the pit storage was increased or decreased but affected the order of magnitude of the change. OFI: HVO should improve consistency between raw data and Annual Review summaries or clearly explain any reconciliation adjustments. These trends indicate that HVO has maintained sufficient water to support all stages of the development consistent with the requirements of the consent.		
S3 C20B	**Compensatory Water Supply** The Applicant must provide compensatory water supply to any landowner of privately-owned land whose water supply is adversely and directly impacted (other than an impact that is negligible) as a result of the development, in consultation with Water Group, and to the satisfaction of the Secretary. The compensatory water supply measures must provide an alternative long-term supply of water that	Discussion with E&C Department HVO Annual Reviews, 2022, 2023, 2024.	During the audit period, HVO did not provide any compensatory water supply, nor any alternative form of compensation in lieu of a compensatory water supply, under either new or existing agreements. No circumstances arose during this period that triggered a requirement to provide a compensatory water supply. As such this condition was not triggered.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	is equivalent to the loss attributed to the development. Equivalent water supply should be provided (at least on an interim basis) within 24 hours of the loss being identified, unless otherwise agreed with the landowner. If the Applicant and the landowner cannot agree on the measures to be implemented, or there is a dispute about the implementation of these measures, then either party may refer the matter to the Secretary for resolution. If the Applicant is unable to provide an alternative long-term supply of water, then the Applicant must provide alternative compensation to the satisfaction of the Secretary.				
S3 C21	**Discharge Limits** Except as may be expressly provided by an EPA licence or the Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002 (or any subsequent version of the Regulation), the Applicant must: (a) not discharge more than 237 ML/day from the licensed discharge points at HVO north of the Hunter River; (b) ensure that the discharges from licensed discharge points comply with the limits in Table 17: *Table 15: Discharge Limits* Pollutant / Units of measure / 100 percentile concentration limit pH / pH / 6.5 ≤ pH ≤ 9.5 Non-filterable residue / mg/litre / NFR ≤ 120 *Note: This condition does not authorise the pollution of waters by any other pollutants.*	Annual Reviews 2022, 2023, 2024 Annual Returns 1-4-2022 to 31-3-2023, 1-4-2023 to 31-3-2024, and 1-4-2024 to 31-3-2025 HRSTS – HVO Discharge Record Sheet 2023-2024 HRSTS Discharge	EPL 640 permits discharges via Monitoring Point 3 (Dam 11N) and Monitoring Point 4 (Parnells Creek Dam) under the Hunter River Salinity Trading Scheme (HRSTS). Discharges from Lake James are associated with HVO South and are managed under separate requirements under PA 06_0261. HVO undertook controlled discharges from Monitoring Points 3 and 4 during 2022, 2023 and 2025. Review of EPL 640 monitoring data and the corresponding Annual Returns confirms that HVO did not exceed the 237 ML/day discharge volume limit at any time during the audit period. Compliance monitoring also demonstrated that all discharge events remained within the pH (6.5–9.5) and Non-Filterable Residue (NFR ≤ 120 mg/L) limits specified in Table 17 and EPL 640. No exceedances of these water quality criteria were recorded.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Report Final 2022-2023_V2 Hunter River Salinity Trading Scheme (HRSTS) - Hunter Valley Operations Dam11N EMD Database and excel exports 2022, 2023, 2024, 2025			
S3 C22	[2]**Water Licensing** Prior to the renewal of a licence obtained under the Water Act, or 5 years after the issue date (whichever is first), the Applicant must undertake a comparison of predicted impacts, on water resources, in the EIS against actual impacts, to the satisfaction of the Water Group. *[2] Incorporates Water Group GTAs*	Discussion with E&C Department Umwelt Australia Pty Limited (Umwelt), 2022 Groundwater Annual Review, Version 2, 31/03/2023 Umwelt Australia Pty Limited (Umwelt), 2023 Groundwater Annual Review, Version 2, 07/03/2024	HVO North holds the necessary Water Act licences for groundwater and surface water take. HVO undertake a comparison of predicted impacts against actual impacts annually as part of the Annual Review process. The results from the comparison are reported within the Annual reviews (Section 7.3). HVO conducts a monthly stocktake of water usage, which includes water used by tenants on HVO-owned land, as the licences are held by HVO. This process was introduced following a Show Cause notice issued by the EPA outside the audit period, when some tenants exceeded permitted water usage or failed to accurately order water through WaterNSW. The monthly review process ensures such issues are prevented. At the time of the audit NSW Natural Resources Access Regulator (NRAR) was undertaking a shadow audit of HVO's water management, and no issues had been identified. Inconsistencies between works approvals and	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Umwelt Australia Pty Limited (Umwelt), 2024 Groundwater Annual Review, Version 2, 19/03/2025 Records of consultation with Water Group	water approvals have been identified, and HVO is working with WaterNSW to resolve these, as the inconsistencies are currently preventing the processing of metering upgrades.		
S3 C22A	**Groundwater Barrier** Within 2 years of commencing mining in the Carrington Pit Southern Extension, or as otherwise agreed with the Secretary, the Applicant must construct a groundwater barrier wall across the eastern arm of the palaeochannel of the Hunter River, to the satisfaction of the Secretary and at a location no further south than shown in the figure "Carrington River Red Gums, Billabong and Associated Infrastructure" included in the Carrington Pit Extension Response to Submissions Report, dated May 2006.	Discussion with E&C Department	Construction was completed in 2010. As this work was finalised prior to the current audit period, no further action was required during the reporting period.	Not Triggered.	
S3 C22B	By 31 December 2006, or as otherwise agreed with the Secretary, the Applicant must **submit a report to the Department and the Water Group** that: (a) examines all reasonable and feasible options for the design and construction of the groundwater barrier wall (including matters such as materials, timing and method of construction, costs, projected initial and long-term effectiveness) to the satisfaction of the Secretary; and (b) recommends a preferred option for the approval of the Secretary.	Discussion with E&C Department	As per Condition 22A above, this has not been triggered.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S3 C23	**Carrington West Wing Groundwater Barrier (LPB)** The Applicant must design the Carrington West Wing LPB to the satisfaction of Water Group and the Secretary. The detailed design must: (a) ensure that negligible movement of water can occur through the barrier in either direction over the long term; (b) be prepared by a suitably qualified and experienced expert/s; (c) be endorsed by Water Group and approved by the Secretary, prior to construction of the LPB; (d) achieve the relevant performance measures including: • applicable permeability of 10-8 metres/second or less; • applicable Australian Standards (including AS 3798-2007); and • hydraulic, geomorphologic and seismic stability which will withstand any blasting-related vibrations, mining operations, fluvial and weather events, decay corrosive and biological attack. *Note: The conceptual low permeability barrier is shown in Appendix 4.*	Discussion with E&C Department	This project has not commenced, and therefore the condition has not yet been triggered.	Not Triggered	
S3 C24	Prior to undertaking any mining operations within 100 metres of the western arm of the Hunter River paleochannel, the Applicant must: (a) install the LPB in the western arm of the paleochannel; (b) submit an as-executed report to the Secretary and Water Group by a suitably qualified and experienced practising engineer, certifying that the LPB has been constructed to achieve the relevant performance measures set out in Condition 23(d) of Schedule 4; and (c) obtain endorsement on the installed LPB from Water Group.	Discussion with E&C Department	As per Condition 23 above, this project has not commenced, and therefore the condition has not yet been triggered.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	If there is evidence after its installation that the LPB is not achieving the performance objective and performance measures in Condition 23 of Schedule 4, mining operations within 100 metres of the western arm of the Hunter River paleochannel must cease until approval to recommence is granted by the Secretary.				
S3 C25	**LPB Monitoring and Management Plan** The Applicant must prepare a Low Permeability Barrier Monitoring and Management Plan to the satisfaction of Water Group and the Secretary. The plan must: (a) address the monitoring and management of both the Carrington West Wing LPB and the Carrington Pit Southern Extension LPB; (b) be prepared by a suitably qualified and experienced expert; (c) be endorsed by Water Group and approved by the Secretary, prior to construction of the Carrington West Wing LPB; (d) describe the monitoring and maintenance procedures to be implemented and the scheduling of these procedures; (e) demonstrate that the monitoring system is capable of timely detection of any failure or deficiency in either LPB; and (f) describe the contingency measures that will be implemented in the event of a failure or deficiency in either LPB. The Applicant must implement the approved monitoring and management plan as approved from time to time by the Secretary.	Discussion with E&C Department	As per Condition 23 above, this project has not commenced, and therefore the condition has not yet been triggered.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S3 C26	**Flood Design Works** The Applicant must design and construct the flood levees and associated flood design works in the Carrington West Wing area at least 1.0 metres higher than the 1 in 100 year ARI flood event, to the satisfaction of Water Group.	Discussion with E&C Department	As per Condition 23 above, this project has not commenced, and therefore the condition has not yet been triggered.	Not Triggered	
S3 C27	The Applicant must prepare a **Water Management Plan** for the HVO North mine to the satisfaction of the Secretary. This plan must be prepared in consultation with Water Group and the EPA by suitably qualified and experienced persons whose appointment has been approved by the Secretary, and submitted to the Secretary by the end of September 2013 unless otherwise agreed. This plan must include: (a) a Site Water Balance that: • includes details of: o sources and security of water supply, including contingency planning for future reporting periods; o water use on site; o water management on site, including details of water sharing between neighbouring mining operations; o any off-site water transfers and discharges; o reporting procedures, including comparisons of the site water balance for each calendar year; and • describes the measures that would be implemented to minimise clean water use on site; (b) a Surface Water Management Plan, that includes: • detailed baseline data on surface water flows and quality in the waterbodies that could be affected by the development; • a detailed description of the water management system on site, including the: o clean water diversion systems and their final positioning;	HVO Water Management Plan Version 3.0, 16/10/2018 DPHI (2017) Letter approving specialists, dated 28/11/2017 HVO Water Management Plan V4.0 (HVOOC-748212775-24) Not approved or published offline version Supporting Evidence: Monthly Environmental Monitoring Reports Apr–Dec 2024	HVO operates under an approved Water Management Plan Version 3.0, endorsed by the Secretary on 16 October 2018. This version remains the only approved plan despite several subsequent revisions by HVO to address operational changes, consent modifications, and recommendations from Annual Reviews and the 2022 IEA. Since 2018, HVO has updated the WMP multiple times (including versions 3.4 and 4.0) to incorporate MOD 6 and MOD 8 approvals, revised surface and groundwater monitoring networks, updated triggers and performance criteria, refined water balance methodology, and improved descriptions of drainage, diversions, dams, erosion controls, and groundwater monitoring requirements. Version 4.0 addresses the key gaps previously identified in the 2022 IEA, including the need for clearer groundwater inflow quantification, improved surface-water performance criteria, and updated monitoring network configuration, however the updated WMP remained unapproved at the time of the audit period concluding. While HVO continues to implement the approved WMP, aspects of day-to-day water management, particularly groundwater trigger values, bore rationalisation and investigation processes, reflect the unapproved Version 4.0, creating a procedural compliance risk. **Implementation Review – Surface Water** HVO is generally implementing the surface water monitoring and management requirements of the	Non-Compliant	**NC-004**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	o erosion and sediment controls; and o water storages; • detailed plans, including design objectives and performance criteria, for: o design and management of the final voids; o design and management of the evaporative sink; o design and management of any tailings dams; o ensuring the stability of high walls adjacent to low permeability barriers; o establishment of drainage lines on the rehabilitated areas of the site; and o control of any potential water pollution from the rehabilitated areas of the site; • performance criteria for the following, including trigger levels for investigating any potentially adverse impacts associated with the development: o the water management system; o the stability of high walls adjacent to low permeability barriers; o surface water quality of the Hunter River; and o stream and riparian vegetation health of the Hunter River; • a program to monitor: o the effectiveness of the water management system; and o surface water flows and quality, stream and riparian vegetation health in the Hunter River (in so far as it could potentially be affected by the development); and • a plan to respond to any exceedances of the performance criteria, and mitigate and/or offset any adverse surface water impacts of the development. (c) a Groundwater Management Plan, which includes: • detailed baseline data on groundwater levels, yield and quality in the region, and privately-owned	HVO Annual Reviews 2022, 2023, 2024 EPL 640 Annual Returns HVO Surface Water Quality Records (Aug 2025)	approved WMP Version 3.0. Routine monitoring is undertaken by AECOM in accordance with the Surface Water Monitoring Program and EPL 640 requirements, with results accurately uploaded to EMD. Quarterly assessments of pH, EC and TSS are completed, and exceedances are investigated using procedures documented in the WMP and monthly environmental monitoring reports. HRSTS discharges during the audit period complied with salinity limits, as confirmed through EPL 640 Annual Returns. Clean-water diversions, drains, sediment basins and site water storages were observed to be functional and consistent with the approved plan. Stream-health and riparian-vegetation monitoring has also been implemented in accordance with the plan. Exceedances recorded in 2022–2024 were appropriately investigated and determined to reflect rainfall-driven turbidity, low-flow sediment disturbance or natural catchment variability, rather than mine-related impacts. Surface water results remained consistent with long-term trends. Some aspects of surface water assessment, such as updated trigger values and refined drainage descriptions, align with content from unapproved WMP Version 4.0, rather than the 2018-approved Version 3.0. This creates a procedural compliance risk, although it did not materially affect environmental outcomes. **Implementation Review – Groundwater** Groundwater monitoring is being undertaken across HVO North and South in accordance with the approved WMP Version 3.0 and EPL requirements. Monitoring frequency, analytical suites and data provision were confirmed through EMD records, and results show hydrogeological		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	groundwater bores, that could be affected by the development; • groundwater assessment criteria, including trigger levels for investigating any potentially adverse groundwater impacts; • a program to monitor: o groundwater inflows to the open cut mining operations; o the impacts of the development on: - the alluvial aquifers, including additional groundwater monitoring bores as required by Water Group; - the effectiveness of the low permeability barrier; - base flows to the Hunter River; - any groundwater bores on privately-owned land that could be affected by the development; and - groundwater dependent ecosystems, including the River Red Gum Floodplain Woodland EEC located in the Hunter River alluvium; o the seepage/leachate from water storages, backfilled voids and the final void; • a program to validate and recalibrate (if necessary) the groundwater model for the development, including an independent review of the model every 3 years, and comparison of monitoring results with modelled predictions; and • a plan to respond to any exceedances of the groundwater assessment criteria. The Applicant must implement the approved management plan as approved from time to time by the Secretary.		responses consistent with mining depressurisation and climatic variability. The audit confirmed correct implementation of groundwater sampling, data management, inflow monitoring and investigation of exceedances. A review of groundwater data identified several apparent inconsistencies, however, all but one were resolved through additional information and clarification from HVO. One genuine reporting error was identified relating to the incorrect recording of data recovery for bore GW108, which HVO acknowledged. A key issue is that several groundwater management practices, including revised trigger values, monitoring bore rationalisation, and exceedance interpretation, reflect the unapproved WMP Version 4.0 rather than Version 3.0. Version 4.0 incorporates updated conceptual models, network reviews and the AGE (2022) numerical model, however remained unapproved. Reliance on these unapproved elements represents a procedural non-compliance, even though the technical approach is more contemporary and risk-based. **Conclusion** The currently approved WMP (Version 3.0, 2018) no longer adequately addresses the full requirements of S3 C27 due to operational changes, consent modifications and updated modelling frameworks. Although HVO has prepared updated versions of the WMP (including Version 4.0) that address these gaps, these remain unapproved. Implementation of water management programs is generally effective; however, HVO is applying elements of the unapproved WMP (Version 4.0) to groundwater and surface-water assessment, rather than strictly implementing the approved Version 3.0 as required. This		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			constitutes an administrative non-compliance with the condition.		
S3 C28	**Final Void Management Plan** At least 5 years before the cessation of open cut coal extraction that will result in the creation of a final void, or as otherwise agreed with the Secretary, the Applicant must prepare a Final Void Management Plan for each void, in consultation with Resources Regulator and Water Group, and to the satisfaction of the Secretary. Each plan must: (a) assess locational, design and future use options; (b) be integrated with the Water Management Plan and the Rehabilitation Management Plan; (c) assess short term and long term groundwater and other impacts associated with each option; and (d) describe the measures to be would be implemented to avoid, minimise, manage and monitor potential adverse impacts of the final void over time. The Applicant must implement the approved management plan as approved from time to time by the Secretary.	Conceptual Final Void Management Plan, HVO, Version 1.2 21/11/2024. Resources Regulator Letter to HVO, Hunter Valley Operations Final Void Management Plan, Ref. MAAG0016293, 28/08/2023 Letter to HVO from DPHI, Subject: Extension Request for Preparation of Final Void Management Plan, 20/04/2023 Letter from HVO to DPHI, HVO North Detailed Final Void Management	HVO currently operates under the Conceptual Final Void Management Plan (CFVMP), Version 1.2, approved by the Department on 16 May 2022. The Department confirmed that the CFVMP met the relevant condition requirements but noted that a detailed Final Void Management Plan (FVMP) was required to be lodged by 30 June 2022. Multiple extensions to the FVMP submission date were requested to allow incorporation of updated landform design, groundwater modelling, slope stability assessment following Regulator feedback. While formal written approval was not issued for each extension, audit evidence confirms the Department was consistently informed of progress and acknowledged the revised timelines without objection. Correspondence dated 1 July 2025 acknowledged the proposed submission date of 31 October 2025 and noted no comments, which is considered acceptance of the revised timeframe. At the close of the audit period, preparation of the FVMP was ongoing, with submission proposed by 31 October 2025.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Plan Review – date extension, 30/12/2024 Letter from HVO to DPHI, Hunter Valley Operations Management Plan Review Following 2023 Annual Review Submission, 28/06/2024 Letter from HVO to DPHI, HVO North Detailed Final Void Management Plan Review – date extension, 30/12/2024 Letter from HVO to DPHI, HVO North Detailed Final Void Management Plan and HVO Rehabilitation Management Plan Update, 11/02/2025 PAE-59700461			

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		DPE Water (DPE Water – Major Projects Portal NSW Dept Planning. Record of consultation with DPE Water DPE Water (Friday 28 July 2023), 30/6/2025 Letter from HVO to DPHI, Hunter Valley Operations Management Plan Review Following 2024 Annual Review Submission & HVO North (DA 450-10-2003) Mod 8 Approval, 30/06/2025			
S3 C28A	**Fine Reject Management Strategy** The Applicant must prepare a life of mine fine reject management strategy to the satisfaction of the Secretary. The strategy must: (a) be prepared in consultation with Resources Regulator and Water Group, and submitted to the Secretary for approval by 30 June 2015; (b) describe potential locations and design options for the emplacement of fine reject on site;	HVO Fine Reject Management Strategy, Version 5.0, 16/04/2025 DHPI FRMS Approval Letter to HVO, 12/05/2025	Version 5.0 of the Fine Reject Management Strategy (FRMS) was most recently approved by the Department on 12 May 2025. Evidence of consultation with the NSW Resources Regulator and Water Group was sighted. The FRMS covers existing tailings storage facilities at Cumnock Void and Carrington In-Pit (CIP), as well as the proposed West Pit Tailings Storage Facility (TSF) for future tailings disposal. The FRMS adequately addressed the requirements of Condition 28A.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(c) assess any material short term and long term impacts on surface and groundwater resources associated with each option; (d) describe the measures that would be implemented to avoid, minimise, manage and monitor any adverse impacts of the fine reject emplacements over time; (e) describe how the fine reject emplacements would be rehabilitated and describe potential options for future land uses; and (f) be integrated with the Rehabilitation Management Plan and Agricultural Land Reinstatement Management Plan for the mine. The Applicant must implement the approved management strategy as approved from time to time by the Secretary.		General management of the TSFs onsite aligned with the management measures outlined in the FRMS. No inconsistencies with regards to implementation were identified.		
S3 C29	[3]Temporary Crossing of the Hunter River Prior to the commencement of any work within 40 metres of the Hunter River, a permit under Part 3A of the Rivers and Foreshores Improvement Act 1948 must be obtained from the Water Group. All works must be: (a) undertaken in accordance with the permit application, except as otherwise provided by conditions of the permit; (c) designed and constructed such that the works do not cause sedimentation, erosion or permanent diversion of the Hunter River; (d) constructed in accordance with section 10.8 (Temporary Crossing of the Hunter River), volume 1 of the EIS, dated October 2003; and titled “Hunter Valley Operations – West Pit Extension and Minor Modifications”; and (e) constructed in accordance with the Statement of Environmental Effects, prepared by Coal & Allied,	Discussion with E&C Department	This requirement is outside the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	dated August 2001, titled "Proposed relocation of a dragline and electric rope shovel - Ravensworth and Hunter Valley Operations." *Notes:* *(a) Should Crown land, as defined under the Crown Lands Act 1989, be included in the temporary crossing, there is a requirement to seek approval from the Department of Lands under the Crown Lands Act; and* *(b) Any works on Crown public roads require the Department of Lands' approval and must satisfy the statutory requirements of the Roads Act 1993.* [3] Incorporates Water Group GTAs				
Fauna and flora					
S3 C30	Rehabilitation/Regeneration Strategy The Applicant must not destroy or disturb more than 1 mature river red gum in the river red gum population associated with the Carrington billabong, and ensure that the mining highwall is located at least 150 metres from the standing water line of the billabong.	Discussions with E&C Department Aerial imagery	This condition was relevant to the mining of Carrington Pit which was not occurring during the audit period. HVO maintained a minimum separation distance of 155m between the Carrington Highwall and Carrington Billabong. HVO	Compliant	
S3 C31	By 30 June 2007, the Applicant must prepare a comprehensive Rehabilitation and Restoration Strategy for the Carrington billabong and river red gum population, in consultation with Water Group, and to the satisfaction of the Secretary. This strategy must be prepared by suitably qualified expert/s, and must include: (a) the rehabilitation and restoration objectives for the billabong and associated river red gum population; (b) a description of the short, medium and long term measures that would be implemented to rehabilitate and restore the billabong and associated river red	HVO (2025) River Red Gum Rehabilitation and Restoration Strategy, HVOOC-1797567310-4435, Ver 2.0, 18/08/2025 DPHI (2025) Letter approving the River Red Gum	The River Red Gum Rehabilitation and Restoration (RRGRR) Strategy (Version 2.0, dated 18/08/2025), prepared by Umwelt (Australia) Pty Ltd reflects engagement with DPE Water including their feedback, amendments, and subsequent approval. The Department approved the current version of the strategy on 26 August 2025. External consultant Umwelt were engaged to prepare the Strategy as the suitably qualified experts. The current version, RRGRR Strategy Version 2.0, represents an updated and strengthened revision of the 2017 strategy, incorporating over a decade of monitoring	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	gum population (including measures to address matters which affect the long term health and sustainability of the billabong and river red gums such as surface and ground water supply, and controlling weeds, livestock and feral animals); and (c) detailed assessment and completion criteria for the rehabilitation and restoration of the billabong and associated river red gum population. The Applicant must implement the approved management strategy as approved from time to time by the Secretary. *Note. The billabong, standing water line and river red gum population referred to are the billabong, standing water line and endangered population of river red gums located on land owned by the Applicant between the Hunter River and Levee 5, as shown in the figure "Carrington River Red Gums, Billabong and Associated Infrastructure" included in the Carrington Pit Extension Response to Submissions Report, dated May 2006.*	Rehabilitation and Restoration Strategy, dated 26/08/2025 HVO-Biannual RRG-Assessment 19/11/2024 Arbor Carbon, Investigation of the Carrington Billabong tree health decline, 2024, Q231626/1, 30/09/2024 031144 HVO *Phytophthora* Hygiene Protocol, Carrington Billabong, Eco Planning. Ecoplanning Cambium Group (2023) River Red Gum 2023 Monitoring Report, Version 1.0, dated 19/03/2024	findings (2007–2017) and addressing feedback from the regulators. It outlines clear rehabilitation and restoration objectives for the Carrington Billabong and associated river red gum population; sets out short, medium and long-term management measures; and establishes detailed assessment and completion criteria consistent with the condition requirements. ***Phytophthora inundata* infestation** During the audit period, HVO identified a *Phytophthora inundata* infestation within the Carrington Billabong, confirmed by Arbor Carbon in September 2024 following indicators of insect attack and declining tree health. *Phytophthora inundata* is known to be pathogenic to *Myrtaceae* species in wet/flooded landscapes. HVO has commenced appropriate management responses, including restricted access to affected areas, application of hygiene protocols, and preparation for securing the necessary APVMA off-label permit and scientific licences. While these actions demonstrate active implementation of mitigation measures, the RRGRR Strategy (Version 2.0) did not reference the *Phytophthora* infestation as a risk that requires mitigation. While the RRGRR Strategy (Version 2.0) does reference maintenance of genetic integrity, and the requirement to not mix species, it does not include reference to specific management measures applicable to pathogenic management. OFI-011: It is recommended that the RRGRR Strategy be updated to better detail pathogen management measures, ensuring the current risk and existing and future management controls are clearly captured. **Monitoring Summary**		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Ecoplanning HVO River Red Gum Monitoring Report, 19 March 2024, Ver 1. Ecological Surveys, 2023 Ecoplanning HVO River Red Gum Monitoring Report, 6 March 2025, Ver 1.1 Ecological Surveys, 2024 GIS Figure showing decline of River Red Gum trees due to *Phytophthora inundata,* 2023	Results from monitoring conducted during the audit period indicate the following: • Many trees remain healthy, but a substantial proportion show signs of decline. • Declines appear to be driven by multiple interacting stressors: hydrological variability, insect damage, and an emerging *Phytophthora inundata* infestation. • Recruitment remains poor, posing long-term viability concerns. • Flooding (2023) and subsequent soil moisture variability influenced canopy condition trends. • Ongoing monitoring and adaptive management, including weed control, hydrological assessment, pathogen hygiene measures, and potential replanting, are important to sustaining the population.		
S3 C31A	The Applicant must revegetate an area of at least 0.14 hectares using trees representative of the Swamp Oak Floodplain Forest community on land which adjoins existing riparian vegetation and is suitable for the establishment of this community.	Tube stock planting photographs taken by HVO, 12/08/25 Site Inspection	The area identified for meeting this condition is located at the Hunter Valley Load Point (HVLP), adjoining existing riparian vegetation and suitable for establishing Swamp Oak Floodplain Forest species. HVO has undertaken multiple efforts to comply with the requirement to revegetate at least 0.14 ha with species representative of the Swamp Oak Floodplain Forest community. HVO has undertaken three separate planting campaigns within this footprint. Earlier plantings were unsuccessful due to poor establishment, however, soil analyses confirmed that salinity and heavy-metal concentrations were not elevated, indicating that soil	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			chemistry was unlikely to have contributed to the unsuccessful growth. The most recent planting occurred in August 2025, with tubestock selected from appropriate Swamp Oak Floodplain Forest species. During the audit site inspection, the auditors inspected the tubestock planted two months earlier which showed a mixed condition, with some dieback present but a substantial proportion demonstrating healthy growth and new shoots. HVO had been manually irrigating the tubestock to encourage growth success. Weed and grass competition was evident, and HVO advised that brush-cutting was scheduled to reduce competition and improve establishment outcomes. HVO indicated that this represents their final replanting attempt, and if survival does not reach acceptable levels, they will consult with the Department regarding alternative compliance options. Based on planting evidence, soil testing, monitoring and the site inspection, HVO is actively implementing the revegetation required under Condition 31A, with plant survival remaining an ongoing focus.		
S3 C32	By 30 June 2007, the Applicant must prepare a conceptual Landscape and Rehabilitation Management Strategy, in consultation with affected agencies, to the satisfaction of the Secretary. The strategy must: (a) include objectives for landscape management and rehabilitation of the site and a justification for the proposed strategy; (b) present a conceptual plan for landscape management and rehabilitation of the site; (c) be integrated with the relevant rehabilitation requirements imposed on the mining lease(s)	DPHI (2022) HVO North CLMP combined with RM 15/11/2022 DPHI (2022) Combination of RMP and CLRMP, dated 2/12/2022	Prior to the audit period commencing HVO had in place an approved Conceptual Landuse and Rehabilitation Management Strategy which satisfied the requirements of this condition. HVO received approval from the Department on 2 December 2022 to combine the conceptual Landscape and Rehabilitation Management Strategy with the sites overarching Rehabilitation Management Plan (RMP). The RMP aligns both HVO North and South under a single rehabilitation framework.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	associated with the development under the Mining Act 1992; (d) describe the measures that would be implemented to achieve the objectives (including an indicative timetable for mine closure); (e) include proposals to offset the flora and fauna impacts of the development (including proposals resulting from condition 31 and 31A above), and an outline of how the strategy would integrate with existing and planned corridors of native vegetation in areas surrounding the development; and (f) outline how the proposed strategy would be integrated with the landscape management and rehabilitation of the other operations within Hunter Valley Operations (both north and south of the Hunter River) and other coal mines in the vicinity. The Applicant must implement the approved management strategy as approved from time to time by the Secretary.	Rehabilitation Management Plan, Ver 2.0, Approval Date Pending Topsoil_Plan_form, GDP 515, 4/2/2025 Integrated Biodiversity Management, Version 3.0, 19/08/2025	The RMP defines objectives for landform stability, drainage, ecosystem function, and final land use. The plan includes a detailed conceptual layout for progressive rehabilitation, integrates with mining lease obligations under the Mining Act 1992, and provides clear measures and indicative closure timeframes. In relation to offsets and the integration with regional vegetation corridors, the reader is directed to the HVO Integrated Biodiversity Management Plan. Overall, the plan provides a framework for landscape management and rehabilitation across the site. **Evidence of implementation of the strategy** A review of the implementation of the RMP was conducted and documented against Clause 10 of the Mining Regulation Checklist (Appendix A4)		
S3 C33	**Strategic Study Contribution** If, during the development, the Department or the CPHR commissions a strategic study into the regional vegetation corridor stretching from the Wollemi National Park to the Barrington Tops National Park, then the Applicant must contribute a reasonable amount, up to $10,000, towards the completion of this study.	Discussion with E&C Department	Not triggered during the audit period	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S3 C34	Operating Conditions The Applicant must salvage and reuse as much material as possible from the land that will be mined, such as soil, seeds, tree hollows, rocks and logs. Cleared vegetation must be reused or recycled to the greatest extent practicable. No burning of cleared vegetation must be permitted. Reuse options including removing millable logs, recovering fence posts, mulching and chipping unusable vegetation waste for on-site use are to be implemented.	GPD 515/514 topsoil plan Site Inspection	As part of the GDP process, a pre-clearance survey is conducted to identify salvageable materials such as soil, seeds, tree hollows, rocks, and logs. This survey ensures compliance with operating conditions and informs subsequent planning efforts. Topsoil plans are developed to assess the quality of the topsoil, identify habitat features, evaluate weed loads, and determine what materials should be salvaged and where the topsoil should be placed. The GPD 515/514 topsoil plan was reviewed, which included provisions for salvaging trees and two Tiger Orchids. During the site inspection, auditors observed habitat trees stored on-site for relocation and verified the presence of topsoil piles, demonstrating adherence to salvage and reuse requirements.	Compliant	
S3 C35	**Flora and Fauna Management** The Applicant must prepare procedures for the management of flora and fauna for the development. These procedures must: (a) provide details on: • delineating areas of disturbance; • protecting areas outside of the disturbance areas; • identifying when pre-clearance surveys are required for fauna; • determining the best time to clear vegetation to avoid nesting/breeding activities of threatened fauna; • capturing and releasing fauna; • relocating bat roosts; • salvaging habitat resources and collecting seed; • controlling weeds in regeneration/rehabilitation areas; and • controlling access to the regeneration/rehabilitation areas;	Rehabilitation Management Plan, Ver 2.0, Approval Date Pending Integrated Biodiversity Management, Version 3.0, 19/08/2025	This condition is satisfied through the preparation and implementation of the HVO Integrated Biodiversity Management Plan (IBMP) and the Rehabilitation Management Plan (RMP), Version 2.0. The IBMP was initially approved by the Department prior to the commencement of the audit period. The most recent version of the IBMP (Version 3.0) was approved by the Department on 26 August 2025. Both documents form part of HVO's integrated rehabilitation and biodiversity framework and collectively address flora, fauna, habitat, and rehabilitation management requirements across HVO North. The RMP and IBMP together address all elements of S3 C35. They include procedures for defining and protecting disturbance limits, fauna pre-clearance and clearing protocols, habitat salvage, seed collection, weed management, access controls, revegetation of regeneration areas, rehabilitation for both grazing and	Compliant	

<table>
<tr><th>Condition of Consent</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td>(b) describe how the land in regeneration areas would be revegetated;
(c) describe how the mined areas would be rehabilitated for grazing and biodiversity values;
(d) identify actions to minimise the potential impacts of the development on threatened fauna;
(e) describe how the performance of the revegetation/rehabilitation strategies would be monitored over time including, as a minimum, the parameters in Table 18; and
(f) identify who is responsible for monitoring, reviewing, and implementing the procedures.

The Applicant must submit a copy of these procedures to the Secretary for approval within 6 months of the date of this consent.

The Applicant must implement the approved management procedures as approved from time to time by the Secretary.

Table 16: Parameters and Units of Measure for Fauna and Flora Monitoring
<table><tr><th>Parameter</th><th>Units of measure</th></tr><tr><td>Density of vegetation</td><td>Plants/m²</td></tr><tr><td></td><td>Understorey</td></tr><tr><td></td><td>Ground cover</td></tr><tr><td>Diversity of flora</td><td>Species/m²</td></tr><tr><td>Age/maturity of flora</td><td>Vegetation height/diameter/form</td></tr><tr><td>Vegetation health</td><td>-</td></tr><tr><td>Disturbance</td><td>Weeds/m²</td></tr><tr><td></td><td>Erosion</td></tr><tr><td></td><td>Feral animals</td></tr><tr><td></td><td>Stock</td></tr><tr><td>Density of fauna</td><td>Fauna (Avian/Mammals/Reptiles-Amphibians)/m²</td></tr><tr><td>Diversity of fauna</td><td>Species/m²</td></tr><tr><td>Density of fauna habitat</td><td>Hollow-bearing trees/nesting sites/ logs/dams, etc.
Habitat Complexity Score</td></tr><tr><td>Ecosystem Function</td><td>Landscape Function Analysis</td></tr></table>
Note: The requirements of condition 35 may be satisfied within the Rehabilitation Management Plan required under Condition 62C of Schedule 4.</td><td></td><td>biodiversity values, and actions to minimise impacts on threatened fauna. Roles and responsibilities are clearly defined, and a comprehensive monitoring framework is in place consistent with Table 18.

Minor formatting errors were identified in the RMP, including incorrect section references in Tables 1-1 and 1-2 and a broken cross-reference in Table 1-1 relating to resource salvage.

The implementation of the RMP was reviewed against Schedule 4, Condition 62C.

IBMP implementation Review

The IBMP is being actively implemented across HVO North, supported by:

• annual ecological monitoring, assessing floristic diversity, cover, regeneration and habitat condition;

• ongoing weed, pest and access control across remnant vegetation zones;

• River Red Gum monitoring and targeted management; and

• rehabilitation monitoring and maintenance consistent with the RMP.

A recommendation to improve the IBMP was made against S3 C33A of PA06_0261. Refer REC-003</td><td></td><td></td></tr>
</table>

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S3 C36	Annual Review The Applicant must: (a) review the performance of the flora & fauna management procedures annually, and, if necessary, (b) revise these documents to take into account any recommendations from the annual review.	Rehabilitation Management Plan, Ver 2.0, Approval Date Pending Integrated Biodiversity Management, Version 3.0, 19/08/2025 Annual Reviews 2022, 2023, 2024	The IBMP and the RMP are reviewed and if necessary revised as required by Schedule 5, Condition 4 of this DA, and Schedule 5 Condition 4A PA 06_0261. HVO review the performance of the IBMP and RMP as part of the Annual Review reporting process. The results from this review are documented in Section 8.0 of the Annual Review Rehabilitation and Land Management'.	Compliant	
Aboriginal cultural heritage					
	Note: The Applicant is required to obtain consent from Heritage NSW under the National Parks and Wildlife Act 1974 to destroy Aboriginal sites and objects on the site. Heritage NSW has issued General Terms of Approval for the sites listed in condition 37.		Noted	Noted	
S3 C37	West Pit Extension - Consents to Destroy The Applicant must obtain consent from Heritage NSW to destroy the following sites: • WPE 1 • WPE 2 • WPE 3 • WPE 4 • WPE 5 • WPE 6 • WPE 7 • WPE 8 • WPE 9 • WPE 10 • WPE 11	HVO North Heritage Management Plan (2025)	This was conducted outside of the audit period. MOD 3 condition applied in March 2013	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	• 37-2-1964 • 37-2-1965 • 37-2-1966 • 37-2-1967 • 37-2-0038 • 37-2-0144 • 37-2-0894 • 37-2-0896 • 37-2-0805				
S3 C38	West Pit Extension – Salvage Before making application for section 90 consents under NP&W Act, the Applicant must prepare a salvage program for the sites listed in condition 37 in consultation with Heritage NSW and Aboriginal communities, and to the satisfaction of Heritage NSW.	Discussion with E&C Department	No Section 90 consents under the NP&W Act were required during the audit period.	Not Triggered	
S3 C39	The Applicant must obtain consent under the National Parks and Wildlife Act 1974 to destroy the following sites:	Discussion with E&C Department	The sites identified under this condition were destroyed in association with Modification 3, with the condition applied in March 2013. All relevant consents to destroy were obtained under the NPW Act prior to the current audit period. No site disturbance requiring consent occurred during the 2022–2025 audit period.	Not Triggered	
	• 37-2-0145 • 37-2-0147 • 37-2-0148 • 37-2-0523 • 37-2-0524 • 37-2-0525 • 37-2-0526 • 37-2-0527 • 37-2-0528 • 37-2-0562 • 37-2-0777 • 37-2-0778 • 37-2-0779 • 37-2-1867 • 37-2-1868 • 37-2-1869 • 37-2-1870 • 37-2-1871 • 37-2-1872 • IF1 • 37-2-2085 (C10) • 37-2-1962 (CM45) • 37-2-1963 (CM46) • 37-2-1504 (CM1) • 37-2-1505 (CM2) • 37-2-1522 (CM19)				

Condition of Consent	Requirement		Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	• 37-2-0780 • 37-2-0781 • 37-2-0782 • 37-2-0783 • 37-2-0784 • 37-2-0785 • 37-2-0786 • 37-2-2078 (C1) • 37-2-2079 (C2) • 37-2-2080 (C3) • 37-5-0494 (C4) • 37-2-2083 (C8) • 37-2-2084 (C9) • 37-2-0787 • 37-2-0788 • 37-2-0789 • 37-2-0790 • 37-2-0791 • 37-2-0792 • 37-2-0793 • 37-2-0794 • 37-2-0795 • 37-2-0796 • 37-2-0895 • 37-2-1865 • 37-2-1866	• TD • TG • 37-2-1504 • 37-2-1522 • 37-2-1535 • 37-2-1864 • 37-2-1874 • 37-2-1875 • 37-2-1876 • 37-2-1962 • 37-2-1963 • 37-5-0061 • 37-2-1861 • 37-2-1862 • 37-2-1873 • 37-2-1860 • 37-5-0131 • 37-3-0286 • 37-5-0061 • 37-1-0399 • 37-2-1535 (CM32) • 37-2-2754 • 37-2-2755 • 37-2-2756 • 37-2-2757				
S3 C40	Aboriginal Heritage Site 37-2-1877 (CM-CD1) Mining operations and associated activities in the Carrington West Wing area are not permitted to be carried out within 20 metres of Aboriginal heritage site 37-2-1877 (CM-CD1) and the Older Stratum as shown on the plan in Appendix 5. *Note: for clarification purposes, Condition 40 of Schedule 4 does not prohibit heritage surveys and studies to be undertaken within CM-CD1 or within 20 metres of CM-CD1 and the Older Stratum.*		GIS Figure, presented on screen by E&C Department Site Inspection HVO North Heritage	This condition was applied under Modification 3 in March 2013. Aboriginal heritage site 37-2-1877 (CM-CD1) is located immediately west of the Carrington Pit. GIS mapping presented by the E&C Department confirmed that no mining or associated activities have occurred within the mandated 20-metre exclusion zone around the site.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Management Plan (2025)	A site inspection conducted en-route to the Carrington Billabong verified that fencing and exclusion measures are in place around the site. Schedule 6.14 of the HVO North Heritage Management Plan references Condition S3 C40, and HVO maintains a disturbance exclusion buffer around site 37-2-1877 (CM-CD1).		
S3 C40A	The Applicant must ensure that mining operations (including blasting) and associated activities do not cause any impact to Aboriginal heritage site 37-2-1877 (CM-CD1) and the Older Stratum.	HVO North Heritage Management Plan (2025)	This condition was introduced under Modification 3 in March 2013. HVO conducts annual inspections of Aboriginal heritage sites, supported by photographic evidence to confirm ongoing condition and protection of site CM-CD1. GIS mapping confirmed that no mining activities have encroached upon the exclusion zone surrounding the site, and the site inspection verified that fencing and exclusion controls are in place and being maintained, with no evidence of disturbance or impact observed during the audit period.		
S3 C41	Heritage Management Plan The Applicant must prepare a Heritage Management Plan for the development to the satisfaction of the Secretary. This plan must: (a) be prepared by suitably qualified and experienced persons whose appointment has been endorsed by the Secretary; (b) be prepared in consultation with Heritage NSW and the Aboriginal stakeholders (in relation to the management of Aboriginal heritage values); (c) be submitted to the Secretary for approval by the end of June 2013, unless the Secretary agrees otherwise; (d) include the following for the management of Aboriginal Heritage:	HVO North Heritage Management Plan, Version 7.0, 02/10/2024 HVO_GDP_Template_GDA2020 - ArcMap AHIPs, WMPE 20204, 5219, Mitchell Pit South AHIP_2025, 2193 Mitchell	HVO North operates under the HVO North Heritage Management Plan, dated 02/10/2024, with Version 8.0 currently in draft. The plan was reviewed and updated once during the audit period and formally approved by DPHI on 21/10/2024. Management of Aboriginal heritage is undertaken separately for HVO North and HVO South. Annual inspections of heritage sites are conducted, and photographic evidence is maintained. Arrow Heritage Solutions is the appointed heritage specialist and manages all Aboriginal Heritage Impact Permits (AHIPs) while participating in consultation during HMP updates. ArcGIS mapping was sighted showing all current Aboriginal heritage sites and any sites that have been salvaged or destroyed.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	• a detailed plan of management for Aboriginal heritage site 37-2-1877 (CM-CD1) including a description of the measures that would be implemented to protect, monitor and manage the site from mining operations and associated activities; • a description of the measures that would be implemented for: - managing heritage items on the site, including any proposed archaeological investigations and/or salvage measures; - managing the discovery of any human remains or previously unidentified Aboriginal objects on site; - maintaining and managing reasonable access for Aboriginal stakeholders to heritage items on site; The Applicant must prepare a Heritage Management Plan for the development to the satisfaction of the Secretary. This plan must: (a) be prepared by suitably qualified and experienced persons whose appointment has been endorsed by the Secretary; (b) be prepared in consultation with Heritage NSW and the Aboriginal stakeholders (in relation to the management of Aboriginal heritage values); (c) be submitted to the Secretary for approval by the end of June 2013, unless the Secretary agrees otherwise; (d) include the following for the management of Aboriginal Heritage: • a detailed plan of management for Aboriginal heritage site 37-2-1877 (CM-CD1) including a description of the measures that would be implemented to protect, monitor and manage the site from mining operations and associated activities; • a description of the measures that would be implemented for:	Put AHIP_2024, HVO South Bridge Savage Arrow Heritage Solutions, Mitchell Pit South Aboriginal Cultural Heritage Site Salvage Program, AHIP 5350, March 2025 DCCEEW, Doc234/16909, Hunter Valley Operations North – Wilton/Mitchell Put Extension AHIP 5219, 6/02/2024 GDP 517, Proposed New Fence Carrington Stud, 07/06/2024 Email, internal HVO FW:GDP 517 (Information to be placed into permit, and controls).	Evidence was sighted of three AHIPs prepared for HVO North during the audit period: AHIP 2193 for Mitchell Pit (2024), AHIP 5219 for WMPE (Wilton and Mitchell Pit East) (2024), and AHIP 5350 for Mitchell Pit South (2025). All AHIPs involved salvage works, with program reports prepared by Arrow Heritage Solutions and approval letters from DCCEEW sighted by auditors. Current and completed Aboriginal heritage GDPs are maintained on the GDP portal. A cultural heritage storage facility is located onsite at 1011 Lemington Road, Ravensworth, which serves as the repository for all salvaged cultural heritage items from HVO South. All HVO staff complete Cultural Heritage Awareness Training as part of their induction. There are inconsistencies in the effective and review dates, and version numbers within the HVO North Heritage Management Plan. The cover page identifies an effective date of 2/10/2024 with a review date of 28/06/2025, while the body of the document lists an effective date of 16/04/2025 and a review date of 16/04/2028. The version references also differ, between Version 7.0 on the cover page, and Version 2.0 in the footer of the document. OFI-015: It is recommended that HVO consider consolidating the North and South Cultural Heritage Management Plans into a single Cultural Heritage Management Plan to streamline management processes and ensure consistency across operations.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	- managing heritage items on the site, including any proposed archaeological investigations and/or salvage measures; - managing the discovery of any human remains or previously unidentified Aboriginal objects on site; - maintaining and managing reasonable access for Aboriginal stakeholders to heritage items on site; The Applicant must implement the approved management plan as approved from time to time by the Secretary.	OEH, Care Agreement, C0004768, 26/04/2019. Arrow Heritage Solutions: Hunter Valley Operations Aboriginal Heritage Management Plan November 2023 Compliance Audit Inspection 19/01/2024 Email to HVO, Re: ACH Sites 37-2-6621 include attachment of Potential artefact Site Notification.			
S3 C41A	Prior to disturbance by mining, the Applicant must ensure that the scarred tree 37-2-2080 (C3) is removed and relocated to a site where it will be protected from future development, in consultation with the Wonnarua Tribal Council, and to the satisfaction of the Secretary. *Note: In conditions 37 – 41A, all seven-figure numbers refer to Aboriginal site listings in Heritage NSW's Aboriginal Heritage Information Management System (AHIMS). All other numbers are site numbers used by the Applicant in on-site Aboriginal heritage*	HVO North Heritage Management Plan, Version 7.0, 02/10/2024 Site Inspection	Scarred tree 37-2-2080 (C3) was sighted to be located at the front of the HVO North Administration Building. Section 5.13 of the HVO North HMP states that *Scarred tree 37-2-2080 (C3) was removed (salvaged) in August 2007 under an AHIP consent (#2547) and relocated for storage at the HVO Cultural Heritage Storage Facility, HVS, under the terms of Care and Control Plan #2863.*	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	studies. Site numbers beginning with C or CM are associated with the Carrington Pit, as shown in Fig 5.1 of Annex G of the Carrington Pit Extended Statement of Environmental Effects.		This is not accurate as the tree has been placed out the front of the HVO North Admin building (south of the building). OFI-016: Update Section 5.13 of the HVO North HMP to include the correct location of the *Scarred tree 37-2-2080 (C3).*		
S3 C42	Trust Fund Contribution Before carrying out the development, or as agreed otherwise by the Secretary, the Applicant must contribute $20,000 to the Hunter Aboriginal Cultural Heritage Trust Fund for further investigations into Aboriginal cultural heritage, as defined by the Trust Deed.	Discussion E&C Department	The requirement under Condition S3 C42 to contribute $20,000 to the Hunter Aboriginal Cultural Heritage Trust Fund was completed prior to the commencement of the development and outside the current audit period. No further action was required during the audit period.	Not Triggered	
Traffic and Transport					
	New Access Intersection to Hunter Valley Loading Point *Note: The Applicant requires Council approval under the Roads Act 1993 for the new road entry from Liddell Station Road to the Hunter Valley Loading Point.*				
S3 C43	[4]The Applicant must design, construct and maintain for the duration of this consent, the proposed new access intersection from Liddell Station Road to the Hunter Valley Loading Point to the satisfaction of the Council. [4] Incorporates Council GTA	ERM, HVO Conditions of Approval Independent Environmental Audit, 15/12/2016, Revision RP01	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	
	Road Closure *Note: The Applicant requires MSC approval under the Roads Act 1993 prior to closing a section of Pikes Gully Road.*				
S3 C44	Within 12 months of the date of this consent, unless otherwise agreed by the Secretary, the Applicant is to complete the relevant requirements to enable the section of Pikes Gully Road situated in the	ERM, HVO Conditions of Approval Independent Environmental	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Muswellbrook local government area to be closed as a public road.	Audit, 15/12/2016, Revision RP01			
S3 C45	The Applicant must not blast within 500 metres of a public road while the road is open to the public. Any road closures with respect of blasting must be subject to a plan of management approved by Council.	Pre-blast assessment, dated 14/10/2025 HVO Public Website Blast hotline Site Inspection Blast Management Plan	HVO maintains a minimum 500 m exclusion zone from public roads for all blasting activities. Where blasting occurs within 500 m of Lemington or Comleroi Road, temporary road closures are implemented under a Council-approved Road Closure Plan. The auditors reviewed pre-blast assessments, blast and fume risk assessments, and road-closure information for blasts during the audit period, including a blast on 14 October 2025 and the blast observed during the site inspection. These documents confirmed that required road closures were identified during pre-planning and implemented in accordance with the approved plan of management. Evidence of road closure signage, notifications via the HVO website, and the blast hotline was also sighted. No blasting occurred within 500 m of a public road while the road remained open.	Compliant	
S3 C46	Lemington Road The Applicant must reimburse Council for any road upgrading works undertaken on Lemington Road, to a maximum amount of $30,000.	ERM, HVO Conditions of Approval Independent Environmental Audit, 15/12/2016, Revision RP01	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	
S3 C47	The Applicant must alter or cease mining operations if driver visibility or traffic safety on Lemington Road	Discussion with E&C Manager	HVO's blast planning and operational procedures include assessment of potential dust impacts on Lemington Road to ensure driver visibility and traffic safety are not	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	is adversely affected by dust, in accordance with the requirements of Council.	Blast Management Plan	compromised. Pre-blast checklists require review of weather conditions, predicted dust dispersion and any need for additional controls, with outcomes communicated to the Environment Team where necessary. Post-blast checklists are completed after each event to identify any dust or fume impacts that could affect visibility on Lemington Road and trigger operational cessation or temporary road closure in accordance with Council requirements. During the audit period, no blasts generated dust levels that adversely affected visibility or required mining operations to cease outside of the routine road closures associated with blasts within 500 m of the road.		
S3 C48	The Applicant must be responsible for the full cost of the maintenance of the Lemington Road deviation undertaken for the Carrington Pit until March 2011, in accordance with the standards and requirements of Council.	ERM, HVO Conditions of Approval Independent Environmental Audit, 15/12/2016, Revision RP01	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	
S3 C49	Intersection of Lemington Road and the Golden Highway. Within 2 years of the date of this consent, the Applicant must upgrade the intersection of the Golden Highway (SH 27) and Lemington Road to a type “BAR” intersection with a sealed shoulder to the satisfaction of the RMS.	ERM, HVO Conditions of Approval Independent Environmental Audit, 15/12/2016, Revision RP01	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	
S3 C49A	Road Safety Audit (a) By 31 December 2006, the Applicant must prepare and submit a road safety audit to TfNSW	ERM, HVO Conditions of Approval Independent	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	and Council for all public roads used by mine employees and service vehicles in the vicinity of the development, including an audit of the existing intersections of all mine access roads with public roads; (b) any improvement to meet accepted road safety standards required by the relevant road manager (ie TfNSW or Council) for public roads as a result of impacts related to the development as identified by the audit must be undertaken at the Applicant's cost and to the satisfaction of the road manager; (c) any dispute between the Applicant and the relevant road manager in relation to the audit findings and the requirements of the road manager for improvements of public roads is to be determined by the Secretary; and (d) any maintenance of line marking and sign posting required by the relevant road manager at existing intersections of mine access roads with public roads must be undertaken at the Applicant's cost and to the satisfaction of the road manager.	Environmental Audit, 15/12/2016, Revision RP01			
S3 C50	Coal Haulage [5]The Applicant must ensure that spillage of coal from coal haulage vehicles is minimised and that sediment-laden runoff from roads is effectively managed, to the satisfaction of the Secretary. Measures that must be implemented include: (a) covering all loads where loaded coal trucks leave the site and enter public roads; (b) ensuring the gunwhales of all loaded trucks are clean of coal; (c) providing effective wheel wash facilities at all coal load and unload facilities prior to vehicles entering public roads; and	Site Inspection Site Inspection Air Quality and Greenhouse Gas Management Plan, Version 3.5, 22/05/2025	HVO ensures that spillage of coal from coal haulage vehicles is minimised at the site. During the site inspection, haul trucks observed in the HVO North West Pit were noted to have automatic covers in place immediately after loading, which remained in place while travelling on the internal private haul roads, and had secured tailgates. The site inspection also confirmed that HVO implements the controls outlined in the Air Quality and Greenhouse Gas Management Plan (AQGGMP), including the use of water carts, road maintenance and low-height loading. Site Inspection did not observe coal on public roads used.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(d) sweeping, at regular intervals and at the completion of campaign hauls, public roads used for the transportation of coal. [5] This may include the use of sediment dams or the incorporation of runoff into the mine water management system.				
S3 C51	The Applicant must enter into an agreement with Council for the maintenance of the sections of Pikes Gully Road and Liddell Station Road whilst used by the Applicant for the haulage of coal, and during the period the roads are owned by Council.	ERM, HVO Conditions of Approval Independent Environmental Audit, 15/12/2016, Revision RP01	This Condition was completed before the audit period and verified in previous IEA reports.	Not Triggered	
S3 C52	Monitoring The Applicant must maintain and include in each Annual Review records of the: (a) amount of coal transported from the site each year; (b) amount of coal received from Hunter Valley Operations south of the Hunter River; (c) amount of coal hauled by road to the Hunter Valley Loading Point; (d) amount of coal hauled by road to the Newdell Loading Point; (e) amount of coal hauled by road from the Newdell Loading Point to the Ravensworth coal Terminal; (f) amount of coal hauled by road from the Hunter Valley Loading Point to the Ravensworth Coal Terminal; and (g) number of coal haulage truck movements generated by the development.	Annual Reviews 2022, 2023, 2024 Discussion with E&C Department Site Inspection	The 2022, 2023 and 2024 Annual Reviews (Table 4-3: Methods of Coal Transportation) report all seven required metrics each year, including total coal transported off site, coal received from HVO South, road-haul quantities to loading points, any Ravensworth-related haulage (all nil except NLP in 2022 and 2024), and total truck movements.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
Visual impact					
S3 C53	Visual Amenity The Applicant must implement measures to mitigate visual impacts including: (a) design and construction of development infrastructure in a manner that minimises visual contrasts; and (b) progressive rehabilitation of mine waste rock emplacements (particularly outer batters), including partial rehabilitation of temporarily inactive areas.	Site Inspection Rehabilitation Management Plan (RMP), Version 2.0, no date.	Site inspection confirmed that infrastructure is designed and positioned to minimise visual contrast, including maintaining the natural ridgeline between Jerrys Plains and HVO North as a visual barrier. Additional screening is provided through vegetation plantings and sections of shade-cloth fencing along Lemington Road, reducing the visibility of active mining areas. Progressive rehabilitation is being actively implemented across both HVO North and South, contributing to reduced visual prominence of waste rock emplacements and disturbed landforms. Recent works observed during the audit included reshaping and topsoiling of batters, seeding programs, temporary stabilisation (aerial seeding, surface roughening) and maintenance activities such as erosion repairs and weed management. Rehabilitation of temporarily inactive areas, such as stabilised dump surfaces and seeded interim landforms, further reduces visual impacts until final rehabilitation can occur. These measures collectively demonstrate that HVO is minimising visual contrast through infrastructure design and ongoing rehabilitation consistent with the intent of the condition.	Compliant	
S3 C54	The Applicant must plant trees to provide an effective visual screen from Lemington Road in the vicinity of the Belt Line Road and adjacent to the Mitchell pit area. The plan for this tree planting is to: (a) provide for tree planting within 2 years of the date of this consent; (b) achieve an 80% survival rate by the 5th year; (c) be submitted to Resources Regulator and the Secretary for review and approval; and	RPS, 2022 Independent Environmental Audit, Hunter Valley Operations, Version 1, 30 June 2023.	The 2022 audit report included correspondence relating to the HVO North Mitchell Pit Visual Bund Assessment. That correspondence confirmed that HVO had met the obligations of this condition, and that no further visual screening was required. As such the requirements of this Condition C54 are not triggered.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(d) provide an assessment of whether visual bunds are required to supplement the vegetative visual screen.				
S3 C55	Lighting Emissions The Applicant must take all practicable measures to mitigate off-site lighting impacts from the development.	Complaints Register (2023–2025) Site Inspection	HVO has implemented a range of practicable measures to minimise off-site lighting impacts, including the use of directional lighting, shielding and baffling on lighting plants, careful placement and orientation of lighting towers, and switching off non-essential lighting where possible. Two lighting complaints were received in 2023, both from a Long Point resident: • 1 February 2023 (12:06 am): Light shining directly into a residence. The OCE contacted the resident within 21 minutes and immediately shut down the lighting plant, resolving the issue. An internal investigation confirmed the light was likely visible from the residence and procedural changes were implemented to close the identified gap. • 10 July 2023: A second glare-related complaint was also promptly resolved by adjusting and then shutting down the lighting plant, followed by reinforcement of operational lighting protocols. No lighting complaints were recorded in 2024 or 2025 to date. The audit site inspection was conducted during daylight hours only, and therefore direct observation of lighting performance, light spill, or glare conditions at night was not possible. However, the complaint response processes, procedural improvements, and absence of ongoing lighting concerns provide reasonable assurance that HVO is	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			implementing all practicable measures to mitigate off-site lighting impacts.		
S3 C56	All external lighting associated with the development must comply with Australian Standard AS4282 (INT) 1995 – Control of Obtrusive Effects of Outdoor Lighting.	Complaints Register (2023–2025) Site Inspection Hansen Bailey IEA (2020) RPS IEA (2023) Discussion with E&C Department	Compliance with AS 4282 has been supported through periodic lighting reviews: • The 2018 EMM Lighting Review confirmed compliance with AS 4282 and identified no required improvements. • The 2022 Lighting Review (referenced in the previous IEA) again confirmed compliance, with no changes made to lighting infrastructure during that period. No lighting system modifications occurred during the current audit period that would alter the outcomes of these assessments. While the 2025 site inspection occurred during daylight hours, preventing direct verification of lighting performance at night, no evidence was identified, through complaints (other than the two isolated events promptly resolved), investigations or operational reporting that indicates non-compliance with AS 4282. Based on the historical technical reviews, stability of lighting infrastructure, and effective management of complaints, the site remains consistent with AS 4282 requirements.	Compliant	
Waste Minimisation					
S3 C57	The Applicant must minimise the amount of waste generated by the development to the satisfaction of the Secretary.	HVO Non-Mineral Waste Management Plan, Version 4.0 18/11/2022 (review due 18/11/2025)	Waste is managed in accordance with the Waste Management System and the Non-Mineral Waste Management Plan, with waste-minimisation measures detailed in Section 3.2. HVO operates to an 80% recycling target.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		JR Richards 2508 Glencore – Waste Management Report, August 2025. Sample of EPA Waste Tracking Requirement Reports (Renewable Waste Oil), 28 July 2025, 30 June 2025 HVO Monthly Environmental Inspection Form, Version 4.5 - Sample. South Lemington 3/04/2024	Cleanaway was the licensed waste contractor until March 2025, after which J.R. Richards was engaged. Waste generation and collection data are monitored through: • EPA Waste Tracking Reports; and • Monthly Total Waste Management Reports provided by the contractor (formerly Cleanaway and now J.R. Richards), which outline collected waste volumes and identify licensed disposal facilities, ensuring traceability and compliance with EPA waste-tracking requirements. Waste performance is reported annually in the HVO Annual Reviews, which are approved by the Secretary. Auditors sighted the August Waste Management Report (2508 Glencore HVO Waste Management Report), confirming year-to-date data from March 2025 onwards. The Waste Management Plan requires monthly inspections of waste management across the site. These inspections are carried out collectively by several departments. Monthly environmental inspections also include checks of waste and hydrocarbon storage areas, depending on the location being assessed. From Annual Reviews, between 2022–2024, HVO minimised waste generation by: • Maintaining very high recycling rates (89-93%), ensuring only a small proportion of waste required disposal. • Recycling large volumes of hydrocarbons, with waste oil consistently recovered and refined into base oils, and waste grease sent to licensed recyclers. • Diverting scrap steel and other recyclable streams away from landfill.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
Hazardous Management					
S3 C58	Spontaneous Combustion The Applicant must: (a) take the necessary measures to prevent, as far as is practical, spontaneous combustion on the site; and (b) manage any spontaneous combustion on-site to the satisfaction of Resources Regulator.	Spontaneous Combustion Principal Hazard Management Plan (HVOOC-1797567310-2366), Version 5.0, 10/08/2022 Spontaneous Combustion Notification checklist and event form, Version 1.0, 09/03/2023	HVO operate under the Spontaneous Combustion Principal Hazard Management Plan (2022). Auditors sighted this plan during the assessment and noted it is scheduled for review on 10/08/2025. HVO advised that only minor risks of spontaneous combustion have been identified on site and that no hotspots are currently present. Spontaneous combustion is managed through ongoing monitoring and implementation of site procedures. In relation to reporting, the site demonstrated awareness of its obligations to notify the Resources Regulator should spontaneous combustion thresholds be exceeded. No thresholds have been triggered at HVO during the audit period. OFI-017: HVO to review the Spontaneous Combustion Principal Hazard Management Plan.	Compliant	
S3 C59	Dangerous Goods The Applicant must ensure that the storage, handling, and transport of: (a) dangerous goods is done in accordance with the relevant Australian Standards, particularly AS1940 and AS1596, and the Dangerous Goods Code; and (b) explosives are managed in accordance with the requirements of Resources Regulator.	HVO, Dangerous Goods Management Procedure Explosives and Security Sensitive dangerous substances (SSDS) Security, Version 8.0, 29/05/2025	HVO maintain a Dangerous Goods Management Procedure which is managed by the Safety Department at HVO. There is also an Explosives and Security Sensitive Dangerous Security (SSDS) Procedure managed by the Drill & Blast Superintendent. This satisfies the requirements of the *Explosives Act 2003.* HVO maintain adequate licences to store explosives with SafeWork NSW. The Ammonium Nitrate Emulsion (ANE) Facility in the South managed by Orica Australia (AOCI).	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Explosive Principal Control Document Version 5.0 7/7/2025 GCAA, 11.07 Hydrocarbon Management Protocol, Version 5.0, 02/12/2024 SLR, Flammable & Combustible Liquids Audit AS 1940-2017 Audit, Version 0.1, 5/12/2018 HVO, Hydrocarbon Management Plan. Version 1.0 16/04/2025 Explosives Storage and Stock Control Procedure (HVOOC-1797567310-3256), dated 29/05/2025	There is an internal system for reviewing Fuel farm storage, and the Continuation project is expected to trigger upgrades in the future. **Dangerous Goods Management** HVO engaged SLR to undertake an AS 1940–2017 audit in 2018. The auditors reviewed the SLR audit report, which identified several deficiencies associated with the bulk fuel farm bunding system. Evidence was sighted in CMO confirming that all findings from the 2018 audit had been addressed and closed out. HVO advised that site conditions have not materially changed since that time and that a further flammable and combustible liquids audit is being planned. It is noted that this Independent Environmental Audit did not include qualified dangerous goods or explosives specialists. Accordingly, the assessment under this condition is based on documentation, historical audit reports and information provided by HVO. The conclusions reached do not constitute an independent technical certification of compliance with all detailed requirements of the relevant Australian Standards, the Australian Dangerous Goods Code, or the NSW Resources Regulator's explosives management requirements. Based on the evidence reviewed, HVO has established and implemented appropriate systems, procedures and controls for the management of dangerous goods and explosives.		
S3 C60	Bushfire Management The Applicant must :	Bushfire Management	No bushfire events occurred during the audit period. The Bushfire Management Plan (Version 5.0) was consulted with Council (Appendix E) and the Rural Fire Service	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(a) ensure that the development is suitably equipped to respond to any fires on-site; and (b) assist the Rural Fire Service and emergency services as much as possible if there is a fire on-site during the development.	Plan, Version 5.0, 19/07/2023. RFS (2022) email titled HVO Bushfire Management plan, dated 31/10/2022 Singleton Council, Planning HVO – Response re Bushfire Management Plan Review, dated 9/3/2023 HVO Non Mine Bushfire Prep Works, 2025 (Spreadsheet) Non-Mine Fuel Load Assessment (done annually) Tab, Firebreak Maintenance Tab and Firebreak Maps.	(Appendix F), and an updated Version 6.0 has been submitted to the RFS and HVO, with formal endorsement pending. A comprehensive Bushfire Management Plan is in place covering both HVO North and South operations. The E&C Team conducts an annual bushfire load assessment during winter, and the spreadsheet sighted shows risk categories and assessment results. Fire danger ratings are communicated to the entire site each morning. E&C inspections confirm that fire trails are regularly inspected and maintained by the vegetation maintenance contractor.		
S3 C61	The Applicant must ensure that the Bushfire Management Plan for the site, is to the satisfaction of Council and the Rural Fire Service.	Bushfire Management Plan, Version 5.0, 19/07/2023.	HVO operate under the Bushfire Management Plan (2023), which applies to both HVO North and HVO South. The Bushfire Management Plan was prepared in consultation with Council (Appendix E) and the Rural Fire Service (Appendix F). An updated Version 6.0 has been	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		RFS (2022) email titled HVO Bushfire Management plan, dated 31/10/2022 Singleton Council, Planning HVO – Response re Bushfire Management Plan Review, dated 9/3/2023 HVO Non Mine Bushfire Prep Works, 2025 (Spreadsheet) Non-Mine Fuel Load Assessment Tab, Firebreak Maintenance Tab and Firebreak Maps.	submitted to the RFS and HVO, with formal endorsement pending. The E&C Department conducts an annual bushfire fuel load assessment during winter, and the spreadsheet sighted documented the assessed risk categories and results. Fire danger ratings are communicated to all personnel each morning. E&C inspections also confirmed that fire trails are routinely inspected and maintained by the vegetation maintenance contractor. Fire-fighting equipment was also sighted during the Site Inspection, confirming that suitable equipment is maintained on site.		
Rehabilitation					
S3 C62	Rehabilitation Objectives The Applicant must rehabilitate the site in accordance with the conditions imposed on the mining lease(s) associated with the development under the Mining Act 1992. This rehabilitation must be generally consistent with the proposed rehabilitation activities described in the documents listed in Condition 2 of	Discussion with E&C Department Rehabilitation Management Plan (RMP),	The condition was amended in April 2025 following approval of Modification 8 to permit the incorporation of micro-relief within the final landform design. In response, HVO updated the Final Landform and Rehabilitation Plan (FLRP) to incorporate revised contours and GeoFluv-based landform designs for the northern areas of the site.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Schedule 3 (and depicted conceptually in the final landform plans in Appendices 6 and 7) and the objectives in Table 17. *Table 17: Rehabilitation Objectives* **Area/Domain** / **Rehabilitation Objectives** Mine site (as a whole): • Safe, stable & non-polluting • Final landforms designed to incorporate micro-relief and integrate with surrounding natural landforms • Constructed landforms maximise surface water drainage to the natural environment (excluding final void catchments) • Minimise long term groundwater seepage zones • Minimise visual impact of final landforms as far as is reasonable and feasible Final void: • Safe, stable & non-polluting • Minimise the size and depth of the final void as far as is reasonable and feasible • Minimise the drainage catchment of the final void as far as is reasonable and feasible • Minimise the risk of flood interaction for all flood events up to and including the Probable Maximum Flood • Negligible high wall instability risk Carrington West Wing revised proposed extension area: • Reinstatement of Rural Land Capability agricultural land values to be measured as: • 65.0 hectares of Class II and 65.0 hectares of Class III Surface infrastructure: • To be decommissioned and removed, unless the Resources Regulator agrees otherwise Community: • Ensure public safety • Minimise the adverse socio-economic effects associated with mine closure *Notes:* *• The Carrington West Wing revised proposed extension area is shown in Appendix 5.* *• The Applicant is not required to undertake any additional earthmoving or rehabilitation works on landforms that were rehabilitated prior to the determination of Modification 8, except where those earthworks are required for the establishment of a stable, non-polluting and free draining landform.*	Version 2.0, no date. Rehabilitation Objectives (ROBJ)	At the time of the audit, a detailed geo-fluvial review was underway, and the auditors sighted evidence confirming that the updated FLRP had been resubmitted to the Department to address the amended requirements. Active rehabilitation practices observed during the site inspection were consistent with contemporary GeoFluv methodologies and demonstrated a clear intent to achieve micro-relief landforms in accordance with the updated design objectives. The rehabilitation objectives outlined in Table 17 have been incorporated into the site's Rehabilitation Management Plan (RMP). Implementation of the RMP was reviewed against the Standard Conditions for Mining Leases Checklist (Appendix A4), with no issues identified that would indicate HVO is not adequately implementing, or on track to implement, the rehabilitation objectives required under Schedule 3, Condition 62. **Minimising socio-economic effects** Table 17 of DA 450-10-2003 sets out the rehabilitation objectives applicable to HVO North, including the requirement to minimise the adverse socio-economic effects associated with mine closure. These rehabilitation objectives have been incorporated into the site's Rehabilitation Management Plan (RMP). The audit confirmed that this objective is acknowledged within the RMP, however, the RMP does not include measurable performance criteria, completion criteria or implementation measures that specifically demonstrate how socio-economic impacts will be managed at mine closure. The RMP primarily focuses on biophysical rehabilitation outcomes, including landform stability, revegetation, erosion control and final land use, and does not define rehabilitation actions or success measures relating to socio-economic outcomes.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			While HVO has implemented broader community initiatives outside the RMP framework, including a Community Development Fund, Enterprise Facilitation Program and ongoing community engagement activities aimed at supporting economic diversification and long-term regional sustainability, these initiatives are not explicitly linked to the rehabilitation objectives or closure outcomes required under Table 17 of the development consent. The RMP has been prepared in accordance with the Form and Way – Rehabilitation Management Plan for Large Mines (NSW Resources Regulator, September 2025), under which rehabilitation objectives and completion criteria must be approved by the NSW Resources Regulator. HVO advised that the Rehabilitation Strategy required under Schedule 3, Condition 62C, which was under development at the time of the audit, will include measures to more specifically address the rehabilitation objective relating to the management of socio-economic impacts associated with mine closure. On this basis, Condition 62 of Schedule 3 of DA 450-10-2003 was assessed as compliant, noting that further detail on socio-economic closure measures is to be addressed through the forthcoming Rehabilitation Strategy.		
S3 C62A	Operating Conditions The Applicant must: (a) develop a detailed soil management protocol that identifies procedures for • comprehensive soil surveys prior to soil stripping; • assessment of top-soil and sub-soil suitability for mine rehabilitation; and • annual soil balances to manage soil handling including direct respreading and stockpiling;	2025 Annual Rehabilitation Closure Plan (ARCP), 2025 Topsoil Management Plan, Ver 2.0, 27/12/2024.	The requirements of this condition are addressed through HVO's Rehabilitation Management Plan (RMP), Topsoil Management Plan (TMP), and associated operational procedures. (a) Soil management and handling requirements are detailed in the RMP and TMP. MineSoils has undertaken soil profiling to determine topsoil stripping depths, assess	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) maximise the salvage of suitable top-soils and sub-soils and biodiversity habitat components such as bush rocks, tree hollows and fallen timber for rehabilitation of disturbed areas within the site and for enhancement of biodiversity offset areas; (c) ensure that coal reject or any potentially acid forming interburden materials must not be emplaced at elevations within the pit shell or out of pit emplacement areas where they may promote acid or sulphate species generation and migration beyond the pit shell or out of pit emplacement areas; and (d) ensure that no dirty water can drain from an out of pit emplacement area to any offsite watercourse or to any land beyond the lease boundary.	Rehabilitation Management Plan (RMP), Version 2.0, no date. MineSoils, 2025 Pre-clearing soil material characterisation, 25/1/25 Landform Design Checklist, Cheshunt Pit 2, Version 01, 16/04/25 HVO Rehabilitation Design Handover Checklist_HVO WES202402	subsoil suitability, and inform soil balances. Soil testing procedures are documented within the TMP. (b) Auditors sighted evidence of habitat material salvaging, including scalped and seeded topsoil stockpiles at Barry's Pit, and stockpiled rocks and stag trees prepared for installation in the Cheshunt rehabilitation area. While these examples were observed in HVO South, the salvaged trees originated from HVO North. (c) Potentially acid-forming material is controlled through mine planning processes, including the Design Variance Report. The Rehabilitation Checklist includes a geological suitability check to ensure carbonaceous material is excluded from the upper 10 metres of the landform. The Landform Design Checklist (2025) provides further controls to ensure coal reject and PAF interburden are not emplaced at inappropriate elevations. Tech Services also utilise a dig-and-dump checklist, which includes a requirement to verify that Acid Mine Drainage (AMD)-prone materials are excluded from design plans. (d) Controls to prevent dirty water from out-of-pit emplacement areas discharging offsite are incorporated into landform and drainage design and are implemented through the Water Management Plan and rehabilitation design processes.		
S3 C62B	Progressive Rehabilitation Deleted. *Note: Progressive rehabilitation is a requirement under the conditions imposed under the Mining Act*	Refer Checklist A4, Clause 5.	An assessment of progressive rehabilitation activities during the audit period has been detailed against Clause 5 of the Mining Regulation Checklist (Checklist A4). Refer this checklist for details.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S3 C62C	Rehabilitation Strategy The Applicant must prepare a Rehabilitation Strategy for all land disturbed by the development to the satisfaction of the Secretary. This strategy must: (a) be submitted to the Secretary for approval within 12 months of the approval of Modification 8 or as otherwise agreed by the Secretary; (b) be prepared in consultation with the Resources Regulator and Council; (c) build upon the rehabilitation objectives in Table 17, describe the overall rehabilitation outcomes for the site, and address all aspects of rehabilitation including mine closure, final landform (including final voids), post-mining land uses/s and water management; (d) align with strategic rehabilitation and mine closure objectives and address the principles of the Strategic Framework for Mine Closure (ANZMEC and MCA, 2000) (e) include details of target vegetation communities and species to be established within the proposed revegetation areas; (f) describe how the rehabilitation measures would be integrated with the measures in the Rehabilitation and Restoration Strategy referred to in Condition 31 of Schedule 3 conceptual Landscape and Rehabilitation Management Strategy referred to in Condition 32 of Schedule 3; (g) include an Agricultural Land Reinstatement Management Plan as referred to in Condition 62D of Schedule 3; (h) investigate opportunities to refine and improve the final landform and final void outcomes over time; (i) include a post-mining land use strategy to investigate and facilitate post-mining beneficial land	Rehabilitation Management Plan (RMP), Version 2.0, no date.	The determination date for Modification 8 was 24 April 2025, triggering a requirement for the Applicant to prepare and submit a Rehabilitation Strategy to the Secretary within 12 months (i.e. by 24 April 2026), unless otherwise agreed. At the conclusion of this IEA audit period, the Rehabilitation Strategy was under development and had not yet reached its regulatory submission deadline. As such, this condition was not triggered for the reporting period, and no compliance assessment was required at this stage.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	uses for the site (including the final voids), that: • considers regional and local strategic land use planning objectives and outcomes; • support a sustainable future for the local community; • utilise existing mining infrastructure, where practicable; and • avoid disturbing self-sustaining native ecosystems, where practicable; investigate ways to minimise adverse socio-economic effects associated with rehabilitation and mine closure; The Applicant must implement the approved strategy as approved from time to time by the Secretary.				
S3 C62D	Agricultural Land Reinstatement Management Plan The Agricultural Land Reinstatement Management Plan required under Condition 62C of Schedule 4 is intended to ensure that the alluvial lands are restored to a productive capacity at least equivalent to their pre-mining state and are able to be managed using techniques and equipment common to management of equivalent lands in the district. The plan must: (a) be prepared in consultation with DPI and to the satisfaction of the Secretary; (b) be prepared in accordance with any relevant DPI guideline; (c) include detailed performance and completion criteria for evaluating the performance of the rehabilitation of the Carrington West Wing revised proposed extension area, and triggering remedial action (if necessary); (d) include a long-term monitoring programme on the success of reinstating alluvial lands, which must: • assess a comprehensive suite of indicators of productivity and environmental sustainability (such as	HVO (2025) Agricultural Land Reinstatement Management Plan, Version 4.0, 18/8/2025 DPHI (2025) Approval with department, letter Approval 26/08/25	The Agricultural Land Reinstatement Management Plan (ALRMP) required under this condition is an existing, long-standing management plan that has been revised and updated to reflect the changes approved under MOD 8. The current version (Version 4.0, dated 18/08/2025) incorporates the requirements relevant to the Carrington West Wing revised proposed extension area and was prepared in consultation with the Department of Primary Industries (DPI), with evidence of DPI consultation sighted. The updated Plan was approved by the Department on 26/08/2025 and has been made publicly available. As the Carrington West Wing extension area has not yet been mined, implementation of the ALRMP has not commenced. At this stage, HVO has satisfied the preparatory requirements of S3 C62D(a)–(b), with full implementation to occur once disturbance of the relevant alluvial lands takes place.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	soil settling, soil profile development, other soil characteristics, water transmissivity and soil water availability, agricultural productivity, fertilizer needs, weeds and pests) over an extended period (a minimum of 20 years); • compare the performance of the reinstated alluvial lands with a reference site; and • make monitoring results publicly available. (e) provide for reviews of progress against the plan every 3 years (unless otherwise agreed by the Secretary after completion of the second review) and for a final review by the end of 2033. *Note: The Carrington West Wing revised proposed extension area is shown in Appendix 5.*				
S3 C63	MINE EXIT STRATEGY Deleted.				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
SCHEDULE 4 ADDITIONAL PROCEDURES FOR AIR QUALITY AND NOISE MANAGEMENT					
Notification of Landowners/Tenants					
S4 C1	By the end of September 2013, the Applicant must: (a) notify in writing any remaining private owners of: • the land listed in Table 1 of schedule 4 that they have the right to require the Applicant to acquire their land at any stage during the development; • any residence on the land listed in Table 1 of schedule 4 that they have the right to request the Applicant to ask for additional noise and/or air quality mitigation measures to be installed at their residence at any stage during the development; and • any privately-owned land within 2 kilometres of the approved open cut mining pit/s that they are entitled to ask for an inspection to establish the baseline condition of any buildings or structures on their land, or to have a previous property inspection report updated; (b) notify the tenants of any mine-owned land of their rights under this approval; and (c) send a copy of the NSW Health fact sheet entitled "Mine Dust and You" (as may be updated from time to time) to the owners and/or existing tenants of any land (including mine-owned land) where the predictions in the documents listed in condition 2 of schedule 3 identify that dust emissions generated by the development are likely to be greater than any air quality criteria in schedule 4 at any time during the life of the development.	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	
S4 C2	Prior to entering into any tenancy agreement for any land owned by the Applicant that is predicted to experience exceedances of the recommended dust and/or noise criteria, or for any of the land listed	Sample of Tenancy Agreements	Tenancy agreements reviewed during the audit showed that tenants were issued notification letters that incorporated the NSW Health "Mine Dust and You" fact sheet, as required under the condition.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	in Table 1 purchased by the Applicant, the Applicant must: (a) advise the prospective tenants of the potential health and amenity impacts associated with living on the land, and give them a copy of the NSW Health fact sheet entitled “Mine Dust and You” (as may be updated from time to time); (b) advise the prospective tenants of the rights they would have under this approval; and (c) request the prospective tenants consult their medical practitioner to discuss the air quality monitoring data and prediction and health impacts arising from this information, to the satisfaction of the Secretary.				
S4 C3	As soon as practicable after obtaining monitoring results showing: (a) an exceedance of any criteria in schedule 4, the Applicant must: • notify each affected landowner and/or tenant of the land (including the tenants of any mine-owned land) in writing of the exceedance; and • provide each affected party with regular monitoring results until the development is again complying with the relevant criteria; and (b) an exceedance of the air quality criteria in schedule 4, the Applicant must additionally provide each affected party with: • a copy of the NSW Health fact sheet entitled “Mine Dust and You” (as may be updated from time to time), if not recently provided; and • monitoring data in an appropriate format such that the party’s medical practitioner can assist them in making an informed decision on the health risks associated with continued occupation of the property, to the satisfaction of the Secretary.	Resident notifications, dated 9/4/25 HVO (2025) Detailed Report – Kilburnie South PM10 exceedance (DA 450-10-2003), 1 March 2025 HVO (2025) Detailed Report – Cheshunt East PM10 exceedance (DA 450-10-2003), 6 January 2025 Resident Notification dated 30/01/2025	The auditors are satisfied that Schedule 4, Condition 3 has been complied with during the audit period. Assessment of compliance with this condition required detailed review of a substantial volume of air quality exceedance data and associated correspondence. For each relevant exceedance reviewed, the auditors examined the raw monitoring data, verified the exceedance classification and investigation outcomes, and confirmed whether notification to the Department was required and undertaken. Where exceedances triggered landholder notification obligations under Condition 3 of Schedule 4, the auditors then verified that affected residents were notified and that the required supporting information was provided. Based on the sample of exceedance events reviewed, the auditors confirmed that HVO appropriately determined when notification obligations applied and issued notifications to affected residents in accordance with the requirements of the condition. On this basis, Schedule 4, Condition 3 is assessed as compliant for the audit period.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		HVO (2024) Notification - Kilburnie South HVAS PM2.5 mis-capture – 12 March 2024 HVO (2024) Detailed Report – Cheshunt East PM10 exceedance (DA 450-10-2003), 5 February 2024			
Independent Review					
S4 C4	If an owner of privately-owned land considers the development to be exceeding the criteria in Schedule 4, then he/she may ask the Secretary in writing for an independent review of the impacts of the development on his/her land. If the Secretary is satisfied that an independent review is warranted, then within 2 months of the Secretary's decision, the Applicant must: (a) commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Secretary, to: • consult with the landowner to determine his/her concerns; • conduct monitoring to determine whether the development is complying with the relevant impact assessment criteria in Schedule 4; and • if the development is not complying with these criteria then:	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	- determine if more than one mine is responsible for the exceedance, and if so the relative share of each mine regarding the impact on the land; - identify the measures that could be implemented to ensure compliance with the relevant criteria; and (b) give the Secretary and landowner a copy of the independent review.				
S4 C5	If the independent review determines that the development is complying with the criteria in Schedule 4, then the Applicant may discontinue the independent review with the approval of the Secretary. If the independent review determines that the development is not complying with the criteria in Schedule 4, and that the development is primarily responsible for this non-compliance, then the Applicant must: (a) implement all reasonable and feasible mitigation measures, in consultation with the landowner and appointed independent person, and conduct further monitoring until the development complies with the relevant criteria; or (b) secure a written agreement with the landowner to allow exceedances of the relevant impact assessment criteria, to the satisfaction of the Secretary. If the independent review determines that the development is not complying with the relevant acquisition criteria in Schedule 4, and that the development is primarily response for this non-compliance, then upon receiving a written request from the landowner, the Applicant must acquire all or part of the landowner's land in accordance with the procedures in Conditions 7 and 8 below.	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S4 C6	If the independent review determines that the relevant criteria are being exceeded, but that more than one mine is responsible for this exceedance, then together with the relevant mine/s the Applicant must: (a) implement all reasonable and feasible mitigation measures, in consultation with the landowner and appointed independent person, and conduct further monitoring until there is compliance with the relevant criteria; or (b) secure a written agreement with the landowner and other relevant mine/s to allow exceedances of the relevant impact assessment criteria, to the satisfaction of the Secretary. If the independent review determines that the development is not complying with the relevant acquisition criteria in Schedule 4, but that more than one mine is responsible for the exceedance, then upon receiving a written request from the landowner, the Applicant must acquire all or part of the landowner's land on as equitable a basis as possible with the relevant mine/s in accordance with the procedures in Conditions 7 and 8 below.	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	
Land Acquisition					
S4 C7	Within 3 months of receiving a written request from a landowner with acquisition rights, the Applicant must make a binding written offer to the landowner based on: (a) the current market value of the landowner's interest in the land at the date of this written request, as if the land was unaffected by the development, having regard to the:	Discussions with E&C Department	Acquisitions have occurred previously however, none have occurred during this audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	• existing and permissible use of the land, in accordance with the applicable planning instruments at the date of the written request; and • presence of improvements on the land and/or any approved building or structure which has been physically commenced on the land at the date of the landowner's written request, and is due to be completed subsequent to that date; (b) the reasonable costs associated with: • relocating within the Singleton or Muswellbrook local government areas, or to any other local government area determined by the Secretary; and • obtaining legal advice and expert advice for determining the acquisition price of the land, and the terms upon which it is to be acquired; and (c) reasonable compensation for any disturbance caused by the land acquisition process. However, if at the end of this period, the Applicant and landowner cannot agree on the acquisition price of the land and/or the terms upon which the land is to be acquired, then either party may refer the matter to the Secretary for resolution. Upon receiving such a request, the Secretary will request the President of the NSW Division of the Australian Property Institute (the API) to appoint a qualified independent valuer to: • consider submissions from both parties; • determine a fair and reasonable acquisition price for the land and/or the terms upon which the land is to be acquired, having regard to the matters referred to in paragraphs (a)-(c) above; • prepare a detailed report setting out the reasons for any determination; and • provide a copy of the report to both parties.				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Within 14 days of receiving the independent valuer's report, the Applicant must make a binding written offer to the landowner to purchase the land at a price not less than the independent valuer's determination. However, if either party disputes the independent valuer's determination, then within 14 days of receiving the independent valuer's report, they may refer the matter to the Secretary for review. Any request for a review must be accompanied by a detailed report setting out the reasons why the party disputes the independent valuer's determination. Following consultation with the independent valuer and both parties, the Secretary will determine a fair and reasonable acquisition price for the land, having regard to the matters referred to in paragraphs (a)-(c) above, the independent valuer's report, the detailed report disputing the independent valuer's determination, and any other relevant submissions. Within 14 days of this determination, the Applicant must make a binding written offer to the landowner to purchase the land at a price not less than the Secretary's determination. If the landowner refuses to accept the Applicant's binding written offer under this condition within 6 months of the offer being made, then the Applicant's obligations to acquire the land shall cease, unless the Secretary determines otherwise. 1. The Applicant must pay all reasonable costs associated with the land acquisition process described in Condition 7 above, including the costs				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	associated with obtaining Council approval for any plan of subdivision (where permissible), and registration of this plan at the Office of the Registrar-General.				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
SCHEDULE 5 ENVIRONMENTAL MANAGEMENT, MONITORING, AUDITING & REPORTING					
Environmental Management					
Environmental Management Strategy					
S5 C1	If the Secretary requires, the Applicant must prepare an Environmental Management Strategy for the development to the satisfaction of the Secretary. This strategy must: (a) be submitted to the Secretary for approval within 6 months of the Secretary requiring preparation of the strategy by notice to the Applicant; (b) provide the strategic framework for the environmental management of the development; (c) identify the statutory approvals that apply to the development; (d) describe the role, responsibility, authority and accountability of all key personnel involved in the environmental management of the development; (e) describe the procedures that would be implemented to: • keep the local community and relevant agencies informed about the operation and environmental performance of the development; • receive, handle, respond to, and record complaints; • resolve any disputes that may arise during the course of the development; • respond to any non-compliance; and • respond to emergencies; and (f) include: • copies of any strategies, plans and programs approved under the conditions of this consent; and • a clear plan depicting all the monitoring required to be carried out under the conditions of this consent.	Environmental Management Strategy (HVOOC-1797567310-62), Version 6.0, dated 19/08/2025 DPHI (2025) Revised Environmental Management Strategy – HVO South (MP06_0261), dated 26/08/2025 Platforms accessed 13/10/2025: -Vexillum Platform, -Envmet Platform, -CMO Platform -HVO GDP Portal	The Environmental Management Strategy (EMS) (HVOOC-1797567310-62, Version 6.0, dated 19 August 2025) was most recently approved by the Department on 26 August 2025, in accordance with condition 1 of Schedule 5. The EMS documents procedures for community and agency communication, complaints handling, dispute resolution, non-compliance and incident response, cumulative impact management, and emergency response. It also references all relevant environmental management plans approved under the consent and includes a clear framework for environmental monitoring required by the consent. **Statutory Compliance and Obligation Management** A review of the Compliance Management Online (CMO) platform, accessed on 13 October 2025 was conducted. The auditors confirmed that development consent conditions and EPL obligations are entered into CMO, with actions assigned to responsible personnel and evidence uploaded to demonstrate compliance. Records within CMO demonstrate active management of statutory obligations in accordance with the EMS. **Risk, Change and Strategic Planning** Implementation of the EMS risk management framework was confirmed through the completion of an annual Environmental and Community Risk Assessment (ECRA) in early 2025, undertaken in accordance with GCAA procedures. Risks identified through the ECRA align with	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	The Applicant must implement any Environmental Management Strategy as approved from time to time by the Secretary.	GDP-0509 Howick Coal Haulage Road, 15/4/2024 GDP-0531 Carrington Billabong Slashing 25/9/2024 HVO, 2025 All Inspection Schedule, spreadsheet HVO, E&C Section Targeted Visible Leadership (TVL) Schedule, spreadsheet August Assurance Activity Plan, Version 3.0 HVOOC 1797567310-4982	known environmental aspects and impacts, with higher-order risks relating to community expectations and achievement of final landform outcomes. In addition, evidence was provided that a Life-of-Mine risk assessment is undertaken every five years to assess long-term land use and closure risks, consistent with EMS commitments. **Objectives, & targets** Implementation of EMS objectives and targets was confirmed through review of the HVO Environment & Community Plan 2025–2027. This plan establishes measurable objectives and targets. The plan is reviewed annually and implemented on a rolling three-year basis. **Environmental Management** Implementation of EMS commitments relating to operational controls was confirmed through review of the approved environmental management plans referenced within the EMS and the HVO consents. The auditors confirmed that these plans are operational and supported by procedures and TARPs, and that current versions are published on the HVO public website in accordance with consent requirements. **Ground Disturbance Permits & Work Authorisations** Implementation of EMS work authorisation requirements was confirmed through review of the HVO GDP Portal, accessed on 13 October 2025. A sample of GDPs were reviewed, including: • GDP-0509 – Howick Coal Haulage Road, dated 15 April 2024; and		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			• GDP-0531 – Carrington Billabong Slashing, dated 25 September 2024. These GDPs demonstrate that environmental constraints (including biodiversity, heritage and water considerations) are identified, supporting documentation is uploaded, and approvals are obtained prior to commencement of works. **Environmental Monitoring** The auditors reviewed the various online systems in place to track environmental monitoring data. Findings relating to monitoring data are populated against the relevant section of the consent. **Inspections and Assurance Activities** Implementation of the EMS inspection and assurance framework was confirmed through review of: • HVO 2025 All Inspection Schedule (spreadsheet); • E&C Section Targeted Visible Leadership (TVL) Schedule (spreadsheet); • August Assurance Activity Plan, Version 3.0 (HVOOC-1797567310-4982). The inspection schedule identifies all routine inspections to be undertaken by the Environment and Community (E&C) Department and the month in which each inspection is planned. Evidence was provided that Planned Task Observations (PTOs) are reviewed weekly, with a central spreadsheet maintained that records inspection status and links to inspection forms. Inspection outcomes and status are discussed at weekly E&C meetings. Inspections are conducted on a rotational basis to promote objectivity. In addition, CHPP inspections are undertaken by supervisors in accordance with a separate schedule, with		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			E&C personnel periodically participating to ensure integration across operational areas. **Inspections, Non-Compliance Management** Implementation of EMS incident and emergency response commitments was confirmed through review of incident records in CMO and supporting emergency response documentation. The EMS links incident reporting and non-compliance management to CMO, where investigations and corrective actions are tracked. Emergency preparedness is supported through the site Emergency Response Team and implementation of the Pollution Incident Response Management Plan (PIRMP), consistent with EMS requirements. **Training** Environmental induction and role-specific training are delivered, with records maintained in the Training Management System (TMS), demonstrating implementation of EMS training commitments. Evidence of training content and record management was sighted. **Conclusion** The EMS was considered to have been adequately implemented during the audit.		
Management Plan Requirements					
S5 C2	The Applicant must ensure that the management plans required under this consent are prepared in accordance with any relevant guidelines, and include: (a) detailed baseline data; (b) a description of: • the relevant statutory requirements (including any relevant approval, licence or lease conditions);	Refer evidence within this checklist	The audit included review of multiple management plans required under DA 450-10-2003 and PA 06_0261. Each of the plans reviewed generally: • Included baseline data, relevant statutory conditions, and performance measures and indicators;	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	• any relevant limits or performance measures/criteria; and • the specific performance indicators that are proposed to be used to judge the performance of, or guide the implementation of, the development or any management measures; (c) a description of the measures that would be implemented to comply with the relevant statutory requirements, limits, or performance measures/criteria; (d) a program to monitor and report on the: • impacts and environmental performance of the development; and • effectiveness of any management measures (see (c) above); (e) a contingency plan to manage any unpredicted impacts and their consequences and to ensure that ongoing impacts reduce to levels below relevant impact assessment criteria as quickly as possible; (f) a program to investigate and implement ways to improve the environmental performance of the development over time; (g) a protocol for managing and reporting any: • incidents; • complaints; fume • non-compliances with statutory requirements; and • exceedances of the impact assessment criteria and/or performance criteria; (h) a protocol for periodic review of the plan; and (i) a document control table that includes version numbers, dates when the management plan was prepared and reviewed, names and positions of people who prepared and reviewed the management plan, a description of any revisions made and the date of the Secretary's approval.		• Described mitigation measures and monitoring programs; • Contained incident reporting protocols, public access mechanisms, and review procedures; • Provided for adaptive management and continuous improvement (e.g., investigation of non-compliances, use of updated modelling, independent reviews); • Where applicable, included contingency measures and corrective action frameworks. In some instances, formatting and structure varied between plans; however, all core content required by Condition 2 of Schedule 5 were found to be addressed either directly or through referenced appendices.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Note: The Secretary may waive some of these requirements if they are unnecessary or unwarranted for particular management plans.				
Relationships Between Management Plans					
S5 C2A	With the agreement of the Secretary, the Applicant may combine any strategy, plan, program or Annual Review required by this consent with any similar strategy, plan, program or Annual Review required for HVO South and Mt Thorley Warkworth mines or any other adjoining operation in common ownership or management.	Refer evidence against management plan conditions.	Several management plans have been combined across HVO North and HVO South where appropriate and approved by the Department. This includes but is not limited to the Water Management Plan, Blast Management Plan, and Air Quality and Greenhouse Gas Management Plan. These plans adopt an integrated, site-wide approach while clearly identifying where requirements apply to both approvals or are specific to individual approval areas. Approved management plans were confirmed to be publicly available on the HVO website.	Compliant	
Updating & Staging Submission of Strategies, Plans or Programs					
S5 C3	To ensure the strategies, plans or programs under this consent are updated on a regular basis, and that they incorporate any appropriate mitigation measures to improve the environmental performance of the development, the Applicant may at any time submit revised strategies, plans or programs to the Secretary for approval. With the agreement of the Secretary, the Applicant may also submit any strategy, plan or program required by this consent on a staged basis. With the agreement of the Secretary, the Applicant may revise any strategy, plan or program approved under this consent without undertaking consultation with all parties nominated under the applicable conditions in this consent. *Notes:*	Refer management plan conditions of this checklist.	For the purposes of this audit, compliance with Condition S5 C3 has been assessed through the review of each individual strategy, plan and program required under the consent, including confirmation of their submission, approval status, currency and implementation. Each management plan has been assessed against its specific conditions elsewhere in this report, including consideration of whether updates have been prepared, submitted and implemented in response to operational changes, consent modifications or audit findings. No standalone non-compliance was identified against Condition S5 C3. Matters relating to the timing of plan updates, approval status or implementation of revised plans are addressed under the relevant individual conditions for each management plan.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	• While any strategy, plan or program may be submitted on a staged basis, the Applicant will need to ensure that the existing operations associated with the development are covered by suitable strategies, plans or programs at all times. *• If the submission of any strategy, plan or program is to be staged, then the relevant strategy, plan or program must clearly describe the specific stage/s of the development to which the strategy, plan or program applies; the relationship of this stage/s to any future stages; and the trigger for updating the strategy, plan or program.*				
S5 C3A	If the Secretary agrees, a strategy, plan or program may be staged or updated without consultation being undertaken with all parties required to be consulted in the relevant condition of the consent.			Compliant	
Revision of Strategies, Plans & Programs					
S5 C4	Within 3 months of the: (a) submission of an incident report under condition 7 below; (b) submission of an Annual Review under condition 9 below; or (c) submission of an audit report under condition 10 below; and (d) approval of a modification to this consent, the Applicant must review and if necessary revise, the strategies, plans and programs required under this consent, to the satisfaction of the Secretary. Within 6 weeks of conducting any such review, the Applicant must advise the Secretary of the outcomes of the review, and provide any documents that have been revised to the Secretary for review and approval. *Note: This is to ensure the strategies, plans and programs are updated on a regular basis, and to incorporate any recommended*	Addressed against each management plan condition.	Evidence was sighted demonstrating that HVO has established and implemented a structured process to review and submit environmental strategies, plans and programs in accordance with Schedule 5, Condition 4. • HVO prepares and submits a consolidated annual correspondence to the Department identifying: • the environmental management strategies, plans and programs that have been reviewed during the relevant period; • those documents that have been updated or revised as a result of the review; and • the documents that require departmental review and approval. As noted above in relation to the Air Quality and Greenhouse Gas Management Plan (AQGGMP) and the Water Management Plan (WMP), Hunter Valley Operations (HVO) has submitted a number of revised environmental management plans to the Department	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	measures to improve the environmental performance of the development.		during the audit period in accordance with the review and submission requirements of Schedule 5, Condition 4. At the time of the audit, several of these submitted plans had not yet been formally endorsed or approved by the Department.		
Adaptive Management					
S5 C5	The Applicant must assess and manage development-related risks to ensure that there are no exceedances of the criteria and/or performance measures in Schedule 4. Any exceedance of these criteria and/or performance measures constitutes a breach of this consent and may be subject to penalty or offence provisions under the EP&A Act or EP&A Regulation. Where any exceedance of these criteria and/or performance measures has occurred, the Applicant must, at the earliest opportunity: (a) take all reasonable and feasible measures to ensure that the exceedance ceases and does not recur; (b) consider all reasonable and feasible options for remediation (where relevant) and submit a report to the Department describing those options and any preferred remediation measures or other course of action; and (c) implement remediation measures as directed by the Secretary, to the satisfaction of the Secretary.	Refer evidence against each topic	HVO has implemented systems to assess and manage development-related environmental risks to minimise the likelihood of exceedances of the Schedule 4 criteria. These systems include the approved Environmental Management Strategy (Version 6.0, approved 26 August 2025), annual Environmental and Community Risk Assessments, approved environmental management plans and TARPs, and real-time and routine monitoring. Where exceedances of Schedule 4 criteria have occurred during the audit period, in relation to air quality, they were identified through monitoring programs and managed in accordance with site procedures. No instances were identified where directed remediation measures under Schedule 5, Condition 5 were not implemented to the satisfaction of the Department.	Compliant	
Community Consultative Committee					
S5 C6	The Applicant must operate a Community Consultative Committee (CCC) for the development, to the satisfaction of the Secretary. This CCC must be operated in general accordance with the Community. Consultative Committee (CCC)	Email to Singleton Shire Council, HVO Annual Review 2024	HVO facilitates a Community Consultative Committee (CCC) to engage directly with community representatives, stakeholder groups and Singleton Council. The committee functions as a structured forum for discussing operational performance, environmental and social impacts,	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Guidelines for State Significant Projects (Department of Planning, 2016, or its latest version). *Notes:* *• The CCC is an advisory committee. The Department and other relevant agencies are responsible for ensuring that the Applicant complies with this consent.* *• In accordance with the guideline, the committee should be comprised of an independent chair and appropriate representation from the Applicant, Council, and the local community.* *• With the approval of the Secretary, the CCC may be combined with any similar CCC for the HVO Mine Complex.*	Submission, 31/03/2025 Email to Muswellbrook Shire Council, HVO Annual Review 2024 Submission, 31/03/2025 HVO Community Consultation Committee Terms of Reference, Version 1.0, 29/07/2024 CCC Meeting Minutes: 2023, 2024, 2025 Community Consultation Reports EL5291, EL5292, EL5417, EL5418, EL8175 HVO CCC Business Papers 2024, 2025	exploration titles, proposed continuation activities and final landform planning. The CCC Terms of Reference were sighted to be published on the HVO website. The committee meets quarterly, and meeting minutes are recorded and made publicly available on the HVO website. Auditors confirmed that CCC meetings were held during the audit period in February, May, August, and November of 2023 and 2024, and in February, May, and August of 2025. Minutes for these meetings were published on the HVO website in accordance with the relevant guidelines. Auditors also sighted an email issued by HVO to Singleton Council notifying them of an upcoming CCC meeting, demonstrating proactive engagement with key stakeholders. Additionally, an email dated 1 April 2025 confirmed that the Annual Review had been distributed to Council and CCC members.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
Reporting					
S5 C7	Incident Reporting The Applicant must immediately notify the Secretary and any other relevant agencies of any incident. Within 7 days of the date of the incident, the Applicant must provide the Secretary and any relevant agencies with a detailed report on the incident, and such further reports as may be requested.	HVO (2022–2025) — Notification letters and detailed investigation reports submitted to the Department relating to PM_{10} and $PM_{2.5}$ exceedances and HVAS TSP/PM mis-capture events at Cheshunt East, Jerry's Plains, Maison Dieu, Warkworth, Kilburnie South, Long Point, Gliding Club and Wandewoi monitoring stations, including exceedance reports dated March 2023, October 2023, January–March 2024, December 2024 and January–March	A detailed review of all incidents which had occurred during the audit period was conducted by the auditors in order to determine the date of each incidents, the date HVO became aware of each incident, if the Department were notified and if notification was within the required timeframe. Evidence was sighted demonstrating that Hunter Valley Operations (HVO) has consistently notified the Department and prepared detailed investigations in response to air quality exceedances and monitoring data capture issues throughout the audit period. This includes multiple notification letters and detailed reports submitted between December 2022 and June 2025 relating to PM_{10} and $PM_{2.5}$ exceedances and HVAS TSP/PM mis-capture events at monitoring locations including Cheshunt East, Jerry's Plains, Maison Dieu, Warkworth, Kilburnie South, Long Point, Gliding Club and Wandewoi. Notifications were supported by formal correspondence and confirmation of submission via the Department's Major Projects portal, and detailed exceedance investigation reports were prepared where required under the consent and regulatory guidance. In all instances reviewed, HVO notified the Department and submitted incident reports containing the required information within the required 7-day reporting timeframe, or within an extended timeframe that had been agreed with the Department to allow completion of incident investigations.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
		2025, and associated Departmental submission confirmations via the Major Projects portal.			
Regular Reporting					
S5 C8	The Applicant must provide regular reporting on the environmental performance of the development on its website, in accordance with the reporting arrangements in any plans or programs approved under the conditions of this consent.	HVO website, https://www.hvo.com.au/	HVO's publicly accessible website reports its environmental performance providing monthly reports of monitoring data (air quality, surface water, groundwater, noise, blasting, rehabilitation, complaints, environmental incidents) via the Monthly Environment Reporting category including Monthly Environmental Monitoring Reports, uploaded routinely, and other related categories including documents such as Community Consultation Reports, CCC minutes. HVO also provides Annual Reviews and Annual Rehabilitation Reports. The website structure clearly shows the links and downloadable documents.	Compliant	
Annual Review					
S5 C9	By the end of March each year, or other timing as may be agreed by the Secretary, the Applicant must submit a report to the Department reviewing the environmental performance of the development to the satisfaction of the Secretary. This review must: (a) describe the development (including any rehabilitation) that was carried out in the previous	Annual Review submission in NSW Planning Portal DPHI (2025) 2024 Annual Review, dated 13/05/2025	The 2022, 2023 and 2024 Annual Reviews were submitted during the audit period. The auditors reviewed evidence of HVOs submission of each Annual Review in the NSW Planning portal. Each Annual Review was submitted on time and included the required content, as stipulated in Condition 9 of Schedule 5. In addition evidence of the Annual Reviews being submitted to the CCC and Singleton and Muswellbrook Councils was sighted.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	calendar year, and the development that is proposed to be carried out over the current calendar year; (b) include a comprehensive review of the monitoring results and complaints records of the development over the previous calendar year, which includes a comparison of these results against the: • relevant statutory requirements, limits or performance measures/criteria; • requirements of any plan or program required under this consent; • monitoring results of previous years; and • relevant predictions in the documents listed in condition 2 of Schedule 3; (c) identify any non-compliance over the past calendar year, and describe what actions were (or are being) taken to ensure compliance; (d) identify any trends in the monitoring data over the life of the development; (e) identify any discrepancies between the predicted and actual impacts of the development, and analyse the potential cause of any significant discrepancies; and (f) describe what measures will be implemented over the current calendar year to improve the environmental performance of the development. The Applicant must ensure that copies of the Annual Review are submitted to Council and are	DPHI (2023) HVO Annual Review 2022, dated 19/06/2023 HVO (2024) HVO Annual Review 2023 email to Singleton Council, dated 28/03/2024 HVO (2024) HVO Annual Review 2023 submission to Muswellbrook Council, dated 10/04/2024 HVO (2023) 2022 Annual Review to CCC, dated 5/04/2023	The auditors reviewed the Departments acceptance letters for each Annual Review to verify their satisfaction with the Annual Reviews. The Department requested, in their letter approving the 2022 Annual Review, that a comprehensive list of Air Quality data mis capture reporting be included in the 2023 Annual Review. This was provided in the 2023 Annual Review. Review of HVO's Annual Reviews for 2022, 2023 and 2024 identified inconsistencies in how non-compliances are identified, classified and reported, particularly within Section 1 – Statement of Compliance. There is insufficient explanation in Section 11 as to why certain incidents (e.g. blast fume events) were treated differently across reporting years or excluded from non-compliance classification under relevant approvals. In addition, minor inconsistencies were also observed between Section 1 (Statement of Compliance) and Section 11 (Incidents and Non-Compliances). The Annual Review Guideline (October 2015) requires the Statement of Compliance to provide a clear, transparent summary of compliance status against the relevant approvals, which include development consents, mining leases and other material approvals applicable to the operation. The guideline further requires that any non-compliances be clearly identified, without use of partial or ambiguous classifications, and expanded upon in Section 11 of the Annual Review. OFI-001: Expand the Annual Review Section 1 – Statement of Compliance to include a consolidated compliance assessment against all relevant approvals and licences, and ensure that all non-compliances, regardless of approval type, are consistently identified in Section 1 and cross-referenced to detailed discussion in Section 11.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	available to the Community Consultative Committee (see condition 6 of Schedule 6) and any interested person upon request.				
Independent Environmental Audit					
S5 C10	Prior to 1 December 2019, and every three years thereafter, unless the Secretary directs otherwise, the Applicant must commission, commence and pay the full cost of an Independent Environmental Audit of the development. This audit must: (a) be conducted by suitably qualified, experienced and independent team of experts whose appointment has been endorsed by the Secretary; (b) include consultation with the relevant agencies and the CCC; (c) assess the environmental performance of the development and whether it is complying with the relevant requirements in this consent and any relevant EPL and/or Water Licences (including any assessment, plan or program required under these approvals); (d) review the adequacy of strategies, plans or programs required under the abovementioned approvals; (e) recommend appropriate measures or actions to improve the environmental performance of the development, and/or any assessment, plan or program required under the abovementioned approvals; and (f) be conducted and reported to the satisfaction of the Secretary. *Note: This audit team must be led by a suitably qualified auditor and include experts in any fields specified by the Secretary.*	RPS, 2022 Independent Environmental Audit, Hunter Valley Operations, Version 1, 30 June 2023. Email to the Department from HVO, HVO North - West Pit Consent 2003 - Post Approval Document Received - (DA450-10-2003-PA-72), 23/02/2023	HVO commissioned and funded an Independent Environmental Audit (IEA) in 2022, undertaken by RPS AAP Consulting Pty Ltd, with the audit team endorsed by the Planning Secretary on 28 August 2022 and attending Site from 28-30 November 2022 (with the rehabilitation specialist attending site separately on 6 December 2022). The RPS IEA audit included recommendations for improving environmental performance where applicable. The document progressed through three versions: an initial draft issued for client review on 16 February 2023, followed by a final version on 22 February 2023, and subsequently an updated version incorporating comments from the Department on 30 June 2023.	Compliant	
S5 C11	Within 12 weeks of commencing each audit, or as otherwise agreed by the Secretary, the Applicant	RPS, 2022 Independent	A submission letter was provided to the Department on 23 February 2023. Schedule 5 Condition C6 requires the IEA	Non-Compliant	**NC-005**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	must submit a copy of the audit report to the Secretary and any other NSW agency that requests it, together with its response to any recommendations contained in the audit report, and a timetable for the implementation of any measures proposed to address the recommendations.	Environmental Audit, Hunter Valley Operations, Version 1, 30 June 2023. Email to the Department from HVO, Hunter Valley Operations South - Post Approval Document Received - (MP06_0261-PA-120), 23/02/2023	to be submitted within 12 weeks of commencing the audit. 12 weeks from the commencement of the audit on 28 November is 20 February 2023. As such HVO have not complied with this condition. HVO have implemented actions in the compliance tracking system CMO to ensure adherence to submission dates. As a result, no recommendation has been deemed necessary.		
Access To Information					
S5 C12	By 31 December 2016, unless otherwise agreed by the Secretary, the Applicant must: (a) make the following information publicly available on its website: • the documents listed in condition 2 of Schedule 3; • current statutory approvals for the development; • approved strategies, plans or programs required under the conditions of this consent; • a comprehensive summary of the monitoring results of the development, reported in accordance with the specifications in any conditions of this consent, or any approved plans and programs; • a complaints register, updated quarterly;	HVO Website https://www.hvo.com.au/ Discussion with E&C Department Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025	The HVO website meets the condition for public availability of information, with key elements such as statutory approvals, monthly and annual monitoring data, approved strategies and plans, CCC minutes, Annual Reviews, and independent environmental audit reports all accessible and routinely updated during the audit period. A monthly complaints register is also available within the Monthly Environmental Monitoring Reports, satisfying the requirement for public reporting of complaints. The only exception noted was that the 2024 Annual Review initially appeared without its appendices, which had been included in previous years. This was rectified during the audit, and the appendices were subsequently	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	• the Annual Reviews (over the last 5 years); • any independent environmental audit, and the Applicant's response to the recommendations in any audit; • any other matter required by the Secretary; and (b) keep this information up-to-date, to the satisfaction of the Secretary.	CCC Meeting Minutes: 2023, 2024, 2025 Community Complaints Management Procedure 'HVOOC-1797567310-219'	uploaded. As the issue was addressed promptly, no Opportunity for Improvement (OFI) will be issued.		

Audit Checklist – HVO South PA 06_0261

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Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
SCHEDULE 2 ADMINISTRATIVE CONDITIONS					
Obligations to Minimise Harm to the Environment					
S2 C1	The Applicant must implement all reasonable and feasible measures to prevent and/or minimise any harm to the environment that may result from the construction, operation, or rehabilitation of the development.	As detailed throughout the audit checklists	During the audit period, the auditors and relevant specialists reviewed incident and non-compliance records, community complaints, and overall environmental performance in the context of Hunter Valley Operations (HVO) Environmental Management Strategy (EMS) and associated management plans. Except where 6pecific issues were identified, HVO was found to be compliant with its obligations to implement all reasonable and feasible measures to prevent, or where not possible, minimise, material harm to the environment arising from construction, operational and rehabilitation activities.	Compliant	
Terms of Approval					
S2 C2	The Applicant must carry out the development generally in accordance with the: (a) EA; (b) statement of commitments; (c) EA (Mod1); (d) EA (Mod 2); (e) EA (Mod 3); (f) EA (Mod 4); (g) EA (Mod 5); (h) Modification Report (MOD 6); (i) Modification Report (MOD 7); (j) Modification Report (MOD 8); and (k) development layout.	Refer evidence throughout checklist	During the audit period the HVO South Consent was modified on one occasion. MOD 8 was approved on 6 Feb 2023 and related to the construction of a High Density Ammonium Nitrate (HDAN) storage compound. This IEA focused verifying HVO was carrying out the development in accordance with the original HVO South Environmental Assessment and the MOD 8 Environmental Assessment, as MOD 8 was the only modification approved during the audit period. Earlier modifications were reviewed in previous audit cycles and introduced only minor refinements or additional mitigation measures. HVO South is operating within the approved development layout and in a manner generally consistent with the project description, impact predictions and Statement of Commitments. The site	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			inspection confirmed that mining areas, infrastructure, water systems, haul routes, CHPP operations and rehabilitation areas align with the approved layout. Non-compliances identified during this audit relate to: • air quality monitoring data mis-captures and data gaps • short-term PM10 exceedances (pre-MOD 8 reporting requirements) • annual average PM exceedances identified as instrument error • blast monitor data mis-capture • STP certification gaps (EPL requirement) • unauthorised discharge from Dam 17N • Administrative non-compliances associated with management plan contents, approvals and offset securing. These matters reflect monitoring, reporting, or infrastructure compliance issues, not deviations from the approved EA, MOD 8 EA, or development layout. No non-compliances indicated operation outside the EA's impact envelope or project scope.		
S2 C2A	The Applicant must carry out the development in accordance with the conditions of this consent.	Refer evidence throughout checklist	During the audit period, several specific non-compliances were identified against individual consent conditions applicable to HVO South. These non-compliances have been assessed and documented under their respective conditions throughout this checklist. These non-compliances demonstrate that not all consent conditions were complied with during the audit period.	Non-Compliant	**NC-006**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			While the operation generally implements the requirements of PA 06_0261, the non-compliances identified against specific conditions mean that S2 C2A cannot be assessed as compliant.		
S2 C3	If there is any inconsistency between the documents listed in condition 2, the most recent document shall prevail to the extent of the inconsistency. However, the conditions of this consent shall prevail to the extent of any inconsistency.		As part of this IEA, all relevant approval documents were reviewed, including the original EA and subsequent modification assessments. Where inconsistencies in predicted impacts or mitigation measures were identified, the audit relied on the most recent modification documentation, consistent with the requirement of this condition. No inconsistencies were identified that conflicted with the conditions of consent.	Compliant	
S2 C4	The Applicant must comply with any reasonable and feasible requirement/s of the Planning Secretary arising from the Department's assessment of: (a) any reports, plans, programs, strategies or correspondence that are submitted in accordance with this consent ; and (b) the implementation of any actions or measures contained in these reports, plans, prog rams, strategies or correspondence.		Based on the document review and discussions during the audit, no evidence was identified which indicated HVO failed to comply with any requests or requirements issued by the Department during the audit period.	Compliant	
Limits on Approval					
S2 C5	Mining operations may take place for a period of 21 years from the date of this consent. *Note: Under this consent, the Applicant is required to rehabilitate the site and carry out any additional undertakings to the satisfaction of both the Planning Secretary and the Resources Regulator. Consequently this consent will continue to apply in all other respects other than the right to conduct mining operations until the rehabilitation of the site and those additional undertakings have been carried out satisfactorily.*	Site Inspection Discussion with E&C Department	PA06_0261 was approved on 17 Dec 2009. This condition authorises mining operations in HVO South until 2030. Mining operations were ongoing at HVO South during the audit period, consistent with the authorised timeframe.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S2 C6	The Applicant must not extract more than 20 million tonnes of ROM coal a year from the site.	Annual review summaries Overview Physicals Spreadsheet 2022-2026.xlsx	The auditors reviewed the Annual Reviews (2022–2024) and production data from the Overview Physicals spreadsheet (2022–2026). All recorded extraction volumes were well below the 20 Mtpa limit: • 2025 (estimate): 10.00 Mt • 2024: 6.35 Mt • 2023: 8.63 Mt • 2022: 7.55 Mt	Compliant	
Management Plans/Monitoring Programs					
S2 C7	Deleted				
S2 C8	The Applicant must ensure that monitoring programs, management plans and the Environmental Management Strategy, as in existence at the date of this consent in December 2008, continue to be implemented (to the satisfaction of the Planning Secretary) until replaced by monitoring programs and management plans approved in accordance with the conditions of this consent.	Discussion with E&C Department	All management programs, plans and the EMS applicable to the previous consent have been superseded. This condition was no longer triggered in the audit period.	Not Triggered	
Surrender of Consents					
S2 C9	Within 12 months of the date of this consent , the Applicant must surrender all existing development consents and existing use rights associated with HVO South's mining operations and related facilities in accordance with clause 97 of the EP&A Regulation.	Discussion with E&C Department	Surrender of previous consents was conducted outside of this audit period.	Not Triggered	
S2 C9A	Deleted				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
Structural Adequacy					
S2 C10	10. The Applicant must ensure that all new buildings and structures, and any alterations or additions to existing buildings and structures, are constructed in accordance with the relevant requirements of the BCA and any additional requirements of SA NSW . *Notes:* *• Under Part 4A of the EP&A Act, the Applicant is required to obtain construction and occupation certificates for the proposed building works.* *• Part 8 of the EP&A Regulation sets out the requirements for the certification of the development* *• Under section 15 of the Mine Subsidence Compensation Act 1961, the Applicant is required to obtain SA NSW's approval before subdividing or constructing any improvements in a Mine Subsidence District.*	Discussion with E&C Department	Not triggered during the audit period	Not Triggered	
Demolition					
S2 C11	The Applicant must ensure that all demolition work is carried out in accordance with Australian Standard AS 2601-2001: The Demolition of Structures, or its latest version.	Discussion with E&C Department	Not triggered. As per discussion with the E&C Department, no demolition works conducted during the audit period.	Not Triggered	
Operation of Plant and Equipment					
S2 C12	The Applicant must ensure that all plant and equipment used on site is: (a) maintained in a proper and efficient condition; and (b) operated in a proper and efficient manner.	Glencore Workforce Onboarding System Benchmark Maintenance SharePoint for April 2025	The auditors reviewed maintenance records, interviewed maintenance planners and personnel, examined SAP work orders and defect notifications, and verified operator competencies and licence records to confirm that plant and equipment are maintained and operated appropriately. The site inspection included the Mine Infrastructure Area (MIA), fuel farm, South STP, and the HVO South store and	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Site Inspection Discussion with E&C Department, Maintenance Planners and associated personnel	maintenance workshop, allowing verification of maintenance practices and equipment condition onsite. As the overarching maintenance and operational systems apply across the whole HVO complex, further detail is provided under Schedule 2, Condition 12 of the HVO North consent audit checklist (DA 450-10-2003). This section provides only the elements specific to HVO South. **South Workshop and Auxiliary Equipment** The HVO South workshop services auxiliary and light vehicle fleets, including LV servicing, small plant, and ancillary mobile equipment. Maintenance records reviewed (SAP work orders, scheduled servicing logs and defect close-outs) confirmed that routine and reactive maintenance is undertaken in accordance with site procedures. No issues were identified during inspection of the South workshop or stores. **Haul Trucks and Major Fleet** Haul trucks and major mobile fleet used in South operations are maintained at the HVO North workshop, in line with Glencore's site-wide asset management structure. This ensures consistent maintenance quality and competency across both operations. **HVO South Sewage Treatment Plant (STP)** The South STP was upgraded in 2025 and is managed by the HVO Infrastructure Department. Scheduled pump-outs are conducted by JR Richards, while All Septic Solutions undertakes specialist maintenance and servicing. STP condition and operation observed during the site inspection were consistent with proper maintenance and operational standards.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			Fuel Farm (HVO South) The South fuel farm was inspected and found to be in good operating condition, with bunding, signage and dispensing infrastructure in good condition. Records confirmed routine inspections and maintenance actions are captured within SAP. However comments have been made in relation to the bund material in place, refer Schedule 3 Condition 58. **Environmental Monitoring Equipment** Benchmark Monitoring undertakes scheduled calibration, servicing and maintenance for air quality, noise and blast monitoring equipment relevant to HVO South. A sample of calibration certificates and maintenance records were sighted. **Competency and Operation of Equipment** Operator competencies and licences for personnel working in HVO South are maintained through the Glencore Workforce Onboarding System and DAMSTRA. Training Needs Assessments confirm that staff operating plant and equipment hold appropriate competencies. No issues were identified related to improper or unsafe operation.		
Development Contributions					
S2 C13	Within 12 months from the date of this consent (unless otherwise agreed by the Planning Secretary), the Applicant must enter into an agreement with Singleton Council to provide development contributions to Council for the development, in accordance with Division 6 of Part 4 of the EP&A Act. If the Applicant and Council cannot agree on the level or composition of the development contributions, then	2022 IEA Report, RPS Discussion with HVO E&C Department	This condition was completed prior to the audit period commencing. The VPA executed between HVO and Singleton Council did not require ongoing commitments or payments.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	either party may refer the matter to the Planning Secretary for resolution				
Dispute Resolution					
S2 C14	In the event that the Applicant and the Council or a Government agency, other than the Department, cannot agree on the specification or requirements of this consent, the matter shall be referred by either party to the Planning Secretary for resolution, whose determination of the disagreement shall be final and binding on the parties	Discussion with E&C Department	This condition was not triggered during the audit period	Not Triggered	
Evidence of Consultation					
S2 C15	Where conditions of this consent require a document to be prepared in consultation with an identified party, the Applicant must: (a) consult with the relevant party prior to submitting the subject document to the Planning Secretary for approval; and (b) provide details of the consultation undertaken including: • a description of how matters raised by those consulted have been resolved to the satisfaction of both the Applicant and the party consulted; and • details of any disagreement remaining between the party consulted and the Applicant and how the Applicant has addressed the matters not resolved.	Discussion with E&C Department	Based on discussions with the E&C Department, consultation with relevant stakeholders does occur, however the level of documentation varies between plans. In some instances, consultation records are appended (e.g., letters/emails), while in others, the consultation process is outlined within the plan and records are maintained in the E&C document folders. No issues with regards to consultation obligations were identified. Refer individual conditions throughout the project approval checklist.	Compliant	
Compliance					
S2 C16	The Applicant must ensure that all employees, contractors and sub-contractors are made aware of, and instructed to comply with, the conditions of this consent relevant to activities they carry out in respect of the development.	Refer Schedule 2, Condition 16 of DA 450-10-2003.	Refer findings against Schedule 2, Condition 16 of DA 450-10-2003.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
SCHEDULE 3 SPECIFIC ENVIRONMENTAL CONDITIONS					
Acquisition Of Affected Properties					
Acquisition Upon Request					
S3 C1	Upon receiving a written request for acquisition from the owner of the land listed in Table 1, the Applicant must acquire the land in accordance with the procedures in conditions 7-9 of schedule 4. Table 1: Land subject to acquisition upon request 16 - Algie | 38 - Hender 32 - Algie (Curlewis) | 45 - Kelly Keys (vacant land - Lot 2 DP 770905 and Lot 84 DP 753792) *Notes:* *• The land numbers are as described in the EA, except the one with an asterisk which is as described in EA (Mod 5), and as shown in Appendix 4.* *• Land numbers 16, 32, 38, 45 and Keys are now mine-owned.* *• Keys vacant lots are now consolidated as a single lot, Lot 84 DP 1124139.* *• Land number 45 is referenced as 77 in EA (Mod 5). The Applicant is only required to acquire land number 45 if the owner of this land no longer has voluntary land acquisition rights under the planning approvals for Wambo Mine or Warkworth Mine.*	Discussion with E&C Department	The properties are owned by HVO, and the acquisition occurred prior to the audit period. Therefore, this condition does not apply.	Not Triggered	
Noise					
Noise Impact Assessment Criteria					
S3 C2	The Applicant must ensure that the noise generated by the development does not exceed the noise impact assessment criteria in Table 2 at	Refer evidence against Schedule 3, Condition 7 of DA	No exceedances of the applicable HVO North or HVO South noise impact assessment criteria were recorded at any monitoring location.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	any residence on privately-owned land, or on more than 25% of any privately-owned land. Table 2: Noise impact assessment criteria dB(A)	450-10-2003 audit checklist.	Refer evidence against Schedule 3, Condition 7 of DA 450-10-2003 audit checklist.		

Land Number / Receiver	*Day* $L_{Aeq(15\ minute)}$	*Evening* $L_{Aeq(15\ minute)}$	*Night* $L_{Aeq(15\ minute)}$	*Nig* $L_{A1(1\ m}$
Hunter Valley Gliding Club (when in use)	*55*	*55*	*55*	
7– Stapleton (Cheshunt East)	41	41	41	45
10 – Moses (Wandewoi)	37	37	37	45
Maison Dieu residences				
16 – Algie 32 – Algie (Curlewis)	42	42	42	45
5 – Bowman, 47 – Moxey, 61 – Shearer and all other land on Shearer's Lane	41	41	41	45
34 – Ernst 50 – Nelson	40	40	40	45
24 – Clifton and Edwards and residences located within 250 metres of this residence, not otherwise listed in this table	40	40	40	45
Maison Dieu residences within 1 kilometre of Shearers Lane, not otherwise listed in this table	39	39	39	45
127* – Riley	37	37	37	45
All other Maison Dieu residences	35	35	35	45
Jerrys Plains Road residences				
Land Number / Receiver	*Day* $L_{Aeq(15\ minute)}$	*Evening* $L_{Aeq(15\ minute)}$	*Night* $L_{Aeq(15\ minute)}$	*Nig* $L_{A1(1\ m}$
36 – Smith (ex Garland)	40	40	40	45
4 – Muller 31 – Cooper (Kilburnie) 310* – Northcote 312* – Carmody 463* – Carter	39	39	39	45
3 – Elisnore 317* – Gee	38	38	38	45
434* – Murphy 436* – Skinner	37	37	37	45
321* – Hayes	36	36	36	45
All Jerrys Plains Road residences, not otherwise listed in this table	35	35	35	45
Warkworth residences				
38 - Henderson	48	48	48	45
23 – Hawkes (Springwood)	43	43	43	45
45 – Kelly and all other privately-owned land in Warkworth village	43	43	43	45
All other privately-owned land	35	35	35	45

However, if the Applicant has a written negotiated noise agreement with any landowner of the land listed in Table 2, and a copy of this agreement has been forwarded to the Department and EPA, then

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	the Applicant may exceed the noise limits in Table 2 in accordance with the negotiated noise agreement. *Notes:* *• Noise impacts at HVCG are to be assessed in the immediate vicinity of its residential facilities and/or clubhouse. Noise impact assessment limits are only applicable during times of use that have been notified by HVGC to the Applicant.* *• The receiver references are as described in the EA, except those with an asterisk which are as described in EA (Mod 5), and as shown in Appendix 4.* *• Noise generated by the development must be measured in accordance with the relevant requirements and exemptions (including certain meteorological conditions) of the NSW Industrial Noise Policy (2000, or its latest version).* *• The noise limits in Table 2 are to be applied in accordance with the limitations and requirements set out in Appendix 4A.* *• Receivers 7, 10, 16, 32, 38, 23, 4, 36, 45, 310, 312 and 463 are now mine-owned.*				
S3 C3	Deleted				
Additional Noise Mitigation Measures					
S3 C4	Upon receiving a written request from: • an owner of land listed in Table 1 (unless the landowner has requested acquisition or where a negotiated noise agreement established under this consent is in place); or • an owner of land listed in Table 4 (except where a negotiated noise agreement established under this consent is in place) the Applicant must implement reasonable and feasible noise mitigation measures (such as double glazing, insulation, and/or air conditioning) at any	Discussion with the E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	residence on the land in consultation with the landowner. These measures must be consistent with the measures outlined in the Voluntary Land Acquisition and Mitigation Policy for State Significant Mining, Petroleum and Extractive Industry Development (NSW Government, 2014), as amended, and proportionate to the level of predicted impact. If within 3 months of receiving this request from the landowner, the Applicant and the landowner cannot agree on the measures to be implemented, or there is a dispute about the implementation of these measures, then either party may refer the matter to the Planning Secretary for resolution. Within 3 months from the date of this consent, the Applicant must notify all applicable landowners that they are entitled to receive noise mitigation measures, to the satisfaction of the Planning Secretary. Table 4: Land subject to additional noise mitigation upon request 7– Stapleton (Cheshunt East) ***Maison Dieu residences*** 17 – Algie 5 – Bowman, 47 – Moxey, 61 – Shearer and all other land on Shearer's Lane 34 – Ernst 50 – Nelson 24 – Clifton and Edwards and residences located within 250 metres of this residence, not otherwise listed in this table Maison Dieu residences within 1 kilometre of Shearers Lane ***Jerrys Plains Road residences*** 36 – Smith (ex Garland) 3 – Elisnore, 4 – Muller, 31 – Cooper (Kilburnie) 310* – Northcote, 312* – Carmody, 317* – Gee and 463* – Carter ***Warkworth residences*** All privately-owned Warkworth residences *Notes:*				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	• The land numbers and receiver references are as described in the EA, except those with an asterisk which are as described in EA (Mod 5), and as shown in Appendix 4. *• Land numbers 4, 7, 17, 24, 36, 310, 312 and 463 are now mine-owned.*				
Operating Conditions					
S3 C5	The Applicant must: (a) take all reasonable steps to minimise construction, operational, low frequency, road and on-site rail noise of the development; (b) take all reasonable steps to minimise the noise impacts of the development during meteorological conditions when the noise criteria in this consent do not apply (see Appendix 4); (c) operate a comprehensive noise management system that uses a combination of predictive meteorological forecasting and real-time noise monitoring data to guide the day to day planning of mining operations, and the implementation of both proactive and reactive noise mitigation measures to ensure compliance with the relevant conditions of this consent; (d) carry out regular noise monitoring to determine whether the development is complying with the relevant conditions of this consent; and (e) regularly assess the noise monitoring data, and modify or stop operations on the site to comply with the relevant conditions of this consent, to the satisfaction of the Planning Secretary.	Refer evidence against Schedule 3, Condition 7 of DA 450-10-2003.	A review of HVO South's operational noise management practices confirmed that the operation implements reasonable and proactive measures to minimise construction, operational, low-frequency and on-site rail noise, applies controls during adverse meteorological conditions, operates a comprehensive predictive and real-time noise management system, and undertakes regular monitoring and operational adjustments to ensure compliance with relevant noise criteria. These requirements are met through the same noise management framework, monitoring programs, real-time systems, operational controls, complaint response processes, and inter-mine coordination arrangements assessed under Schedule 3, Condition 7 of DA 450-10-2003.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
Noise Management Plan					
S3 C6	The Applicant must prepare a Noise Management Plan for the development to the satisfaction of the Planning Secretary. This plan must: (a) be submitted to the Planning Secretary for approval within 3 months of the determination of Modification 5, unless otherwise agreed by the Planning Secretary; (b) be prepared in consultation with the EPA by a suitably qualified and experienced person/s; (c) describe the measures to be implemented to ensure: • compliance with the noise criteria and operating conditions in this consent; • best practice management is being employed; and • the noise impacts of the development are minimised during meteorological conditions under which the noise criteria in this consent do not apply; (d) describe the noise management system in detail; and (e) include a monitoring program that: • uses a combination of real-time and supplementary attended monitoring to evaluate the performance of the development; • includes a program to calibrate and validate the real-time noise monitoring results with the attended monitoring results over time; • adequately supports the noise management system; and • includes a protocol for identifying noise incidents and notifying the Department and relevant stakeholders of any such incident; and	Refer evidence against Schedule 3 Condition 10 of DA 450-10-2003 audit checklist.	Refer findings against Schedule 3 Condition 10 of DA 450-10-2003 audit checklist.	Compliant	

<table>
<tr><th>Condition of Consent</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non Compliance Reference</th></tr>
<tr><td></td><td>(f) include a protocol that has been prepared in consultation with the owners of nearby mines to minimise cumulative noise impacts.
The Applicant must implement the Noise Management Plan as approved by the Planning Secretary.</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">BLASTING AND VIBRATION</td></tr>
<tr><td colspan="6">Airblast Overpressure Impact Assessment Criteria</td></tr>
<tr><td>S3 C7</td><td>The Applicant must ensure that the airblast overpressure level from blasting at the development does not exceed the criteria in Table 6 at any residence on privately-owned land.
Table 6: Airblast overpressure impact assessment criteria
<table><tr><th>Airblast overpressure level (dB(Lin Peak))</th><th>Allowable exceedance</th></tr><tr><td>115</td><td>5% of the total number of blasts over a period of 12 mon</td></tr><tr><td>120</td><td>0%</td></tr></table>However, if the Applicant has a written negotiated blast agreement with the owner of the relevant residence on privately-owned land, and a copy of this agreement has been forwarded to the Department and EPA, then the Applicant may exceed the airblast overpressure level in Table 6 in accordance with the negotiated agreement.</td><td>Refer evidence against Condition 12, Schedule 3 of DA 450-10-2003</td><td>Refer findings against Condition 12, Schedule 3 of DA 450-10-2003 (Audit Checklist A1).
No exceedance of blast criteria was recorded in relation to blatss generated from HVO South’s operations.</td><td>Compliant</td><td></td></tr>
<tr><td colspan="6">Ground Vibration Impact Assessment Criteria</td></tr>
<tr><td>S3 C8</td><td>The Applicant must ensure that the ground vibration level from blasting at the development does not exceed the criteria in Table 7, at any residence on privately-owned land.</td><td>Refer evidence against Condition 13, Schedule 3 of DA 450-10-2003</td><td>Refer findings against Condition 13, Schedule 3 of DA 450-10-2003 (Audit Checklist A1).</td><td>Compliant</td><td></td></tr>
</table>

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Table 7: Ground vibration impact assessment criteria **Peak particle velocity (mm/s)** / **Allowable exceedance** 5 / 5% of the total number of blasts over a period of 12 mo 10 / 0% *Note: Vibration must be measured in accordance with applicable guidelines, including EPA's Assessing Vibration: A Technical Guideline (2006).* *However, if the Applicant has a written negotiated blast agreement with the owner of the relevant residence on privately-owned land, and a copy of this agreement has been forwarded to the Department and EPA, then the Applicant may exceed the ground vibration level in Table 7 in accordance with the negotiated greement.*		No exceedance of blast criteria was recorded in relation to blatss generated from HVO South's operations.		
S3 C9	For St Philip's Church and the outbuildings at Archerfield, the Applicant must ensure that ground vibration peak particle velocity generated by the development does not exceed 5 mm/s, or as otherwise approved by the Planning Secretary.	HVO Historic Heritage Management Plan, Version: 1.0, 24/06/2025 Blasting Databases (2022–2025) 2023–2025 Monthly Environmental Monitoring Reports	The HHMP identifies St Philip's Church and the Archerfield outbuildings as vibration-sensitive heritage sites and includes the following key measures: • Requirement to maintain compliance with the 5 mm/s PPV limit. • Commitment to monitor for potential heritage impacts through: blast records and PPV results, review of nearest blast compliance monitors, assessment of blast locations relative to heritage assets, and investigation procedures if vibration levels approach or exceed thresholds. • Confirmation that blasting activities are planned and designed so that predicted PPV at these heritage items remains well below 5 mm/s. Review of blast monitoring data, modelling outputs, monthly reporting, and the heritage management framework confirms that ground vibration generated by the development did not exceed 5 mm/s at St Philip's	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			Church or the Archerfield outbuildings during the audit period.		
Blasting Hours					
S3 C10	The Applicant must only carry out blasting on site between 7 am and 6 pm Monday to Saturday inclusive. No blasting is allowed on Sundays, public holidays, or at any other time without the written approval of the Planning Secretary.	Monthly Environmental Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1KABOOM blast monitoring data (airblast and vibration logs) Blast Database 2022-2025	Blast firing times are automatically recorded through: • the KABOOM monitoring system, which logs precise timestamps (hh:mm:ss); • parallel records in the Drill & Blast database; • event summaries reported monthly in Section 4.1 of the monthly environmental reports published online. A review of the raw data from the blast database against the data presented in the monthly environmental monitoring reports published online was conducted to verify accuracy. All blasts from HVO South's operations complied with the blast timing and frequency limits.	Compliant	
Operating Conditions					
S3 C11	During mining operations on site, the Applicant must implement best blasting practice to: (a) protect the safety of people, property, public infrastructure, and livestock; (b) minimise the dust and fume emissions from blasting at the development; (c) minimise the frequency and duration of any road closures for blasting, and use all reasonable efforts to avoid road closures during peak traffic periods; (d) use all reasonable efforts to co-ordinate the timing of blasting at the site with any nearby mines to minimise cumulative blasting impacts; and	Refer evidence against Condition 17, Schedule 3 of DA 450-10-2003 (Audit Checklist A1).	Refer findings against Condition 17, Schedule 3 of DA 450-10-2003 (Audit Checklist A1). **Data mis-captures** During the audit period, one blast monitoring anomaly was identified at the Maison Dieu compliance monitor in 2024. The KABOOM monitoring system failed to correctly capture airblast and/or vibration data for a scheduled blast event. Although the blast itself remained well within the modelled and expected compliance envelope, the absence of valid monitoring data constitutes a non-compliance with the monitoring	Non-Compliant	**NC-007**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	(e) carry out regular blast monitoring to determine whether the development is complying with the relevant conditions of this consent, to the satisfaction of the Planning Secretary.		and reporting requirements of the development consent and EPL. **No recommendation has been made on the basis of this being an isolated incident which was rectified following identification.**		
S3 C12	The Applicant may carry out a maximum of: (a) 3 blasts a day; and (b) 15 blasts a week, on the site. This condition does not apply to blasts that generate ground vibration of 0.5 mm/s or less at any residence on privately-owned land, or to blast misfires or blasts required to ensure the safety of the mine, its workers or the general public. *Notes:* *• For the purposes of this condition, a blast refers to a single blast event, which may involve a number of individual blasts fired in quick succession in a discrete area of the mine.* *• For the avoidance of doubt, should an additional blast be required after a blast misfire, this additional blast and the blast misfire are counted as a single blast*	Refer to evidence against Schedule 3 condition 10.	Refer to findings against Condition 10, Schedule 3 above.	Compliant	
S3 C13	The Applicant must not undertake blasting on the site within 500 metres of any public road or any land outside the site not owned by the Applicant, unless the Applicant has: (a) a written agreement with the owner/s of the relevant public road or land to allow blasting to be carried out closer to the public road or land, and the Applicant has advised the Department in writing of the terms of this agreement; or (b) demonstrated, to the satisfaction of the Planning Secretary, that the blasting can be	Discussion with E&C Manager	The audit found that blasting undertaken within 500 metres of public roads was managed in accordance with Schedule 3, Condition C18. Where blasting was proposed within this distance, HVO held the necessary approvals under Section 138 of the Roads Act 1993, including an annual road closure approval issued by Singleton Council. No blasting was identified within 500 metres of land outside the site without the required landowner agreement or Departmental approval.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	carried out closer to the public road or land without compromising the safety of people or livestock or damaging the road or other buildings and structures, and updated the Blast Management Plan to include specific mitigation measures to be implemented while blasting is being carried out within 500 metres of the road or land.				
14	Deleted				
Public Notice					
S3 C15	During mining operations on site, the Applicant must: (a) notify the landowner/occupier of any residence within 2 kilometres of the mining area who registers an interest in being notified about the blasting schedule at the mine, or any other landowner nominated by the Planning Secretary; (b) operate a blasting hotline, or alternate system agreed to by the Planning Secretary, to enable the public to get up-to-date information on the blasting schedule at the development; (c) advertise the blasting hotline number in a local newspaper at least 4 times each year; and (d) publish an up-to-date blasting schedule on its website to the satisfaction of the Planning Secretary	Blasting notification dates and blasting hotline number, included in the Singleton Argus Paper, classified section, screenshot, dated 16/10/2025. Email from HVO to Singleton Shire Council, HVO Lemington Road Closure, 16/10/2025	 During the audit period, HVO demonstrated compliance with the blasting notification requirements. Blasting notifications and the blasting hotline number were advertised in the Singleton Argus, and auditors sighted a blast update published on 16 October 2025. HVO operates a blasting hotline to provide up-to-date information on blasting schedules, which was tested by the auditors and confirmed to be operational. An up-to-date blasting schedule is also published on the HVO website, and notifications are provided to relevant	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			stakeholders, including Singleton Shire Council, in relation to blasting activities such as road closures.		
Property Inspections					
S3 C16	At least 3 months prior to blasting within 2 kilometres of any privately-owned land, or any other landowner nominated by the Planning Secretary, the Applicant must advise applicable landowners that they are entitled to a structural property inspection. If the Applicant receives a written request for a structural property inspection from the landowner, the Applicant must within 2 months of receiving this request and prior to blasting within 2 kilometres of the property: (a) commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Planning Secretary, to inspect the condition of any building or structure on the land, and recommend measures to mitigate any potential blasting impacts; and (b) give the landowner a copy of the property inspection report. *Note: This condition does not operate so as to prevent blasting within the first 3 months of this consent as consents applying to the site contain similar provisions for the inspection or residences potentially affected by blasting operations.*	Discussion with E&C Department Blast Management Plan	During the audit period, blasting activities did not trigger the structural property inspection requirements under Schedule 3 Condition 16. Review of the HVO blasting radius mapping confirmed that there are no privately-owned landowners within 2 kilometres of the blasting area beyond those previously identified, and no additional landowners were nominated by the Planning Secretary. As established in the 2019 IEA, HVO maintains an existing mitigation agreement with the Hunter Valley Gliding Club. No written requests for structural property inspections were received during the audit period.	Compliant	
Property Investigations					
S3 C17	If any landowner of privately-owned land within 2 kilometres of blasting operations, or any other landowner nominated by the Planning Secretary, claims that buildings and/or structures on his/her land have been damaged as a result of blasting at	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	the development, the Applicant must within 3 months of receiving this claim: (a) commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Planning Secretary, to investigate the claim; and (b) give the landowner a copy of the property investigation report. If this independent property investigation confirms the landowner's claim, and both parties agree with these findings, then the Applicant must repair the damages to the satisfaction of the Planning Secretary. If the Applicant or landowner disagrees with the findings of the independent property investigation, then either party may refer the matter to the Planning Secretary for resolution. If there is a dispute over the selection of the suitably qualified, experienced and independent person, or the Applicant or the landowner disagrees with the findings of the independent property investigation, then either party may refer the matter to the Planning Secretary for resolution.				
Blast Management Plan					
S3 C18	The Applicant must prepare a Blast Management Plan for the development to the satisfaction of the Planning Secretary. This plan must: (a) be submitted to the Planning Secretary for approval within 3 months of the determination of Modification 5, unless otherwise agreed by the Planning Secretary; (b) be prepared in consultation with the EPA by a suitably qualified and experienced person/s;	Refer evidence against Condition 19 and 17, Schedule 3 of DA 450-10-2003 (Audit Checklist A1).	Refer findings against Condition 19 and 17, Schedule 3 of DA 450-10-2003 (Audit Checklist A1). The Blast Management Plan was found to be adequately implemented during the audit period with regards to HVO South's operations.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	(c) describe the measures to be implemented to ensure compliance with the blasting criteria and conditions of this consent; (d) include a Road Closure Management Plan for any blasting within 500 metres of a public road, that has been prepared in consultation with relevant roads authorities and includes provisions for: • minimising the duration of closures, both on a per event basis and weekly basis; • avoiding peak traffic periods as far as reasonable; and • co-ordinating with nearby mines to minimise the cumulative effect of road closures; (e) propose and justify any agreed alternative ground vibration limits for public or private infrastructure in the vicinity of the site (if relevant); and (f) include a monitoring program for evaluating and reporting on compliance with the relevant conditions of this consent. The Applicant must implement the Blast Management Plan as approved by the Planning Secretary.				
Air Quality					
Air Quality Impact Assessment Criteria					
S3 C19	The Applicant must ensure that all reasonable and feasible avoidance and mitigation measures are employed so that particulate matter emissions generated by the development do no exceed the air quality impact assessment criteria listed in Table 8 at any residence on privately-owned land,	Todoroski Air Sciences (TAS) Annual Air Quality Review Reports HVO Monthly Air Quality Monitoring	The auditors and air quality specialist reviewed air quality monitoring data, annual average assessments (2022–2024), Todoroski Air Sciences specialist reviews, monthly monitoring reports, exceedance investigations, and HVO's consolidated exceedance	Non-Compliant	**NC-008**

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<tr>
<td></td>
<td>the Hunter Valley Gliding Club (when in use) or on more than 25 percent of any privately-owned land.

Table 8: Air quality impact assessment criteria
<table>
<tr><th>Pollutant</th><th>Averaging period</th><th>Criterion</th></tr>
<tr><td rowspan="2">Particulate matter < 10 µm (PM_{10})</td><td>Annual</td><td>a, c 25 µg/m³</td></tr>
<tr><td>24 hour</td><td>b 50 µg/m³</td></tr>
<tr><td rowspan="2">Particulate matter < 2.5 µm ($PM_{2.5}$)</td><td>Annual</td><td>a, c 8 µg/m³</td></tr>
<tr><td>24 hour</td><td>b 25 µg/m³</td></tr>
<tr><td>Total suspended particulate (TSP) matter</td><td>Annual</td><td>a, c 90 µg/m³</td></tr>
</table>

Notes:
• Air quality impacts at HVGC are to be assessed in the immediate vicinity of its residential facilities and/or clubhouse. Air quality limits are only applicable during times of use that have been notified by HVGC to the Applicant.
• a Total impact (i.e. incremental increase in concentrations due to the development plus background concentrations due to all other sources).
• b Incremental impact (i.e. incremental increase in concentrations due to the development on its own).
• c Excludes extraordinary events such as bushfires, prescribed burning, dust storms, fire incidents or any other activity agreed by the Planning Secretary.

However, if the Applicant has a written negotiated air quality agreement with any landowner or HVGC to
exceed the air quality limits in Table 8 and a copy of this agreement has been forwarded to the Department
and EPA, then the Applicant may exceed the air quality limits in Table 8 in accordance with the negotiated air quality agreement.</td>
<td>Summaries (2022–2025)

Site Inspection

HVO Annual Review (2022 – 2024)

HVO (2025) Notification – Hunter Valley Operations Annual Air Quality Exceedances, 20/03/2025</td>
<td>register covering the entire audit period (1 December 2022 – 17 October 2025).

Short Term 24-hr Criteria

Across the audit period, a number of elevated total PM_{10} concentrations were recorded, however, investigations confirmed that HVO South's incremental contribution did not exceed the 24-hour criterion in any instance. Several exceedances were also influenced by regional extraordinary events and were excluded in accordance with Note (c).

Annual Average Criteria - PM_{10} and $PM_{2.5}$ Annual Criteria

Across 2022–2024, several monitoring locations exceeded the total annual average criteria; however:

• At Maison Dieu and Kilburnie South, $PM_{2.5}$ exceedances were attributable to HVAS overestimation, with co-located EBAMs recording compliant levels (<5 µg/m³), and incremental contributions from HVO South were below the relevant criteria.

• At the Hunter Valley Gliding Club, PM_{10} annual averages exceeded the criterion in 2023 and 2024, and HVO South was identified as a contributor. However, the Gliding Club has a valid negotiated agreement with HVO, and exceedances are permitted in accordance with that agreement.

Annual Average criteria - TSP Annual Criterion

The total impact annual TSP criterion (90 µg/m³) applies under Table 8 and Notes (a) and (c). Two exceedances triggering this non-compliance of the total impact annual TSP criterion (90 µg/m³) were recorded</td>
<td></td>
<td></td>
</tr>
</table>

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			at the Warkworth HVAS in both 2023 and 2024, they include: • 2023: Measured 130.8 µg/m³; HVO South contribution = 51.9 µg/m³ (39.7%). • 2024: Measured 137.5 µg/m³; HVO South contribution = 41.6 µg/m³ (30.3%). TSP monitoring at Warkworth is proposed for removal in the updated AQGGMP, which had been submitted to the Department but was not yet approved at the time of the audit period concluding. Until approval occurs, compliance continues to be assessed against the monitoring network described in the currently approved AQGGMP (2022). HVO were found to be non-compliant with Condition 19 of Schedule 3 due to exceedances of annual average criteria for TSP measured by the Warkworth HVAS. HVO South is otherwise considered to have implemented reasonable and feasible mitigation measures, with strong performance against short-term and annual PM_{10}/$PM_{2.5}$ criteria. HVO were in the process of following up on the Departments review and endorsement of the updated AQGGMP at the time of the audit period concluding. **On this basis no recommendation has been applied to this finding.**		
S3 C20	Deleted				
Additional Air Quality Impact Mitigation Measures					
S3 C21	Upon receiving a written request from: • an owner of land listed in Table 1 (unless the landowner has requested acquisition); or • an owner of land listed in Table 14	HVO (2024) Mitigation agreement	In 2022, one resident requested additional mitigation measures. A draft agreement was prepared in 2023, and the revised agreement, covering solar installation and air conditioning, was executed in 2024.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	the Applicant must implement reasonable and feasible air quality impact mitigation measures (such as air conditioning, first flush drinking water collection systems etc) at any residence on the land, in consultation with the landowner. These measures must be consistent with the measures outlined in the Voluntary Land Acquisition and Mitigation Policy for State Significant Mining, Petroleum and Extractive Industry Development (NSW Government, 2014), as amended, and proportionate to the level of predicted impact. However, if the Applicant has an air quality agreement with the owner of any land listed in Table 1 or Table 14 and a copy of this agreement has been forwarded to the Department and EPA, then the Applicant does not have to implement such measures. If within 3 months of receiving this request from the landowner, the Applicant and the landowner cannot agree on the measures to be implemented, or there is a dispute about the implementation of these measures, then either party may refer the matter to the Planning Secretary for resolution. Within 3 months of the date of this consent, the Applicant must notify all applicable landowners that they are entitled to receive air quality impact mitigation measures, to the satisfaction of the Planning Secretary. Table 14: Land subject to additional air quality impact mitigation upon request	executed, dated 28/10/2024	The resident later verbally requested that implementation of the mitigation be deferred. CMO actions have been initiated to prompt HVO to follow up with the landholder. The signed revised agreement was sighted, dated 28/10/2024 (signed on 26/10/2024).		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	<table><tr><td>7 – Stapleton (Cheshunt East)</td><td>34 – Ernst</td></tr><tr><td>24 – Clifton and Edwards and residences located within 250 metres of this residence.</td><td>50 – Nelson</td></tr><tr><td>471* – Bowman</td><td>56 – Edwards</td></tr></table> *Notes:* • *The land numbers are as described in the EA, except the one with an asterisk which is as described in EA (Mod 5), and as shown in Appendix 4.* • *Land number 7 and 24 are now mine-owned.*				
Mine-owned Land					
S3 C21A	Particulate matter emissions generated by the development must not exceed the criteria listed in Table 8 at any occupied residence on mine-owned land (including land owned by another mining company) unless: (a) the tenant and landowner (if the residence is owned by another mining company) have been notified of any health risks associated with such exceedances in accordance with the notification requirements under Schedule 4 of this consent; (b) the tenant of any land owned by the Applicant can terminate their tenancy agreement without penalty at any time, subject to giving reasonable notice; (c) air quality monitoring is regularly undertaken to inform the tenant and landowner (if the residence is owned by another mining company) of the likely particulate emissions at the residence; and (d) data from this monitoring is presented to the tenant and landowner in an appropriate format for a medical practitioner to assist the tenant and landowner in making informed decisions on the health	Tenancy Agreement 100 High Road	A tenancy agreement was reviewed for 100 High Road, which satisfied all requirements of Condition 21A, including provision of health-risk information, penalty-free termination rights, ongoing air-quality monitoring, and inclusion of the Mine Dust and You factsheet. No other occupied mine-owned residences were identified.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	risks associated with occupying the property.				
Operating Conditions					
S3 C22	The Applicant must: (a) take all reasonable steps to minimise odour, fume, spontaneous combustion, greenhouse gas and dust (including PM10 and PM2.5) emissions of the development; (b) minimise any visible off-site air pollution generated by the development; (c) minimise to the greatest extent practicable, the extent of potential dust generating surfaces exposed on the site at any given point in time; (d) operate a comprehensive air quality management system that uses a combination of predictive meteorological forecasting and real-time air quality monitoring data to guide the day to day planning of mining operations and the implementation of both proactive and reactive air quality mitigation measures to ensure compliance with the relevant conditions of this consent; (e) carry out regular air quality monitoring to determine whether the development is complying with the relevant conditions of this consent; (f) regularly assess the air quality monitoring data, and modify or stop operations on the site to ensure compliance with the relevant conditions of this consent; (g) minimise the air quality impacts of the development during adverse meteorological conditions and	Refer evidence against Schedule 3, Condition 5 & 6 of DA 450-10-2003 (Audit checklist A1)	Refer findings against Schedule 3, Condition 5 & 6 of DA 450-10-2003 audit checklist.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	extraordinary events (see Note c to Table 8 above); and (h) use all reasonable efforts to co-ordinate air quality management on the site with the air quality management at nearby mines to minimise cumulative air quality impacts, to the satisfaction of the Planning Secretary.				
Air Quality Management Plan					
S3 C23	The Applicant must prepare an Air Quality Management Plan for the development to the satisfaction of the Planning Secretary. This plan must: (a) be submitted to the Planning Secretary for approval within 3 months of the determination of Modification 5, unless otherwise agreed by the Planning Secretary; (b) be prepared in consultation with the EPA by a suitably qualified and experienced person/s; (c) describe the measures to be implemented to ensure: • compliance with the air quality criteria and operating conditions in this consent; • best practice management is being employed; and • the air quality impacts of the development are minimised during adverse meteorological conditions and extraordinary events; (d) describe the air quality management system in detail; and (e) include an air quality monitoring program that: • uses monitors to evaluate the performance of the development against the air quality criteria in this consent and to guide day to day planning of operations;	DPHI (2022) HVO Approval of AQGHGMP, dated 19/05/2022 Refer evidence against schedule 3, condition 6 of DA 450-10-2003 audit checklist.	Refer findings against schedule 3, condition 6 of DA 450-10-2003 audit checklist. **Data mis-captures** A review of the air quality exceedance and incident register identified multiple data mis-captures at monitoring locations relevant to HVO South, primarily at: • Warkworth HVAS/TEOM – TSP • Maison Dieu – $PM_{2.5}$ / PM_{10} (HVAS) • Kilburnie South – $PM_{2.5}$ / PM_{10} (HVAS) These mis-captures were due to instrument malfunction, invalid samples, telemetry failures, or power interruptions, and resulted in periods where valid monitoring data were not obtained. Mis-captures do not constitute exceedances of impact assessment criteria, however, they represent a failure to implement the approved monitoring program and therefore constitute a non-compliance against the implementation of the AQGGMP. No recommendation has been made as the mis-captures were technical and non-systemic, were	Non-Compliant	**NC-009**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	• adequately supports the air quality management system; and • a protocol for identifying and notifying the Department and relevant stakeholders of any air quality incidents; (f) include a protocol that has been prepared in consultation with the owners of nearby mines to minimise cumulative air quality impacts. The Applicant must implement the Air Quality Management Plan as approved by the Planning Secretary.		identified and rectified promptly, and did not result in unreported exceedances.		
Meteorological Monitoring					
S3 C24	During the life of the development, the Applicant must ensure that there is a suitable meteorological station in the vicinity of the site that complies with the requirements in the Approved Methods for Sampling and Analysis of Air Pollutants in New South Wales guideline.	Benchmark Monitoring, Calibration Checks – Cheshunt Met Station (2022 – 2025)	HVO maintains two permanent meteorological stations, Cheshunt located in HVO South and HVO Corporate met station located in HVO North. Both stations are approved by the EPA and managed by Benchmark Monitoring on behalf of HVO. Calibration certificates, maintenance records and inspection reports were reviewed and found to be current, with Benchmark providing certificates directly to HVO via its monitoring portal. Live meteorological data was sighted through the online system available to operational and environmental staff. Monitoring parameters, instrumentation and operation were consistent with the Approved Methods for the Sampling and Analysis of Air Pollutants in NSW, and maintenance practices were demonstrated through a sample of calibration and operational check records provided throughout the audit period.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
Surface And Ground Water					
Discharge Limits					
S3 C25	The Applicant must only discharge mine water from the site in accordance with the provisions of an EPL, section 120 of the Protection of the Environment Operations Act 1997 or the Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002.	Refer evidence against Condition 20, Schedule 3 of DA 450-10-2003 (Audit checklist A1)	Refer findings against Condition 20, Schedule 3 of DA 450-10-2003 (Audit checklist A1).	Compliant	
Protection of Watercourses					
S3 C26	The Applicant must: (a) ensure mining operations do not interfere with the stability of the Hunter River, Wollombi Brook and creek lines located outside the area of mining operations; (b) to the south of the Hunter River, retain a buffer zone of 150 metres, or less if agreed by the Planning Secretary following consultation with DPE Water, from the edge of open cut pits and the high bank of the Hunter River and its connected alluvium, excepting the area of the site adjacent to the Hobden Gully levee; (c) ensure negligible environmental consequences to the Hunter River alluvial aquifer and the Wollombi Brook alluvial aquifer beyond those predicted for the development; and (d) during water transfers into the Lemington underground mine workings, retain a maximum fill level of 30m AHD in the Lemington underground mine workings or retain a buffer zone of 10m between the base of the Hunter River alluvium and the Lemington underground mine workings fill	SLR, HVO Stream Health and Stability Report, Version 0.2, 6/12/2022 SLR, HVO Stream Health and Stability Report, Version 1.0, 8/11/2023 SLR, HVO Stream Health and Stability Report, Version 1.0, 10/01/2025 AGE (2017). Groundwater Assessment for HVO South Modification 5. HVO (2025a). Groundwater Monitoring	(a) HVO undertake an Annual Stream Health Monitoring Program (formerly by SLR, now by Atlantech) in accordance with HVO Riparian Vegetation and Stream Erosion Monitoring Program requirements. HVO Stream Health and Stability Reports for 2022, 2023 and 2024 were sighted. The program involves annual field inspections and includes vegetation condition, drainage line shape and floor materials, wall composition, and bank characteristics influencing lateral water flow for the Hunter River and Wollombi Brook. HVO also undertakes a water quality monitoring program to verify the effectiveness of the water management system onsite, and to identify the emergence of potentially adverse effects on surrounding watercourses. Review of monitoring reports shows no evidence that HVO's mining operations have adversely impacted the stability of the Hunter River, Wollombi Brook or other monitored drainage lines. It is noted that the HVO Annual Reviews do not include detailed assessment of the Stream Health	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	level, whichever gives the greater vertical separation.	Summary to October 2025. SLR (2020). Groundwater Conceptual Model and Flow Path Review. Umwelt (2022 , 2023 & 2024). Annual Groundwater Review – Hunter Valley Operations. DPHI (2014) Barrys pit extension approval, dated 15/01/2014	Monitoring sites for the Hunter River and Wollombi Brook, despite these data being reported separately in the specialist Annual Stream Health Monitoring Reports. (b) This requirement was addressed prior to the audit period, with correspondence sighted in the 2014 HVO South Barrys Pit Extension Letter, confirming agreement by DPE Water and the Planning Secretary regarding the reduced buffer distance. (c) The HVO 2008 EIS forecast <8 m drawdown in the southern pit areas, with depressurisation primarily occurring within the confined to semi-confined Permian coal measures proximal to active mining. Monitoring undertaken for the Umwelt 2024 Annual Groundwater Review and subsequent data to October 2025 confirms that alluvial groundwater levels have remained relatively stable where saturated, with fluctuations reflecting rainfall and streamflow trends under slightly below-average rainfall conditions. No mining-related depressurisation or unexpected drawdown has been observed in the Hunter River or Wollombi Brook alluvium, and groundwater behaviour remains consistent with modelled predictions and EIS/Modification assessments, with only isolated exceedances under investigation and no third-party impacts. (d) No water transfers into the Lemington underground mine workings occurred during the audit period.		
Water Supply					
S3 C26A	The Applicant must ensure that it has sufficient water for all stages of the development, and if	Refer Schedule 3, Condition 20A of Da 450-10-2003	Refer findings against Checklist A1 – HVO North DA 450-10-2003, Schedule 3 Condition 20A.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	necessary, adjust the scale of the development to match its available water supply. The Applicant must report on water extracted from the site each year (direct and indirect) in the Annual Review, including water taken under each water licence. Note: Under the Water Act 1912 and/or the Water Management Act 2000, the Applicant is required to obtain all necessary water licences for the development. The Applicant must surrender sufficient water entitlements upon cessation of rehabilitation activities to ensure that post closure water take impacts are sufficiently accounted for.				
Compensatory Water Supply					
S3 C26B	The Applicant must provide compensatory water supply to any landowner of privately-owned land whose rightful water supply is adversely and directly impacted (other than an impact that is negligible) as a result of the development, in consultation with DPE Water, and to the satisfaction of the Planning Secretary. The compensatory water supply measures must provide an alternative long term supply of water that is equivalent, in quality and volume, to the loss attributable to the development. Equivalent water supply should be provided (at least on an interim basis) as soon as practicable after the loss is identified, unless otherwise agreed with the landowner. If the Applicant and the landowner cannot agree on whether the loss of water is/ is not attributable to the development or the measures to be	Discussion with E&C Department HVO Annual Reviews, 2022, 2023, 2024.	During the audit period, HVO did not provide any compensatory water supply, nor any alternative form of compensation in lieu of a compensatory water supply, under either new or existing agreements. No circumstances arose during this period that triggered a requirement to provide a compensatory water supply. As such this condition was not triggered	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	implemented, or there is a dispute about the implementation of these measures, then either party may refer the matter to the Planning Secretary for resolution. If the Applicant is unable to provide an alternative long term supply of water, then the Applicant must provide compensation, to the satisfaction of the Planning Secretary. *Notes:* *• The Water Management Plan (see condition 27 below) is required to include trigger levels for investigating potentially adverse impacts on water supplies.* *• The burden of proof that any loss of surface water or groundwater access is not due to the development rests with the Applicant.*				
S3 C26C	**Water Transfers** The applicant may receive water from, and transfer water to, neighbouring mines including HVO North, Warkworth, Mt Thorley and Wombo Mines.	Discussion with E&C Department Annual Reviews 2022, 2023, 2024 Water Balance spreadsheets: • waf and gcp interface_hvo_2025.xlsx • 2022_waf and gcp interface_hvo.xlsx • 2024waf and gcp	HVO advised that water was transferred to Liddell Coal Operations during the audit period. No water was transferred to United Collieries, although a pipeline connection remains in place. There is currently no infrastructure to enable transfers between HVO and the Ravensworth Complex. HVO retains the capacity to share water with Mount Thorley Warkworth and Wambo Coal Mines; however, no transfers occurred during the audit period. Pipeline infrastructure exists to facilitate transfers with these operations if required.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
		interface_hvo.xlsx • waf and gcp interface_hvo_2023.xlsx			
Water Management Plan					

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
S3 C27	The Applicant must prepare a Water Management Plan to the satisfaction of the Planning Secretary. This Plan must: (a) be prepared in consultation with DPE Water by a suitably qualified expert whose appointment has been approved by the Planning Secretary; (b) be submitted to the Planning Secretary for approval within 6 months of this consent or otherwise agreed by the Planning Secretary; and (c) include: • a site water balance, which includes details of sources and security of water supply, on site water use and management and off site water transfers, investigates and describes measures to minimise water use by the development and a methodology to quantify the annual groundwater inflow into the Lemington underground mine workings during the period water is to be stored and extracted, and the ongoing maximum annual groundwater inflow after these activities have ceased; • an erosion and sediment control plan for surface works on the site that is consistent with the requirements of the Managing Urban Stormwater: Soils and Construction Manual (Landcom 2004, or its latest version); • a program for review of groundwater modelling that includes assessment of the effect of short and long-term changes to groundwater quality and mobilisation of salts; • a surface water monitoring program that includes: ➢ detailed baseline data of surface water flows and quality in the watercourses that could be	Refer evidence against Schedule 3, Condition 27	Refer NC-004 against Schedule 3, Condition 27 of Appendix B1 (DA 450-10-2003 HVO North)	Non-Compliant	**NC-010**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	affected by the development, including the Hunter River and Wollombi Brook; ➢ a detailed description of the surface water management system; ➢ details of water licensing requirements for all water storages; ➢ details of licensed discharge points and limits; ➢ detailed design objectives and performance measures for erosion and sediment control works, water storages, water diversions, sediment dams, emplacement areas, backfilled voids and the final void; ➢ surface water impact assessment criteria, including trigger levels for investigating potentially adverse surface water impacts of the development; ➢ a program to monitor potentially adverse impacts of the development on surface water flows and quality, flooding, stream and riparian vegetation health, including monitoring controlled and uncontrolled discharges and seepage/leachate from the site; and ➢ a plan to respond to any exceedances of the performance criteria or surface water impact assessment criteria, and repair, mitigate and/or offset any adverse surface water impacts of the development; • a groundwater monitoring program that includes: ➢ additional baseline data of groundwater levels, yield and quality in the region, and privately-owned groundwater bores, which could be affected by the development; ➢ groundwater impact assessment criteria, including trigger levels for investigating any				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	potentially adverse groundwater impacts of the development; ➢ a program to monitor: o groundwater inflows to the open cut mining operations; o impacts of the development on the region's aquifers, any groundwater bores, and surrounding watercourses, and in particular, the Hunter River and Wollombi Brook and adjacent alluvium; and o impacts of the development on groundwater dependent ecosystems, riparian vegetation and River Red Gum populations; and ➢ a plan to respond to any exceedances of the groundwater impact assessment criteria, and repair, mitigate and/or offset any adverse groundwater impacts of the development; and • a program to periodically update and validate the water balance and groundwater model for the development and compare monitoring results with modelled predictions, unless otherwise agreed by the Planning Secretary. The Applicant must implement the Water Management Plan as approved by the Planning Secretary.				
Groundwater Impacts Report					

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
S3 C28	The Applicant must provide an annual report of alluvial and hard rock buffer groundwater levels. This report must: (a) be provided to DPE Water and the Department in the Annual Review each year following the reporting period; (b) include interpreted drawdown levels resulting from existing and/or ongoing mining operations of the development; and (c) account for any drawdown loss of alluvial groundwater or river flows to the satisfaction of the Planning Secretary.	Annual Review 2022, Appendix B, Umwelt, HVO 2022 Groundwater Annual Review, Version 2, 31/03/2023 Umwelt, Annual Review 2023, Appendix B, HVO 2023 Groundwater Annual Review, Version 2, 07/03/2024 Umwelt, Annual Review 2024, Appendix B, HVO 2024 Groundwater Annual Review, Version 2, 19/03/2025	HVO provided annual reports of alluvial and hard rock buffer groundwater levels through the Annual Reviews for 2022, 2023 and 2024, with detailed groundwater assessments prepared by Umwelt and included as Appendix B to each Annual Review submitted to DPE Water and the Department. The reports include interpreted drawdown attributable to existing and ongoing mining operations and account for alluvial groundwater drawdown and potential river flow impacts. Groundwater and surface water modelling is supported by Engeny, which operates the site water accounting framework and undertakes monthly model runs to inform annual assessments.	Compliant	
S3 C28A	The Applicant must design and construct Lake James (as described in the documents listed in condition 2(c) of schedule 2) to the satisfaction of the DSC. The final dam design, as submitted to DSC, must be	Discussion with E&C Department	This requirement is outside the audit period, as the final construction of Lake James (Discharge Point 8) was completed in 2011.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	accompanied by a detailed assessment of the potential operational and environmental risks associated with the dam.				
Rehabilitation And Landscape					
Biodiversity Offset Strategy					
S3 C29	The Applicant must implement the biodiversity offset strategy as described in the Warkworth Mine EIS, summarised in Table 15 below and shown conceptually in Appendix 5, to the satisfaction of the Planning Secretary. Table 15: Summary of the Biodiversity Offset Strategy Area | Offset Type | Minimum Size (hectares) Goulburn River Biodiversity Area | Existing vegetation to be enhanced (Narrow leaved ironbark woodland) | 140 *Note: This 140 ha of vegetation in the Goulburn River Biodiversity Area is additional to the 1,063 ha of vegetation to be offset on this property for Warkworth Mine. The biodiversity offset strategy may be integrated with the similar strategy for Warkworth Mine.*	Goulburn River Biodiversity Area Management Plan, Version 3, 27/07/2022 Yancoal (2023) MTW Biodiversity Area Biannual Property Investigations, Regional Biodiversity Areas, Autumn 2023 report Rural & Environmental Management (2023) HVO Regional Offset Monthly Inspection Reports (audit period) Mosaic Ecology (2024) HVO Goulburn River BA Habitat Monitoring	The Goulburn River Biodiversity Areas Management Plan (Version 3) has been prepared and implemented to satisfy the biodiversity offset requirements under EPBC 2002/629, SSD-6464, and Condition 29 of Schedule 3 of PA 06-0261. The Plan covers a 1,206 ha offset area, comprising 140 ha attributed to HVO and 1,066 ha to Warkworth Mine, with the HVO portion managed commercially by Warkworth Mine. Offset boundaries were confirmed as per Figure 2 of the Plan, including 116.4 ha (Lot 190 – Label A) and 23.6 ha (Lot 174 – Label B) that form the HVO Offset Area, dominated by Ironbark–Stringybark shrubby woodland. To verify implementation of the Plan and HVO's compliance with biodiversity offset requirements, auditors reviewed: • Monthly Offset Inspection Reports • Biannual Property Inspection Reports • Annual Habitat Monitoring Reports • Weed Management Reports • Biodiversity Bird Monitoring Report • Rapid Site Assessments • Annual Review summaries (notably Section 8.13) Key findings of note include: • Vegetation condition across the HVO Biodiversity Offset Area is generally good, showing high native floristic diversity and low weed cover.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
		2024, dated 30/12/2024 Future Fauna (2024) Goulburn River Biodiversity Area, Biodiversity Monitoring 2024 Cumberland Plain Seeds Pty Ltd (2023) HVO Goulburn River Offset Weed management Services July – Dec 2023 Rapid Site Assessment, Woodland, Goulburn River, dated 15/11/2024	• Management actions are primarily focused on weed and feral animal control, as well as routine land management (track and fence line slashing). Target weed species include Creeping pear *Opuntia humifusa* and African lovegrass E*ragrostis curvula.* • Monitoring Plot H2 does not align with the expected Biometric Vegetation Type HU843 (PCT 1629), rendering benchmark comparisons invalid. OFI-010: Establish a new monitoring plot that accurately represents HU843 while continuing long-term monitoring at H2. • Habitat structures (fallen logs, hollows, coarse woody debris) are expected to improve naturally over time. OFI-009: Consider installing nest boxes to support hollow-dependent fauna while natural hollows develop.		
Long Term Security of Offset					
S3 C29A	By the end of June 2018, unless the Planning Secretary agrees otherwise, the Applicant must secure the offset area identified in condition 29 under an in perpetuity conservation mechanism to the satisfaction of the Planning Secretary, such as a Conservation Agreement under the National Parks and Wildlife Act 1974, BioBanking Agreement under the Threatened Species Conservation Act 1995, Biobanking Stewardship Agreement or Conservation Agreement under the Biodiversity Conservation Act 2016 or by	Discussion with E&C Department Emails between Yancoal and HVO. Email thread *RE: Summary - teleconference with BCT re securing Goulburn Rvr,* 2/12/2024	The requirement to legally secure the 140 ha Goulburn River Offset Area by June 2018 has remained unresolved for several years due to regulatory delays and landownership complexities outside HVO's direct control. The offset land is fully owned by Yancoal, who also owns 51% of HVO, and the security mechanism for HVO's offset is tied to the broader Mount Thorley Warkworth (MTW) offset strategy.	Non-compliant	**NC-011**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	incorporating the land into the Goulburn River National Park (if agreed by NPWS). This conservation mechanism may be combined with any similar mechanism required for Warkworth Mine.		The issue was first raised in the 2016 IEA, which noted that a 2015 BioBanking Application had not been finalised and that the Department had granted an extension to align the security mechanism with the Warkworth offsets. The 2019 IEA again found the requirement outstanding, with HVO submitting yearly extension requests since 2018. In May 2022, the Department advised HVO to withdraw its extension request, confirming the matter was now directly linked to the Warkworth (SSD-6464) modification, which remained undetermined. Since then, Yancoal has lodged a MTW Modification Application (April 2021) proposing a credit-based offset solution, and a related equivalence assessment was submitted in August 2023. Both remain under assessment. In 2024, HVO explored options to secure its portion of the offset area separately through a Conservation Agreement or Biodiversity Stewardship Agreement to address ongoing compliance risk. During this process, it became clear that decisions regarding the offset land needed to be aligned with the broader MTW offset strategy and coordinated with the landowner to ensure consistency in the overall approach.		
Offsets for Warkworth Mine					
S3 C29B	The Applicant must not undertake any mining operations or development within the Southern Biodiversity Area or Northern Biodiversity Area as indicated on the plan in Appendix 10, other than any conservation related activity under an approved Biodiversity Management Plan under	Discussion with E&C Department	No mining has occurred in this area. No biodiversity management is undertaken in the offset area.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	either this consent or similar plan required for Warkworth Mine, or the development and use of water management infrastructure (including existing infrastructure) as described in the Modification Report (Mod 7). *Note: The Southern Biodiversity Area and Northern Biodiversity Area form part of the biodiversity offset strategy for Warkworth Mine*.				
River Red Gum Restoration Strategy					
S3 C30	Within 12 months of the date of this consent, or otherwise agreed by the Planning Secretary, the Applicant must review, revise and provide a timetable for the implementation of the HVO River Red Gum Strategy for the Hunter River and Wollombi Brook river red gum populations (as shown in Appendix 8), in consultation with DPE Water and BCD, and to the satisfaction of the Planning Secretary. This strategy must be prepared by suitably qualified expert/s, and must include: (a) the conservation and restoration objectives for the river red gum populations; (b) a description of the short, medium and long term measures that would be implemented to conserve and restore the river red gum populations (including measures to address matters which affect the long term health and sustainability of the river red gums such as surface and ground water supply, and controlling weeds, livestock and feral animals); and (c) detailed assessment and completion criteria for the conservation and restoration of the river red gum populations.	River Red Gum Rehabilitation and Restoration Strategy, HVOOC-1797567310-4435, Ver 2.0, 18/08/2025 DPHI (2025) Letter approving the River Red Gum Rehabilitation and Restoration Strategy, dated 26/08/2025 Ecoplanning HVO River Red Gum Monitoring Report, 19 March 2024, Ver 1. 02023_Ecological Surveys, for 2023	The River Red Gum Rehabilitation and Restoration (RRGRR) Strategy (Version 2.0, dated 18/08/2025), prepared by Umwelt (Australia) Pty Ltd, is an updated revision of the 2017 RRGRR Strategy incorporating the findings of 10 years of monitoring (2007–2017) and addressing consultation feedback and requests from the Department. The RRGRR Strategy reflects engagement with DPE Water, BCD, including their feedback, amendments, and subsequent approval. Conservation and restoration objectives for the river red gum populations are detailed in Section 4.2 (Goals and Objectives). Short, medium and long-term management measures are outlined in Section 4.4 and Appendix A (Implementation Plan). Section 4.3 outlines the assessment and completion criteria to be achieved to address the goals of the RRGRR Strategy.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
		Ecoplanning HVO River Red Gum Monitoring Report, 6 March 2025, Ver 1.1 Ecological Surveys, 2024			
Hunter Lowland Red Gum Forest					
S3 C31	The Applicant must protect all stands of the Hunter Lowland Red Gum Forest (also identified as Hunter Floodplain Red Gum Woodland Complex in the EA) endangered ecological community within the site, and adjacent lands under the control of the Applicant, as shown in Appendix 8, to the satisfaction of the Planning Secretary.	River Red Gum Rehabilitation and Restoration Strategy, HVOOC-1797567310-4435, Ver 2.0, 18/08/2025 Ecoplanning HVO River Red Gum Monitoring Report, 19 March 2024, Ver 1. Ecological Surveys, 2023	Appendix 8 of PA 06_0261 identifies four River Red Gum stands (A–D) comprising the mapped Hunter Lowland Red Gum Forest EEC: • Stands A–C – located along the Hunter River; • Stand D – located along Wollombi Brook. The updated River Red Gum Rehabilitation and Restoration Strategy (RRGRR) Strategy, 2025 applies to these Hunter River and Wollombi Brook stands within HVO South, as well as additional River Red Gum forest (Carrington Billabong) present in HVO North. **Monitoring and Management Framework** HVO has undertaken ongoing river red gum monitoring since 2007. Under the RRGRR Strategy the HVO South stands are classified as priority monitoring sites and the Carrington Billabong is monitored annually (and reported against DA 305-10-2003). During the audit period, priority sites were monitored in 2023 only. Ecological monitoring was undertaken by Ecoplanning. The monitoring assesses adult tree condition (using a representative sampling method), regeneration, species composition, and ecological pressures affecting the EEC.	Compliant	

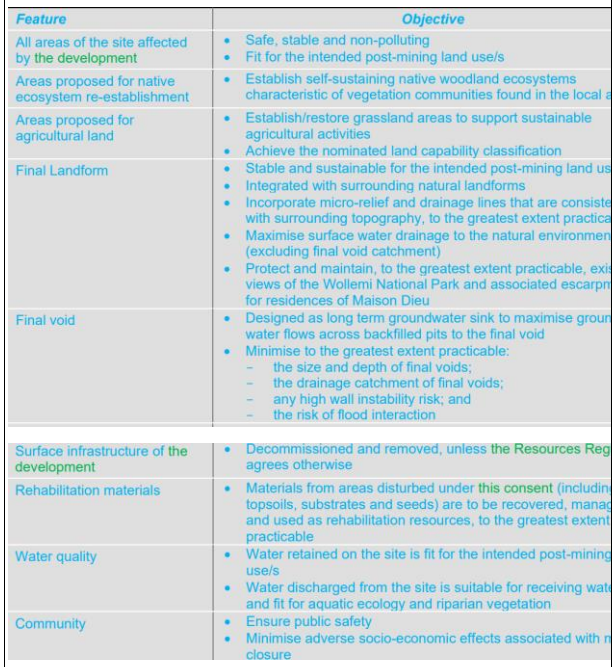
Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			Monitoring results indicate: • The stands persist but display low native species diversity (typically ≤30% of total species). • Historical unrestricted livestock access has caused soil compaction, weed introduction, nutrient loading, sapling grazing, and tree rubbing damage. • Some sites experienced flood-related declines in 2022, with weed cover and reduced mid/ground-layer diversity contributing to lower scores at Wollombi Brook (WB1). • Most other sites have shown stable or improving condition relative to 2021–2022 data. Active management actions include fencing to prevent grazing, improving weed control and enhancing connectivity between stands to improve ecological resilience and fauna movement. HVO has demonstrated active management and monitoring of all River Red Gum stands within its control. HVO is compliant with CCC, noting continuing implementation of RRGRR Strategy actions (particularly stock exclusion and weed management) will further support long-term protection of the Hunter Lowland Red Gum Forest EEC.		
Habitat Management Areas					
S3 C32	Deleted		Noted	Noted	
Strategic Study Contribution					
S3 C33	If, during the development, the Department or the BCD commissions a strategic study into the regional vegetation corridor stretching from the	Discussion with E&D Department	Not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Wollemi National Park to the Barrington Tops National Park, then the Applicant must contribute a reasonable amount, up to $10,000, towards the completion of this study.				
Biodiversity Management Plan					
S3 C33A	The Applicant must prepare a Biodiversity Management Plan to the satisfaction of the Planning Secretary. This plan must: (a) be submitted to the Planning Secretary for approval within 3 months of the determination of Modification 5, unless otherwise agreed by the Planning Secretary; (b) be prepared in consultation with the BCD by a suitably qualified and experienced person/s; (c) describe the short, medium, and long term measures to be undertaken to manage the remnant vegetation and fauna habitat on the site and implement the Biodiversity Offset Strategy (see condition 29); (d) describe the measures to be undertaken to avoid the Southern Biodiversity Area or Northern Biodiversity Area located within the site (see condition 29B); (e) incorporate the River Red Gum Strategy (see condition 30); (f) describe the measures to be undertaken to protect the Hunter Lowland Red Gum Forest endangered ecological community (see condition 31); (g) include detailed performance and completion criteria for evaluating the performance of the Biodiversity Offset Strategy and include triggers for remedial action, where these performance or	Integrated Biodiversity Management Plan (IBMP), Version 3.0, 19/08/2025 DPHI Approval Letter 26/8/25 DCCEEW, Letter, HVO South Integrated Biodiversity Management Plan, 20/2/25 Mosaic Ecology, Hunter Valley Operations Goulburn River BA Habitat monitoring 2022 Mosaic Ecology, Hunter Valley Operations Goulburn River BA Habitat monitoring 2024	HVO has prepared and implemented the Integrated Biodiversity Management Plan (IBMP), which was approved by the Department prior to the commencement of the audit period, with the most recent version (Version 3.0) approved on 26 August 2025. Consultation with the NSW Conservation Programs, Heritage and Regulation (CPHR) Group occurred during preparation of the current IBMP. The IBMP outlines measures to manage remnant vegetation and fauna habitat, references implementation of the Biodiversity Offset Strategy, incorporates avoidance requirements for the Northern and Southern Biodiversity Areas, integrates the River Red Gum Rehabilitation and Restoration Strategy, and is aligned with the Rehabilitation Management Plan. While the IBMP, and through associated management plans, was found to generally address the requirements of condition 33A, the review identified a number of areas where improvements could be made. These include: • Detailed performance and completion criteria, trigger and response frameworks, and seasonally-based monitoring programs required under Condition 33A(g) and (j) are addressed in practice through approved supporting documents, including the Goulburn River Biodiversity Area Management Plan, the River Red Gum Rehabilitation and Restoration Strategy, the EPBC Biodiversity Area Management Plans, and the Rehabilitation	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	completion criteria are not met; (h) include a detailed description of the measures to be implemented on the site and in the biodiversity area/s for: • protecting vegetation and fauna habitat outside the approved disturbance area on the site; • enhancing the quality of existing vegetation, vegetation connectivity and fauna habitat on the site and in the offset areas; • minimising clearing and avoid unnecessary disturbance; • maximising the salvage of resources within the approved disturbance area for beneficial reuse; • collecting and propagate seed; • utilising vegetation for visual screening of the site; • minimising the impacts on fauna on site, including undertaking pre-clearance surveys; • managing salinity; • controlling weeds and feral pests; • controlling erosion; • managing grazing and agriculture on the site; • controlling access; and • manage bushfire hazards; (i) be integrated with rehabilitation for the site; (j) include a seasonally-based program to monitor and report on the effectiveness of the above measures, progress against the detailed performance and completion criteria, and any progressive improvements that could be implemented to improve biodiversity outcomes; (k) monitor and report on the impacts of the development on groundwater dependent ecosystems and riparian vegetation consistent with the Groundwater Monitoring Program, and	Mosaic Ecology, MTW Biodiversity Area Biannual Property Inspections Regional Biodiversity Areas Autumn 2023 report, April 2023 Mosaic Ecology, MTW Biodiversity Area Biannual Property Inspections Regional Biodiversity Areas Spring 2024 report, November 2024 Rural and Environmental Management, Hunter Valley Operations (HVO) Regional Offsets Monthly Inspection Goulburn River Biodiversity Area, 18/10/2023 Rural and Environmental Management,	Management Plan. However, these requirements are not clearly summarised or linked within the IBMP. • The IBMP functions primarily as a high-level “head” document and does not clearly summarise or integrate all performance and completion criteria, remedial triggers, or seasonally-based monitoring arrangements within the IBMP itself. In particular a seasonal monitoring schedule is included for the Goulburn River Biodiversity Area, however, other measures required under Condition 33A(h) are described in general terms only, including, weed control, feral pest management, salinity management, access control, grazing impacts and River Red Gum community performance monitoring. For these measures, the IBMP does not clearly define monitoring frequency, methodologies, performance criteria, or triggers for remedial action and does not clearly link to associated plans for this detail. • Minor administrative issues were also identified, including a formatting error in Table 1-1 and the absence of documented salinity monitoring processes, which HVO advised are now being implemented through routine property inspections but are not yet reflected in the IBMP **Implementation Review** The audit confirmed that the Integrated Biodiversity Management Plan (IBMP) has been effectively implemented during the audit period. Biodiversity management measures and monitoring activities were undertaken in accordance with the approved IBMP and supporting management plans, with monitoring results supported by specialist reports and accurately reflected in Annual Reviews.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	identify trigger levels for the remediation of any material impacts to these ecosystems; (l) identify the potential risks to the successful implementation of the Biodiversity Offset Strategy, and include a description of the contingency measures to be implemented to mitigate against these risks; and (m) include details of who would be responsible for monitoring, reviewing, and implementing the plan. The Applicant must implement the Biodiversity Management Plan as approved by the Planning Secretary *Note: Management measures relating to the Biodiversity Offset Strategy may be addressed via equivalent measures required as part of the long term security arrangement under condition 29A.*	Hunter Valley Operations (HVO) Regional Offsets Monthly Inspection Goulburn River Biodiversity Area, 16/12/2023 Rural and Environmental Management, Hunter Valley Operations (HVO) Regional Offsets Monthly Inspection Goulburn River Biodiversity Area, 16/04/2025 ANU Enterprise, HVO Goulburn River Biodiversity Area Bird Monitoring Report, October 2022 Future Fauna, HVO Goulburn River Biodiversity Area Bird Monitoring Report, October 2024	Monitoring reports (Mosaic Ecology, Rural and Environmental Management, ANU Enterprise, and Future Fauna) were reviewed and compared to the summaries provided in the Annual Reviews. Details published by HVO were consistent with the results presented in monitoring reports. OFI-012: - Review and update the Integrated Biodiversity Management Plan to clearly document and integrate performance and completion criteria, monitoring programs and remedial triggers, and to correct minor administrative and formatting issues, to ensure the Plan clearly demonstrates alignment with the requirements of Condition 33A.		
Progressive Rehabilitation					

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
S3 C34	The Applicant must rehabilitate the site progressively, that is, as soon as reasonably practicable following disturbance. All reasonable steps must be taken to minimise the total area exposed at any time. Interim stabilisation and temporary vegetation strategies must be employed when areas prone to dust generation, soil erosion and weed incursion cannot be permanently rehabilitated. *Note: It is accepted that some parts of the site that are progressively rehabilitated may be subject to further disturbance at some later stage of the development.*	Refer Checklist B4, Clause 5.	An assessment of progressive rehabilitation activities during the audit period has been detailed against Clause 5 of the Mining Regulation Checklist (Checklist A4). Refer this checklist for details.	Compliant	
Rehabilitation Objectives					
S3 C35	The Applicant must rehabilitate the site in accordance with the provisions under the Mining Act 1992 and must be generally consistent with the proposed rehabilitation activities described in the documents listed in condition 2 of Schedule 2 (and shown conceptually in the figure in Appendix 6), and comply with the objectives in Table 16. Table 16: Rehabilitation Objectives	Discussion with E&C Department Rehabilitation Management Plan (RMP), Version 2.0, no date. Rehabilitation Objectives (ROBJ)	The Rehabilitation Management Plan (RMP) addresses the rehabilitation objectives required under the condition. Relevant content is provided in Section 1 (project overview), Section 2.2 (regulatory requirements), and Sections 4 and 5 (rehabilitation strategy, domains and final land use framework). The rehabilitation objectives consistent with Table 16 of the approval are presented in Table 4.1 of the RMP, which were approved by the NSW Resource Regulator in August 2024. HVO continues to undertake progressive rehabilitation in accordance with these objectives, however, no rehabilitation areas have yet been formally signed off as complete. Refer Audit Checklist A4 – Mining Regulation for further details on rehabilitation progress and the RMP implementation status.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			**Socio-economic effects of mine closure** Under the HVO South development consent (PA 06-0261), Schedule 3, Condition 35, Table 16 (Rehabilitation Objectives), HVO is required to minimise the adverse socio-economic effects associated with mine closure. Unlike HVO North, the HVO South consent does not include a requirement to prepare a standalone Rehabilitation Strategy. HVO advised that the Rehabilitation Strategy being prepared to satisfy the HVO North consent will be applied across the whole of the HVO operation, including both HVO North and HVO South, and will include measures to address socio-economic impacts associated with mine closure for both areas. While the Rehabilitation Strategy is only required under the HVO North consent, HVO has indicated that it will be used as the primary mechanism to address closure-related socio-economic considerations across the broader site. It is noted that, subject to approval of the HVO Continuation Project, HVO South is scheduled to close approximately three years earlier than HVO North. As a result, socio-economic impacts associated with mine closure are likely to become relevant for HVO South earlier than for HVO North, and will require appropriate consideration within the timing and implementation of closure-related management measures. At the time of the audit, the Rehabilitation Strategy was under preparation and had not yet reached its regulatory submission deadline. On this basis, and noting HVO's stated intent to address socio-economic closure impacts through the forthcoming Rehabilitation		

Feature	Objective
All areas of the site affected by the development	• Safe, stable and non-polluting • Fit for the intended post-mining land use/s
Areas proposed for native ecosystem re-establishment	• Establish self-sustaining native woodland ecosystems characteristic of vegetation communities found in the local a
Areas proposed for agricultural land	• Establish/restore grassland areas to support sustainable agricultural activities • Achieve the nominated land capability classification
Final Landform	• Stable and sustainable for the intended post-mining land us • Integrated with surrounding natural landforms • Incorporate micro-relief and drainage lines that are consiste with surrounding topography, to the greatest extent practica • Maximise surface water drainage to the natural environmen (excluding final void catchment) • Protect and maintain, to the greatest extent practicable, exis views of the Wollemi National Park and associated escarpm for residences of Maison Dieu
Final void	• Designed as long term groundwater sink to maximise groun water flows across backfilled pits to the final void • Minimise to the greatest extent practicable: – the size and depth of final voids; – the drainage catchment of final voids; – any high wall instability risk; and – the risk of flood interaction
Surface infrastructure of the development	• Decommissioned and removed, unless the Resources Reg agrees otherwise
Rehabilitation materials	• Materials from areas disturbed under this consent (includin topsoils, substrates and seeds) are to be recovered, manag and used as rehabilitation resources, to the greatest extent practicable
Water quality	• Water retained on the site is fit for the intended post-mining use/s • Water discharged from the site is suitable for receiving wat and fit for aquatic ecology and riparian vegetation
Community	• Ensure public safety • Minimise adverse socio-economic effects associated with r closure

Note: The rehabilitation objectives detailed in Table 16 apply to the entire site; however, they do not require any additional earthmoving works to be undertaken to landforms that have been constructed under previous approvals or prior to the approval of Modification 5.

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			Strategy, Condition 35 of Schedule 3 of PA 06-0261 was assessed as compliant during the audit period. OFI-13: HVO should ensure that the Rehabilitation Strategy prepared for HVO North includes consideration of measures to minimise adverse socio-economic effects associated with mine closure of HVO South, noting the absence of a standalone rehabilitation strategy requirement under the HVO South consent.		
Rehabilitation Management Plan					
S2 C36	The Applicant must prepare a Rehabilitation Management Plan for the development in accordance with the provisions under the Mining Act 1992, and carry out the development in accordance with this plan. This plan must: (a) be prepared by suitably qualified expert/s; (b) be prepared in consultation with the Department, DPE Water, and Council by a suitably qualified and experienced person/s; (c) be submitted for approval within 3 months of the determination of Modification 5, unless otherwise approved by the Planning Secretary; (d) be prepared in accordance with any relevant Resources Regulator Guideline; (e) describe how the rehabilitation of the site would achieve the objectives identified in Table 16 and be	DPHI (2022) Combination of RMP and CLRMP, dated 2/12/2022 Rehabilitation Management Plan, Ver 2.0, Approval Date Pending Topsoil_Plan_form, GDP 515, 4/2/2025	The revised Rehabilitation Management Plan (RMP) consolidates HVO North and HVO South into a single rehabilitation framework. The publicly available version on the HVO website Rehabilitation Management Plan, Version 2.0 (Approval Date Pending) has been uploaded to meet the publication requirements of the NSW Mining Regulation 2016 however at the time of the audit the RMP remained subject to approval by the Department. The RMP defines objectives for landform stability, drainage, ecosystem function, and final land use. The plan includes a detailed conceptual layout for progressive rehabilitation, integrates with mining lease obligations under the Mining Act 1992, and provides clear measures and indicative closure timeframes. In relation to offsets and the integration with regional vegetation corridors, the reader is directed to the HVO Integrated Biodiversity Management Plan. Overall, the	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	integrated with the measures in the Biodiversity Management Plan; (f) include detailed performance and completion criteria for evaluating the performance of progressive and final rehabilitation and include triggers for remedial action, where these performance or completion criteria are not met; (g) describe the measures to be implemented to meet the performance and completion criteria, to ensure compliance with the relevant conditions of this consent and to address all aspects of rehabilitation including mine closure, final landform (including the final void), final land use/s, and water management in the final landform; (g) include procedures for the use of interim stabilisation and temporary vegetation strategies, where reasonable to minimise exposed areas; (h) include a program to monitor, independently audit and report on the effectiveness of the rehabilitation measures, and progress against the performance and completion criteria; (i) identify the potential risks to the successful implementation of rehabilitation, and include a description of the contingency measures to be implemented to mitigate against these risks; and (j) include details of who would be responsible for monitoring, reviewing, and implementing the plan.		plan provides a framework for landscape management and rehabilitation across the site. **Implementation of the RMP** Refer Audit Checklist A4 – Mining Regulation for further details on rehabilitation progress and the RMP implementation status. HVO was considered to have adequately implemented the RMP during the audit period.		
S3 C37	Deleted				
S3 C38	Deleted				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
Conservation and Biodiversity Offset Implementation Bond					
S3 C39	By the end of March 2013, the Applicant must lodge a conservation bond with the Department to ensure that the Biodiversity Offset Strategy is implemented in accordance with the performance and completion criteria of the Biodiversity Management Plan. The sum of the bond must be determined by: (a) calculating the full cost of implementing the offset strategy (other than land acquisition costs); and (b) employing a suitably qualified quantity surveyor to verify the calculated costs. The calculation of the conservation bond must be submitted to the Department for approval at least 1 month prior to the lodgement of the bond. The conservation bond must be reviewed and if required, an updated bond must be lodged with the Department within 3 months following: (a) any update or revision to the Biodiversity Management Plan; (b) the completion of an Independent Environmental Audit in which recommendations relating to the implementation of the Biodiversity Offset Strategy have been made; or (c) in response to a request by the Planning Secretary. If the offset strategy is completed generally in accordance with the completion criteria in the Biodiversity Management Plan to the satisfaction	Discussion with E&C Department RPS (2020) Independent Environmental Audit Report 2019	This requirement was fully met prior to the current audit period, with correspondence confirming that the conservation bond was lodged with the Department in December 2016. No revisions to the Biodiversity Management Plan or other triggers occurred during the current audit period that would require an update to the bond. On this basis, the condition is assessed as Not Triggered for the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	of the Planning Secretary, the Planning Secretary will release the bond. If the offset strategy is not completed generally in accordance with the completion criteria in the Biodiversity Management Plan, the Planning Secretary will call in all or part of the conservation bond, and arrange for the satisfactory completion of the relevant works. With the agreement of the Planning Secretary, this bond may be combined with rehabilitation security deposit administered by the Resources Regulator, and may be combined with bonds in respect of offsets required for Warkworth Mine.				
Aboriginal Heritage					
Aboriginal Heritage Management Plan					
S3 C40	The Applicant must prepare an Aboriginal Heritage Management Plan for the development to the satisfaction of the Planning Secretary. The Plan must: (a) be prepared in consultation with Heritage NSW and the Aboriginal community; (b) be submitted to the Planning Secretary for approval within 12 months of this consent or as otherwise agreed by the Planning Secretary; and (c) include: CONSOLIDATED CONSENT NSW Government Department of Planning and Environment 20 • measures to be taken to avoid impacts to Aboriginal cultural heritage values at all stages of the development. If impacts are unavoidable,	Arrow Heritage Solutions: Hunter Valley Operations South Aboriginal Heritage Management Plan April 2024 Compliance Audit Inspection 05/06/2024 HVO South Aboriginal Cultural Heritage Management,	HVO South operates under the HVO South Aboriginal Cultural Heritage Management Plan (ACHMP), Version 6.0 (02/10/2024). Management of Aboriginal heritage is undertaken separately for HVO North and HVO South. As a State Significant Development, the HVO South area is not required to obtain Aboriginal Heritage Impact Permits (AHIPs) for cultural heritage management activities carried out in accordance with the HVO South ACHMP. Auditors were advised that an updated HVO South ACHMP has been drafted, with references to AHIPs removed and minor wording updates included. The	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	mitigation measures are to be negotiated with the Aboriginal community; • a program for the recording, salvage and surface collection of Aboriginal objects/sites within the site; • a program for the conservation of the other Aboriginal objects/sites within the site, including measures to secure, analyse and record the objects/sites; • definition of restricted access zones to protect Sites 26-44, 47-58, 84-100, 102-104 and 107-109 from disturbance; • measures to ensure potential impacts to Sites 26-44, 47-58 and 107-109 by the proposed rail spur and loop are avoided; • measures to provide for the controlled collection of Sites 1-24, 59-79, 80-83, 101 and 105-106, where avoidance of impacts by planned mining and infrastructure activities is not possible; • provision for a long term 'keeping place' and care and control plan for any Aboriginal objects recovered from the site; • provisions for Aboriginal cultural heritage awareness training for all HVO South employees, and as a component of mine site inductions for contractors working at HVO South; • a description of the measures that would be implemented if any Aboriginal skeletal remains are discovered during the development; • a protocol for the ongoing consultation and involvement of the Aboriginal community in the conservation and management of the Aboriginal heritage of the objects/sites; and • a protocol for the regular review of the Plan's effectiveness. The Applicant must implement the Aboriginal Heritage Management Plan as approved by the Planning Secretary.	Version 6.0, 02/10/2024 Arrow Heritage Solutions, Wilton/Mitchell Pit Extension Aboriginal Cultural Heritage Site Salvage Program, AHIP 5219, May 2024	draft was issued to RAPs for comment and is currently undergoing internal review before submission to the Department. This updated plan has not yet been lodged for approval. A program of cultural heritage compliance inspections is in place, with inspections undertaken twice yearly by the cultural heritage specialist and RAP representatives. The auditor sighted the HVO South ACHMP April 2024 Compliance Audit Inspection Report (dated 05/06/2024) prepared by Arrow Heritage during the site visit. Management measures observed included the use of the Cultural Heritage GIS and Cultural Heritage Zone Plan, Ground Disturbance Permit (GDP) assessments prior to works, Limit of Disturbance Boundary (LODB) procedures, routine inspections and audits, and protective measures such as fencing, barricading and buffer zones. There are inconsistencies in the effective and review dates, and version numbers within the HVO South Aboriginal Cultural Heritage Management Plan. The cover page identifies an effective date of 2/10/2024 with a review date of 28/06/2025, while the body of the document lists an effective date of 16/04/2025 and a review date of 16/04/2028. The version references also differ, between Version 6.0 on the cover page, and Version 2.0 in the footer of the document. OFI-015: It is recommended that HVO consider consolidating the North and South Cultural Heritage Management Plans into a single Cultural Heritage Management Plan to streamline management processes and ensure consistency across operations.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Notes: *• The Aboriginal cultural heritage sites and site numbers referenced in this condition are provided in Section 12 and Annex M of the EA.*				
TRANSPORT AND UTILITIES					
Monitoring of Coal Transport					
S3 C41	The Applicant must keep records of the amount of coal transported from the site each year, and include these records in the Annual Review.	Annual Reviews 2022, 2023, 2024 Discussion with E&C Department Site Inspection	Coal is transported from site to the rail network using two load-out facilities. Coal processed through the Hunter Valley Coal Preparation Plant (HVCPP) is conveyed via an overland conveyor to the Hunter Valley Load Point (HVLP) and the Newdell Load Point (NLP). Coal from the Howick Coal Preparation Plant (HOCPP) is hauled by truck along internal private roads to the NLP. Once at either HVLP or NLP, product coal is loaded onto trains for transport to the Port of Newcastle. Records of the amount of coal transported (transportation summaries) were sighted in Section 4.1.1 of the Annual Reviews.	Compliant	
Coal Haulage Limits					
S3 C42	The Applicant must not transport coal from the development by public roads, unless otherwise approved by the Planning Secretary.	Discussion with E&C Department Site Inspection	Coal is transported exclusively via internal haul roads, overland conveyors, and rail load-out facilities. No coal is transported on public roads.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
Relocation of Comleroi Road					
S3 C43	The Applicant must: (a) prior to construction, consult with all road users and Council about the proposed road works and their timing; (b) develop and implement procedures for road closures and diversions to be undertaken during the construction of the relocated road; and (c) construct the relocated section of the road to the satisfaction of Council	Discussion with HVO E&C Department Annual Reviews Site Inspection	Comleroi Road relocation was part of expansion scope for HVO South however the works were not completed.	Not Triggered	
Jerrys Plains Road Heavy Equipment Crossing					
S3 C44	Prior to the relocation of any heavy equipment, to or from the development, that would require Jerrys Plains Road to be closed to public traffic, the Applicant must obtain approval for each planned road closure from TfNSW and then undertake each transfer of equipment across Jerrys Plains Road in accordance with any approval obtained from TfNSW for this purpose.	Discussion with HVO E&C Department Annual Reviews Site Inspection	This conditionw as not triggered during the audit period.	Not Triggered	
Coal Conveyor to HVO North					
S3 C45	The Applicant must design and construct the conveyor to HVO North to the satisfaction of the Resources Regulator and DPE Water. A copy of all final documentation must be provided to the Planning Secretary within 6 months of the completion of its construction.	Discussion with HVO E&C Department Annual Reviews Site Inspection	This conditionw as not triggered during the audit period.	Not Triggered	
S3 C46	Deleted				
Hunter Valley Gliding Club Co-operative Limited					

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
S3 C47	While HVGC continues to use its facilities within the site, the Applicant must maintain an agreement with HVGC to address the potential impact of the mine on the use and operation of HVGC's facilities, including the potential impacts to the flight paths from dragline operations. This agreement must take into consideration the impacts of the dragline position on: • useable length of the runway; • interference with flight paths; and • guidelines of the Civil Aviation Safety Authority. *Note: This condition shall cease to operate if both parties agree to terminate the agreement and the need for an agreement.*	Hunter Valley Gliding Club Amenity Management Plan, 21/06/2024, version 9.6 Concession and Mitigation Agreement 05/02/2013	The Hunter Valley Gliding Club Amenity Management Plan has been prepared to address the risks and mitigations in place associated with the HVGC. An agreement was entered into in 2013 between HVGC and Coal and Allied. This agreement was still in place at the time of the audit.	Compliant	
S3 C48	The Applicant must not conduct any activity associated with the development above the obstacle limitation surface (OLS) as shown in Figure 2.3 of the HVO South Coal Project Response to Submissions Report (July 2008) unless agreed with HVGC.	Hunter Valley Gliding Club Amenity Management Plan, Version: 9.6, 21/06/2024 Site Inspection	The Hunter Valley Gliding Club (HVGC) Amenity Management Plan identifies the 53.7-metre dragline as a potential air-safety concern for HVGC when positioned within the Glider Pit, and applies CASA aerodrome guidelines given the absence of glider-specific standards to define and protect the Obstacle Limitation Surface (OLS) for the HVGC runway. The dragline ceased operation in 2023 and was stored in HVO north at the time of the inspection in preparation for dismantling. Mine design and dump planning have been developed to avoid breaching the OLS wherever possible, ensuring no permanent landforms or structures encroach on protected airspace, with only temporary equipment movements presenting short-term intrusions. Although mining in Glider Pits 1 and 2 has ceased, any future operations would involve lowering dump surfaces to stay below the OLS, and currently only rehabilitation works present any potential to affect low-flying aircraft during take-off and landing. HVO may only breach the OLS under strict management and	Compliant.	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			notification protocols, as outlined in Section 7.2.2, and only with prior agreement from HVGC.		
S3 C49	The Applicant must develop an Amenity Management Plan for HVGC's facilities within the site. This Plan must: (a) be prepared in consultation with HVGC; (b) be submitted to the Planning Secretary for approval 6 months prior to the commencement of mining in the Riverview South East Extension Area, or otherwise agreed by the Planning Secretary; (c) include a risk assessment to identify those circumstances most likely to generate impacts from mining operations on gliding activities and use of the club's residential facilities; (d) include details of any proposed modifications to the HVO South mine plan to mitigate the potential impacts identified in the risk assessment required under paragraph (c); (e) identify and implement management measures for mining activities to ensure that air safety impacts are minimised and the OLS limits in condition 48 are adhered to; (f) identify and implement management measures for mining activities to ensure that air quality and noise emissions meet respective impact assessment criteria, or obtain written agreement from HVGC to exceed these criteria; (g) include a program to monitor and report on the effectiveness of the mine plan modifications required	Hunter Valley Gliding Club Amenity Management Plan, Version: 9.6, 21/06/2024	The Hunter Valley Gliding Club Amenity Management Plan was assessed against Schedule 3, Condition 49 of PA 06_0261. The plan was developed in consultation with HVGC, with details of the consultation outcomes provided in Appendix F. Approval from DPHI is included in Appendix E. The Hunter Valley Gliding Club Amenity Management Plan is a staged plan with management actions linked to the mining status of the Permitted Mining Areas, which include Glider Pit 1, Glider Pit 2 and South Lemington Pit 2 (Glider Pit 3). Mining is not currently occurring or planned in these areas; Glider Pit 1 has been partially mined and rehabilitated, Glider Pit 2 has been fully mined and rehabilitated, and South Lemington Pit 2 is yet to be mined, with the AMP to be reviewed in consultation with the Hunter Valley Gliding Club (HVGC) 12 months prior to mining commencing. Although not a Permitted Mining Area, South Lemington Pit 1 has been partially mined and may be mined in future. The Hunter Valley Gliding Club Amenity Management Plan includes a risk assessment that identifies circumstances likely to impact gliding activities and residential use, detailed in Section 4.1 (c), and it describes the mine plan modifications developed to mitigate these risks in Section 4.2 (d). Measures to minimise air safety risks and ensure compliance with OLS limits are provided in Sections 6.2 and 7.2 (e), while air quality and noise management measures consistent with approval criteria or negotiated	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	under paragraph (d) and the management measures required under paragraphs (e) and (f); and (h) include notification procedures for prior notification of potentially disruptive activities at either HVO South or the HVGC site and procedures for notifying HVGC of any exceedances of the relevant impact assessment criteria and/or OLS limits at HVO South, to the satisfaction of the Planning Secretary. If the Applicant and HVGC cannot agree on the level or composition of the Amenity Management plan, then either party may refer the matter to the Planning Secretary for resolution. Should HVGC cease to operate its facilities at the site, the Applicant's obligations under this condition shall cease. The Amenity Management Plan, must be reviewed in consultation with HVGC and if necessary updated, prior to the commencement of mining in South Lemington Pit 2.		agreements are set out in Sections 6.3 and 6.4 (f). The AMP also establishes monitoring and reporting programs to assess the effectiveness of these controls, documented in Sections 4.2, 6.3.2 and 6.4.2 (g), and includes detailed notification procedures for potentially disruptive activities and any exceedances in Sections 7.1–7.5 (h). Additionally, it incorporates mechanisms for referral to the Planning Secretary if agreement cannot be reached and provides for review prior to mining in South Lemington Pit 2, as described in Section 8. HVO implement a targeted noise and air quality monitoring program that uses a combination of real-time and attended monitoring, supplemented by specific PM10, PM2.5 and dust monitoring to assess compliance with approval criteria. When trigger levels or exceedances occur, HVO must investigate, adjust operations where necessary, and implement mitigation measures, including formal notification and complaint-response procedures.		
VISUAL AMENITY					
Lighting Emissions					
S3 C50	The Applicant must: (a) ensure no external lights shine above the horizontal; (b) ensure that all external lighting associated with the development complies with Australian Standard AS4282 (INT) 1995 – Control of	Complaints Register (2023–2025) Site Inspection	HVO have conducted lighting reviews to confirm adgrerence to AS 4282. The last lighting audit eas conducted in 2022 prior to the audit period commencing, however minimal changes have occurred since the audit was conducted. No active recommendations for improvement were in place.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Obtrusive Effects of Outdoor Lighting, or its latest version, and (c) take all practicable measures to mitigate off-site lighting impacts from the development to the satisfaction of the Planning Secretary.		The audit site inspection was conducted during daylight hours only, and therefore direct observation of lighting performance, light spill, or glare conditions at night was not possible. However, the complaint response processes, procedural improvements, and absence of lighting concerns from HVO South's operations provide reasonable assurance that HVO is implementing all practicable measures to mitigate off-site lighting impacts.		
Visual Impact Mitigation					
S3 C51	Within 12 months of this consent, or otherwise agreed by the Planning Secretary, the Applicant must prepare a visual impact mitigation report for the development to the satisfaction of the Planning Secretary. This report must: (a) be prepared in consultation with Council; (b) identify the privately-owned residences and public roads that are likely to experience significant additional visual impacts from the development during its operation; and (c) describe (in general terms) the mitigation measures that could be implemented to reduce the visibility of the mine from these residences and roads.	RPS, 2022 Independent Environmental Audit, Hunter Valley Operations, Version 1, 30 June 2023.	This was completed before the audit period as reported in the previous IEAs.	Not Triggered	
S3 C52	Within 3 months of the Planning Secretary approving this report, the Applicant must advise all owners of residences identified in the report that they are entitled to mitigation measures to reduce the visibility of the mine from their properties and reach agreement with Council about mitigation measures (if any) to be implemented for public roads. If the Applicant and Council cannot agree about these measures, the matter must be	RPS, 2022 Independent Environmental Audit, Hunter Valley Operations, Version 1, 30 June 2023.	This was completed before the audit period as reported in the previous IEAs.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	referred by either party to the Planning Secretary for resolution. *Note: The additional visual impact mitigation measures must be aimed at reducing the visibility of the mine from significantly affected residences and do not necessarily require measures to reduce visibility of the mine from other locations on the affected properties. The additional visual impact mitigation measures do not necessarily have to include measures on the affected property itself (i.e. the additional measures may consist of measures outside the affected property boundary that provide an effective reduction in visual impacts).*				
GREENHOUSE & ENERGY EFFICIENCY					
S3 C53	The Applicant must implement all reasonable and feasible measures to minimise greenhouse gas emissions from the development to the satisfaction of the Planning Secretary.	Refer evidence against Schedule 3, Condition 4 of DA 450-10-2003.	Refer Schedule 3, Condition 4 of DA 450-10-2003.	Compliant	
S3 C54	Deleted				
WASTE					
S3 C55	The Applicant must: (a) monitor the amount of waste generated by the development; (b) investigate ways to reuse, recycle or minimise this waste; (c) implement reasonable and feasible measures to minimise this waste; (d) ensure irrigation of treated wastewater is undertaken in accordance with EPA's Environmental Guideline for the Utilisation of Treated Effluent; and (e) report on waste management and minimisation in the Annual	HVO Non-Mineral Waste Management Plan, Version 4.0 18/11/2022 (review due 18/11/2025) 5 May 2024 HVO Monthly Waste Report – Waste Statistics	Waste is managed in accordance with the Waste Management System and the Non-Mineral Waste Management Pla, with waste-minimisation measures detailed in Section 3.2. HVO operates to an 80% recycling target. Cleanaway was the licensed waste contractor until March 2025, after which J.R. Richards was engaged. Waste generation and collection data are monitored through: • EPA Waste Tracking Reports; and	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	Review to the satisfaction of the Planning Secretary.	JR Richards 2508 Glencore – Waste Management Report, August 2025 Sample of EPA Waste Tracking Requirement Reports (Renewable Waste Oil), 28 July 2025, 30 June 2025	• Monthly Total Waste Management Reports provided by the contractor (formerly Cleanaway and now J.R. Richards), which outline collected waste volumes and identify licensed disposal facilities, ensuring traceability and compliance with EPA dangerous • tracking requirements. Waste performance is reported annually in the HVO Annual Reviews, which are approved by the Secretary. Auditors sighted the August Waste Management Report (2508 Glencore HVO Waste Management Report), confirming year-to-date data from March 2025 onwards. The Waste Management Plan requires monthly inspections of waste management across the site. These inspections are carried out collectively by several departments. Monthly environmental inspections also include checks of waste and hydrocarbon storage areas, depending on the location being assessed. From Annual Reviews, between 2022–2024, HVO minimised waste generation by: • Maintaining very high recycling rates (89-93%), ensuring only a small proportion of waste required disposal. • Recycling large volumes of hydrocarbons, with waste oil consistently recovered and refined into base oils, and waste grease sent to licensed recyclers. • Diverting scrap steel and other recyclable streams away from landfill.		

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			No irrigation of wastewater occurred during the audit period.		
S3 C56	Within 12 months of this consent or otherwise agreed by the Planning Secretary, the Applicant must install and operate a wastewater treatment system with adequate capacity to treat wastewater loads from the Lemington workshop and facilities, to the satisfaction of EPA.		This requirement was fulfilled prior to the audit period (installation completed in 2011) and is therefore not applicable.	Not triggered	
S3 C57	Except as expressly permitted in a licence under the Protection of the Environment Operations Act 1997 or by the Protection of the Environment Operations Amendment (Scheduled Activities and Waste) Regulation 2008, waste must not be: (a) received at the development site for storage, treatment, processing or disposal; or (b) disposed of at the development site.	HVO Tyre and Rim Management Plan, Version 11.0, 7/11/2024 Annual Return Report, 2024 EPL 640 Heavy Plant -Tyre disposal Report 2024-2025 CMO, Tyre use photographs, Bunding Delineation examples Tech Services email, Tyre Dumps, 23/09/2025	The EPL permits waste tyres only. Refer to EPL O7.1	Compliant	
HAZARDS					
Dangerous Goods					
S3 C58	On-site manufacturing, storage and handling of all Dangerous Goods and Hazardous Substances must be undertaken in accordance with:	Explosives Storage and Stock Control	Refer to Schedule 3 Condition C59 of DA 450-10-2003 Consent (Appendix A1).	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	(a) NOHSC National Code of Practice for Storage and Handling of Workplace Dangerous Goods (2001); (b) NSW Code of Practice for Managing Risks of Hazardous Chemicals in the Workplace (2019); (c) the requirements of relevant Australian Standards, particularly AS1940: The storage and handling of flammable and combustible liquids and AS 4326 The Storage and Handling of Oxidising Agents; and (d) SAFEX International Good Practice Guide: Storage of Solid Technical Grade Ammonium Nitrate GPG-02. *Note: Explosives and explosive precursors must be managed in accordance with the requirements of the Resources Regulator*	Version 3.0, 29/05/2025 Dangerous Goods Management Procedure Explosives and Security Sensitive dangerous substances (SSDS) Security, Version 8.0, 29/05/2025 Explosive Principal Control Document Version 5.0 7/7/2025 GCAA, 11.07 Hydrocarbon Management Protocol, Version 5.0, 02/12/2024 SLR, Flammable & Combustible Liquids Audit AS 1940-2017 Audit, Version 0.1, 5/12/2018 HVO, Hydrocarbon Management Plan. Version 1.0 16/04/2025 Explosives Storage and Stock Control			

<table>
<tr><th>Condition of Consent</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non Compliance Reference</th></tr>
<tr><td></td><td></td><td>Procedure (HVOOC-1797567310-3256), dated 29/05/2025</td><td></td><td></td><td></td></tr>
<tr><td>S3 C58A</td><td>Unless otherwise agreed by the Planning Secretary, the storage of dangerous goods and hazardous
materials for the ANE Plant, as described in the Modification Report (MOD 6), must not exceed the quantities provided in Table 17.

Table 17: ANE Plant Dangerous Goods Storage<table><tr><td>ANE Tanks</td><td>2x 70 Tonne Tanks</td></tr><tr><td>AN Transit Bin</td><td>96 Tonne Bin</td></tr><tr><td>Stack of HDAN UN 1942</td><td>1x 100 t Stack</td></tr><tr><td>Diesel Tanks (Class 1 Combustible Liquid)</td><td>74,000 Litres</td></tr><tr><td>Sodium Nitrite (Class 5.1)</td><td>5,000 kg</td></tr><tr><td>Gassing Solution (Class 5.1)</td><td>10,000 Litres</td></tr><tr><td>Thiourea (Class 9)</td><td>15,000 kilograms</td></tr><tr><td>Acetic Acid (Class 8)</td><td>15,000 Litres</td></tr><tr><td>ANSOL (Class 5.1)</td><td>80,000 Litres</td></tr></table></td><td>Periodic Inspection 20250526 AECI, 26/05/2025

AECI Mining Explosives, Daily Stock Count HVO South, 24/05/2025</td><td>The Ammonium Nitrate Emulsion (ANE) Facility located in the southern area is managed by AECI Australia Pty Ltd (formerly managed by Orica Australia). HVO maintains an internal system for reviewing fuel farm storage, and the Continuation Project is expected to trigger future upgrades.

The Environment & Community (E&C) Department conducts regular inspections of the ANE plant to verify compliance with storage requirements. Evidence sighted includes a completed monthly environmental inspection checklist dated 26/05/2025, which reviewed C58A requirements and included photographic records.

Daily stock counts are maintained at HVO South through handwritten checklists verifying quantities stored. These controls demonstrate adherence to the condition limiting dangerous goods and hazardous materials to the quantities specified in Table 17.</td><td>Compliant</td><td></td></tr>
<tr><td>S3 C58B</td><td>The Applicant may transfer ANE manufactured on-site to HVO North but must not transfer ANE to other surrounding mines.</td><td>Discussion with E&C Department
Periodic Inspection 20250526 AECI, 26/05/2025

AECI Mining Explosives, Daily Stock Count HVO South, 24/05/2025</td><td>There was no evidence to show ANE is being transferred to anywhere other than HVO North.</td><td>Compliant</td><td></td></tr>
</table>

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
S3 C58C	In the event of an inconsistency between the requirements of condition 58, the most stringent requirement must prevail to the extent of the inconsistency		This is noted	Noted	
S3 C58D	The Applicant must ensure that storage of medium density and high-density ammonium nitrate within the AN Storage Compound must not exceed 7,250 tonnes and must be stored in individual stockpiles not exceeding 250 tonnes.	Periodic Inspection 20250526 AECI, 26/05/2025	This condition was verified through the environmental inspections.	Compliant	
S3 C58E	Opening or decanting of all ammonium nitrate bulk bags stored within the AN Storage Compound must only occur within an appropriately bunded and enclosed space with a sealed floor. *Note: The locations of the ANE Plant and the AN Storage Compound are shown on Figure 1B in Appendix 2*	Discussion with E&C Department Periodic Inspection 20250526 AECI, 26/05/2025, photographs of decanting location and ammonium nitrate bulk bag storage.	Photographs from periodic inspections show a designated decanting and bag-opening area located between bunds. Bags are transferred inside the shed and placed into a hopper, which automatically pierces and opens them before conveying the material.	Compliant	
Fire Control					
S3 C59	During the development, the Applicant must: (a) ensure that it maintains suitable equipment to respond to any fires on site; and (b) assist the rural Fire service and emergency services as much as possible if there is a fire on site.	Bushfire Management Plan, Version 5.0, 19/07/2023. RFS (2022) email titled HVO Bushfire Management plan, dated 31/10/2022 Singleton Council, Planning HVO – Response re	HVO operate under the Bushfire Management Plan (2023), which applies to both HVO North and HVO South. The Bushfire Management Plan was prepared in consultation with Council (Appendix E) and the Rural Fire Service (Appendix F). An updated Version 6.0 has been submitted to the RFS and HVO, with formal endorsement pending. The E&C Team conducts an annual bushfire fuel load assessment during winter, and the spreadsheet sighted documented the assessed risk categories and results. Fire danger ratings are communicated to all personnel	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
		Bushfire Management Plan Review, dated 9/3/2023 HVO Non Mine Bushfire Prep Works, 2025 (Spreadsheet) Non-Mine Fuel Load Assessment Tab, Firebreak Maintenance Tab and Firebreak Maps. Enright Scheduling Sheet 2023, 2024, 2025.	each morning. E&C inspections also confirmed that fire trails are routinely inspected and maintained by the vegetation maintenance contractor. Fire-fighting equipment was also sighted during the Site Inspection, confirming that suitable equipment is maintained on site.		
S3 C60	The Applicant must ensure that it maintains a Fire Management Plan for the site, in consultation with Council and the Rural Fire Service.	Bushfire Management Plan, Version 5.0, 19/07/2023	HVO implements the Bushfire Management Plan which has been prepared for HVO in accordance with Schedule 3, Conditions 59 and 60.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
SCHEDULE 4 ADDITIONAL PROCEDURES FOR AIR QUALITY AND NOISE MANAGEMENT					
NOTIFICATION OF LANDOWNERS					
S4 C1	Within 1 month of this consent, the Applicant must notify the landowners of the land listed in Table 1 in writing that they have the right to require the Applicant to acquire their land at any stage of the development (subject to the note to that Table).	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	
S4 C2	If the results of monitoring required in Schedule 3 identify that impacts generated by the development are greater than the relevant impact assessment criteria in Schedule 3, except where this is predicted in the documents listed in condition 2 of Schedule 2 or where a negotiated agreement has been entered into in relation to that impact, then the Applicant must, within 2 weeks of obtaining the monitoring results, notify the Planning Secretary, the affected landowners and tenants (including tenants of mine owned properties) accordingly, and provide quarterly monitoring results to each of these parties until the results show that the development is complying with the criteria in Schedule 3.	Discussion with E&C Department	This condition was not triggered during the audit period.	Not Triggered	
S4 C3	If the results of monitoring required in Schedule 3 identify that impacts generated by the development are greater than the relevant air quality impact assessment criteria in Schedule 3, then the Applicant must send the relevant landowners and tenants (including tenants of mine owned properties) a copy of the NSW Health fact sheet entitled “Mine Dust and You” (and associated updates) in conjunction with the notification required in condition 2.	Discussion with HVO E&C Department Review of resident notification process	Exceedances of the annual average criteria for TSP measured by the Warkworth HVAS were recorded in 2023 and 2024. Upon becoming aware of the exceedances HVO notified the Department and informed then that notifications to relevant landholders in accordance with Condition 3 of Schedule 4 will occurr where required. Based on the exceedance events reviewed, the auditors confirmed that HVO appropriately determined when notification obligations applied and issued notifications to affected residents in	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
			accordance with the requirements of the condition. On this basis, Schedule 4, Condition 3 is assessed as compliant for the audit period.		
INDEPENDENT REVIEW					
S4 C4	If a landowner considers the development to be exceeding the impact assessment criteria in Schedule 3, then he/she may ask the Planning Secretary in writing for an independent review of the impacts of the development on his/her land. If the Planning Secretary is satisfied that an independent review is warranted, the Applicant must within 3 months of the Planning Secretary's decision: (a) consult with the landowner to determine his/her concerns; (b) commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Planning Secretary, to conduct monitoring on the land, to: • determine whether the development is complying with the relevant impact assessment criteria in Schedule 3; and • identify the source(s) and scale of any impact on the land, and the development's contribution to this impact; and (c) give the Planning Secretary and landowner a copy of the independent review.	Discussion with HVO E&C Department	This condition was not triggered during the audit period.	Not Triggered	
S4 C5	If the independent review determines that the development is complying with the relevant impact assessment criteria in Schedule 3, then the Applicant may discontinue the independent review with the approval of the Planning Secretary. If the	Discussion with HVO E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	independent review determines that the development is not complying with the relevant impact assessment criteria in Schedule 3, and that the development is primarily responsible for this noncompliance, then the Applicant must: (a) implement all reasonable and feasible measures, in consultation with the landowner, to ensure that the development complies with the relevant criteria, and conduct further monitoring to determine whether these measures ensure compliance; or (b) secure a written agreement with the landowner to allow exceedances of the relevant impact assessment criteria, to the satisfaction of the Planning Secretary. However, if the further monitoring referred to under paragraph (a) above determines that the development is complying with the relevant impact assessment criteria, then the Applicant may discontinue the independent review with the approval of the Planning Secretary. If the independent review determines that the development is not complying with the relevant land acquisition criteria in Schedule 3, and that the development is primarily responsible for this non-compliance, then the Applicant must offer to acquire all or part of the landowner's land in accordance with the procedures in conditions 7-9 below, to the satisfaction of the Planning Secretary.				
S4 C6	If the independent review determines that the relevant impact assessment criteria in Schedule 3 are being exceeded, but that more than one mine is responsible for this non-compliance, then the Applicant shall, together with the relevant mine/s:	Discussion with HVO E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	(a) implement all reasonable and feasible measures, in consultation with the landowner, to ensure that the relevant impact assessment criteria are complied with, and conduct further monitoring to determine whether these measures ensure compliance; or CONSOLIDATED CONSENT NSW Government Department of Planning and Environment 25 (b) secure a written agreement with the landowner and other relevant mines to allow exceedances of the relevant impact assessment criteria in Schedule 3, to the satisfaction of the Planning Secretary. If the further monitoring referred to under paragraph (a) above determines that the development is complying with the relevant impact assessment criteria in Schedule 3, then the Applicant may discontinue the independent review with the approval of the Planning Secretary. If the independent review determines that the relevant land acquisition criteria in Schedule 3 are being exceeded, but that more than one mine is responsible for this non-compliance, then the Applicant shall acquire all or part of the landowner's land on as equitable basis as possible with the relevant mine/s, in accordance with the procedures in conditions 7-9 below, to the satisfaction of the Planning Secretary.				
LAND ACQUISITION					
S4 C7	Within 3 months of receiving a written request from a landowner with acquisition rights, the Applicant shall make a binding written offer to the landowner based on:	Discussions with E&C Department	Acquisitions have occurred previously; however, none have occurred during this audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	(a) the current market value of the landowner's interest in the property at the date of this written request, as if the property was unaffected by the development the subject of the development application, having regard to the: • existing and permissible use of the land, in accordance with the applicable planning instruments at the date of the written request; and • presence of improvements on the property and/or any approved building or structure which has been physically commenced at the date of the landowner's written request, and is due to be completed subsequent to that date, but excluding any improvements that have resulted from the implementation of 'additional noise mitigation measures' in condition 4 of schedule 3, 'additional air quality impact mitigation measures' in condition 21 of schedule 3, or 'additional visual impact mitigation measures' in condition 52 of schedule 3; (b) the reasonable costs associated with: • relocating within the Singleton or Muswellbrook local government areas, or to any other local government area determined by the Planning Secretary; • obtaining legal advice and expert advice for determining the acquisition price of the land, and the terms upon which it is to be acquired; and (c) reasonable compensation for any disturbance caused by the land acquisition process.				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	However, if following this period, the Applicant and landowner cannot agree on the acquisition price of the land and/or the terms upon which the land is to be acquired, then either party may refer the matter to the Planning Secretary for resolution. Upon receiving such a request, the Planning Secretary shall request the President of the NSW Division of the Australian Property Institute (the API) to appoint a qualified independent valuer to: (a) consider submissions from both parties; (b) determine a fair and reasonable acquisition price for the land and/or the terms upon which the land is to be acquired, having regard to the matters referred to in paragraphs (a)-(c) above; (c) prepare a detailed report setting out the reasons for any determination; and (d) provide a copy of the report to both parties. Within 14 days of receiving the independent valuer's report, the Applicant must make a binding written offer to the landowner to purchase the land at a price not less than the independent valuer's determination. However, if either party disputes the independent valuer's determination, then within 14 days of receiving the independent valuer's report, they may refer the matter to the Planning Secretary for review. Any request for a review must be accompanied by a detailed report setting out the reasons why the party disputes the independent				

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non Compliance Reference
	valuer's determination. Following consultation with the independent valuer and both parties, the Planning Secretary shall determine a fair and reasonable acquisition price for the land, having regard to the matters referred to in paragraphs (a)-(c) above and the independent valuer's report. Within 14 days of this determination, the Applicant must make a binding written offer to the landowner to purchase the land at a price not less than the Planning Secretary's determination. If the landowner refuses to accept the Applicant's binding written offer under this condition within 6 months of the offer being made, then the Applicant's obligations to acquire the land shall cease, unless the Planning Secretary determines otherwise.				
S4 C8	The Applicant must pay all reasonable costs associated with the land acquisition process described in condition 7 above.	Discussions with E&C Department	This condition was not triggered during the audit period.	Not Triggered	
S4 C9	If the Applicant and landowner agree that only part of the land must be acquired, then the Applicant must also pay all reasonable costs associated with obtaining Council approval for any plan of subdivision (where permissible), and registration of the plan at the Office of the Registrar-General	Discussions with E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
SCHEDULE 5 ENVIRONMENTAL MANAGEMENT, MONITORING, AUDITING AND REPORTING					
Environmental Management Strategy					
S5 C1	The Applicant must prepare an Environmental Management Strategy for the development to the satisfaction of the Planning Secretary. This strategy must: (a) be submitted to the Planning Secretary for approval within 6 months of this consent or otherwise agreed by the Planning Secretary; (b) provide for the strategic context for the environmental management of the development; (c) identify the statutory requirements that apply to the development; (d) describe the procedures that would be implemented to: • keep the local community and relevant agencies informed about the operation and environmental performance of the development; • receive, handle, respond to, and record complaints; • resolve any disputes that may arise during the course of the development; • respond to any non-compliance; • manage cumulative impacts; and • respond to emergencies; (e) include: • references to any strategies, plans and programs approved under this consent; and • a description of and clear plan depicting all environmental monitoring to be carried out under this consent; (f) describe how the various incident and approval reporting requirements of the development would be integrated into a single reporting system; and	Environmental Management Strategy (HVOOC-1797567310-62), Version 6.0, dated 19/08/2025 DPHI (2025) Revised Environmental Management Strategy – HVO South, letter (MP06_0261), dated 26/08/2025 Platforms accessed 13/10/2025: -Vexillum Platform, -Envmet Platform, -CMO Platform -HVO GDP Portal GDP-0509 Howick Coal Haulage Road, 15/4/2024 GDP-0531 Carrington Billabong Slashing 25/9/2024 HVO, 2025 All Inspection Schedule, spreadsheet.	Refer findings against Schedule 5 Condition 1 of DA 450-10-2003 (Appendix A1 Audit Checklist).	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(g) describe the role, responsibility, authority and accountability of all the key personnel involved in the environmental management of the development.	HVO, E&C Section Targeted Visible Leadership (TVL) Schedule, spreadsheet. August Assurance Activity Plan, Version 3.0 HVOOC 1797567310-4982			
Management Plan Requirements					
S5 C1A	The Applicant must ensure that the management plans required under this consent are prepared in accordance with any relevant guidelines, and include: (a) a summary of relevant background or baseline data; (b) a description of: • the relevant statutory requirements (including any relevant approval, licence or lease conditions); • any relevant limits or performance measures/criteria; and • the specific performance indicators that are proposed to be used to judge the performance of, or guide the implementation of, the development or any management measures; (c) a description of the measures that would be implemented to comply with the relevant statutory requirements, limits, or performance measures/criteria; (d) a program to monitor and report on the: • impacts and environmental performance of the development; and	Refer evidence within this checklist	The audit included review of multiple management plans required under DA 450-10-2003 and PA 06_0261. Each of the plans reviewed generally: • Included baseline data, relevant statutory conditions, and performance measures and indicators; • Described mitigation measures and monitoring programs; • Contained incident reporting protocols, public access mechanisms, and review procedures; • Provided for adaptive management and continuous improvement (e.g., investigation of non-compliances, use of updated modelling, independent reviews); • Where applicable, included contingency measures and corrective action frameworks. In some instances, formatting and structure varied between plans; however, all core content required by Condition 1A of Schedule 5 were	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	• effectiveness of any management measures (see paragraph (c) above); (e) a contingency plan to manage any unpredicted impacts and their consequences and to ensure that ongoing impacts reduce to levels below relevant impact assessment criteria as quickly as possible; (f) a program to investigate and implement ways to improve the environmental performance of the development over time; (g) a protocol for managing and reporting any: • incidents; • complaints; • non-compliances with statutory requirements; and • exceedances of the impact assessment criteria and/or performance criteria; (h) a protocol for periodic review of the plan; and (i) a document control table that includes version numbers, dates when the management plan was prepared and reviewed, names and positions of the person/s who prepared and reviewed the management plan, a description of any revisions made and the date of the Planning Secretary's approval. *Note: The Planning Secretary may waive some of these requirements if they are unnecessary or unwarranted for particular management plans.*		found to be addressed either directly or through referenced appendices.		
Combining Strategies, Plans or Programs					
S5 C1B	With the agreement of the Planning Secretary, the Applicant may combine any strategy, plan, program or Annual Review required by this consent with any similar strategy, plan, program or Annual Review required for HVO North and Warkworth/Mt Thorley mines or any other adjoining operation in common ownership or under common management.	Discussion with E&C Department Yancoal Goulburn River Biodiversity Area Management Plan, Yancoal Warkworth Mine and Yancoal Hunter Valley	The HVO component of the Goulburn River Offset is managed under the Yancoal Goulburn River Biodiversity Area Management Plan (Version 3, July 2022), which also applies to the adjacent Warkworth Mine offset areas. The offset areas are contiguous and managed under a single commercial arrangement, whereby Warkworth Mine undertakes monitoring and	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Operations, New South Wales, Version 3, July 2022 HVO, Public website, www.hvo.com.au Refer evidence against management plan conditions.	management of the HVO offset area on HVO's behalf. This approach reduces duplication and provides a coordinated framework for offset management, consistent with the intent of Condition S5 C1B. Several management plans have been combined across HVO North and HVO South where appropriate and approved by the Department. This includes but is not limited to the Water Management Plan, Blast Management Plan, and Air Quality and Greenhouse Gas Management Plan. These plans adopt an integrated, site-wide approach while clearly identifying where requirements apply to both approvals or are specific to individual approval areas.		
Updating & Staging Strategies, Plans or Programs					
S5 C1C	To ensure that strategies, plans or programs required under this consent and which have been approved by the Planning Secretary are updated on a regular basis, and that they incorporate any appropriate additional measures or amendments to improve the environmental performance of the development, the Applicant may at any time submit revised strategies, plans or programs for the approval of the Planning Secretary. With the agreement of the Planning Secretary, the Applicant may also submit any strategy, plan or program required by this consent on a staged basis. The Planning Secretary may approve a revised strategy, plan or program required under this consent, or the staged submission of any of these documents, at any time. With the agreement of the Planning	Refer management plan conditions of this checklist.	For the purposes of this audit, compliance with Condition S5 C3 has been assessed through the review of each individual strategy, plan and program required under the consent, including confirmation of their submission, approval status, currency and implementation. Each management plan has been assessed against its specific conditions elsewhere in this report, including consideration of whether updates have been prepared, submitted and implemented in response to operational changes, consent modifications or audit findings. No standalone non-compliance was identified against Condition S5 C3. Matters relating to the timing of plan updates, approval status or implementation of revised plans are addressed	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Secretary, the Applicant may prepare the revised or staged strategy, plan or program without undertaking consultation with all parties nominated under the applicable condition in this consent, including waiving the requirements in condition 15 of Schedule 2. While any strategy, plan or program may be submitted on a staged basis, the Applicant will need to ensure that the operations associated with the development are covered by suitable strategies, plans or programs at all times. If the submission of any strategy, plan or program is to be staged; then the relevant strategy, plan or program must clearly describe the specific stage/s of the development to which the strategy, plan or program applies; the relationship of this stage/s to any future stages; and the trigger for updating the strategy, plan or program.		under the relevant individual conditions for each management plan.		
Application of Existing Strategies, Plans or Programs					
S5 C1D	The Applicant must continue to apply existing management strategies, plans or monitoring programs approved prior to the approval of Modification 5, until the approval of a similar plan, strategy or program following the approval of Modification 5.		This is noted.	Compliant	
REPORTING					
Incident Notification					
S5 C2	The Applicant must immediately notify the Department and any other relevant agencies after it becomes aware of an incident. The notification must be in writing via the Department's Major Projects Website and identify the development (including the	HVO (2024) Notification to the Department – Maison Dieu Blast Monitor Miscapture, dated 10/07/2024	A detailed review of all incidents which had occurred during the audit period was conducted by the auditors in order to determine the date of each incidents, the date HVO became aware of each incident, if the Department were notified	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	development application number and name) and set out the location and nature of the incident.	HVO (2024) notification of Level 4b Fume event, Dated 04/06/2024 HVO (2024) Report – Level 4B Blast Fume Event, dated 13/06/2024 HVO (2022) Notification – Maison Dieu HVAS TSP mis capture, dated 15/11/2022	and if notification was within the required timeframe. Evidence was sighted demonstrating that HVO has consistently notified the Department and prepared detailed investigations in response to air quality exceedances and monitoring data capture issues throughout the audit period. In all instances reviewed, HVO notified the Department and submitted incident reports containing the required information within the required 7-day reporting timeframe, or within an extended timeframe that had been agreed with the Department to allow completion of incident investigations.		
Non-Compliance Notification					
S5 C3	Within seven days of becoming aware of a non-compliance, the Applicant must notify the Department of the non-compliance. The notification must be in writing via the Department's Major Projects Website and identify the development (including the development application number and name), set out the condition of this consent that the development is non-compliant with, why it does not comply and the reasons for the noncompliance (if known) and what actions have been, or will be, undertaken to address the non-compliance. *Note: A non-compliance which has been notified as an incident does not need to also be notified as a noncompliance.*	Refer condition 2 of schedule 4	As detailed against condition 2 of schedule 5 a review of all inciden occurrences and notification and reporting conducted by HVO to the Department was conducted. Non-compliance notifications were made within the required timeframe.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
Annual Review					
S5 C4	By the end of March each year, the Applicant must review the environmental performance of the development to the satisfaction of the Planning Secretary. This review must: (a) describe the development that was carried out in the previous calendar year, and the development that is proposed to be carried out over the next year; (b) include a comprehensive review of the monitoring results and complaints records of the development over the previous calendar year, which includes a comparison of these results against: • the relevant statutory requirements, limits or performance measures/criteria; • the requirements of any plan or program required under this consent; • the monitoring results of previous years; and • the relevant predictions in the documents listed in condition 2 of Schedule 2; (c) identify any non-compliance over the last year, and describe what actions were (or are being) taken to ensure compliance; (d) identify any trends in the monitoring data over the life of the development; (e) identify any discrepancies between the predicted and actual impacts of the development, and analyse the potential cause of any significant discrepancies; (f) describe what measures will be implemented over the next year to improve the environmental performance of the development; and (g) evaluate and report on the effectiveness of environmental management of the development.	Refer evidence against condition 9, Schedule 5 of DA 450-10-2003 (Audit checklist A1).	Refer condition 9, Schedule 5 of DA 450-10-2003 (Audit checklist A1).	Compliant	
Revision of Strategies, Plans and Programs					

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
S5 C4A	Within 3 months of the submission of an: (a) incident report under condition 2 above; (b) annual review under condition 4 above; (c) audit under condition 5 below; or (d) any modification to the conditions of this consent, the Applicant must review, and if necessary revise, the strategies, plans, and programs required under this consent to the satisfaction of the Planning Secretary. Within 6 weeks of conducting any such review, the Applicant must advise the Planning Secretary of the outcomes of the review, and provide any documents that have been revised to the Planning Secretary for review and approval. *Note: This is to ensure the strategies, plans and programs are updated on a regular basis, and incorporate any recommended measures to improve the environmental performance of the development.*	Addressed against each management plan condition.	Evidence was sighted demonstrating that HVO has established and implemented a structured process to review and submit environmental strategies, plans and programs in accordance with Schedule 5, Condition 4A. • HVO prepares and submits a consolidated annual correspondence to the Department identifying: • the environmental management strategies, plans and programs that have been reviewed during the relevant period; • those documents that have been updated or revised as a result of the review; and • the documents that require departmental review and approval. As noted above in relation to the Air Quality and Greenhouse Gas Management Plan (AQGGMP) and the Water Management Plan (WMP), Hunter Valley Operations (HVO) has submitted a number of revised environmental management plans to the Department during the audit period in accordance with the review and submission requirements of Schedule 5, Condition 4. At the time of the audit, several of these submitted plans had not yet been formally endorsed or approved by the Department.	Compliant	
INDEPENDENT ENVIRONMENTAL AUDIT					
S5 C5	By 31 March 2010, and every 3 years thereafter, unless the Planning Secretary directs otherwise, the	RPS, 2022 Independent Environmental Audit,	HVO commissioned and funded an Independent Environmental Audit (IEA) in 2022, undertaken by RPS AAP Consulting Pty Ltd, with the audit	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Applicant must commission and pay the full cost of an Independent Environmental Audit of the development. This audit must: (a) be conducted by a suitably qualified, experienced, and independent team of experts whose appointment has been endorsed by the Planning Secretary; (b) include consultation with the relevant agencies; (c) assess the environmental performance of the development and whether it is complying with the relevant requirements in this consent and any relevant mining lease and EPL (including any strategy, plan or program required under these approvals); (d) review the adequacy of strategies, plans and/or programs required under these approvals; (e) recommend appropriate measures or actions to improve the environmental performance of the development, and/or any strategy, plan or program required under these approvals; and (f) be conducted and reported to the satisfaction of the Planning Secretary. *Note: This audit team should be led by a suitably qualified auditor, and include experts in the field of noise and air quality, surface water and groundwater and mine rehabilitation.*	Hunter Valley Operations, Version 1, 30 June 2023. Email to the Department from HVO, Hunter Valley Operations South - Post Approval Document Received - (MP06_0261-PA-120), 23/02/2023	team endorsed by the Planning Secretary on 28 August 2022 and attending Site from 28-30 November 2022 (with the rehabilitation specialist attending site separately on 6 December 2022). The RPS IEA audit included recommendations for improving environmental performance where applicable. The document progressed through three versions: an initial draft issued for client review on 16 February 2023, followed by a final version on 22 February 2023, and subsequently an updated version incorporating comments from the Department on 30 June 2023.		
S5 C6	Within 12 weeks of commencing each audit, or as otherwise agreed by the Planning Secretary, the Applicant must submit a copy of the audit report to the Planning Secretary with a response to any recommendations contained in the audit report, and a timetable for the implementation of the recommendations. The Applicant must implement these recommendations.	RPS, 2022 Independent Environmental Audit, Hunter Valley Operations, Version 1, 30 June 2023. Email to the Department from HVO, Hunter Valley Operations South -	A submission letter was provided to the Department on 23 February 2023. Schedule 5 Condition C6 requires the IEA to be submitted within 12 weeks of commencing the audit. 12 weeks from the commencement of the audit on 28 November is 20 February 2023. As such HVO have not complied with this condition.	Non-Compliant	**NC-012**

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Post Approval Document Received - (MP06_0261-PA-120), 23/02/2023			
S5 C7	Deleted				
COMMUNITY CONSULTATIVE COMMITTEE					
S5 C8	The Applicant must operate a Community Consultative Committee (CCC) for the development to the satisfaction of the Planning Secretary in general accordance with the Department's Community Consultative Committee Guidelines: State Significant Projects (2016, or its latest version). *Notes:* *• The CCC is an advisory committee. The Department and other relevant agencies are responsible for ensuring that the Applicant complies with this consent.* *• In accordance with the Guideline, the Committee should comprise an independent chair and appropriate representation from the Applicant, Council, recognised environmental groups and the general community in the area of the development.* *• With the approval of the Planning Secretary, this CCC may be combined with the CCC for HVO North*.	Email to Singleton Shire Council, HVO Annual Review 2024 Submission, 31/03/2025 Email to Muswellbrook Shire Council, HVO Annual Review 2024 Submission, 31/03/2025 HVO Community Consultation Committee Terms of Reference, Version 1.0, 29/07/2024 CCC Meeting Minutes: 2023, 2024, 2025 Community Consultation Reports	HVO facilitates a Community Consultative Committee (CCC) to engage directly with community representatives, stakeholder groups and Singleton Council. The committee functions as a structured forum for discussing operational performance, environmental and social impacts, exploration titles, proposed continuation activities and final landform planning. The CCC Terms of Reference were sighted to be published on the HVO website. The committee meets quarterly, and meeting minutes are recorded and made publicly available on the HVO website. Auditors confirmed that CCC meetings were held during the audit period in February, May, August, and November of 2023 and 2024, and in February, May, and August of 2025. Minutes for these meetings were published on the HVO website in accordance with the relevant guidelines. Auditors also sighted an email issued by HVO to Singleton Council notifying them of an upcoming CCC meeting, demonstrating proactive engagement with key stakeholders. Additionally, an email dated 1 April 2025 confirmed that the	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		EL5291, EL5292, EL5417, EL5418, EL8175 HVO CCC Business Papers 2024, 2025	Annual Review had been distributed to Council and CCC members.		
ACCESS TO INFORMATION					
	The Applicant must, for the life of the development: (a) make the following information publicly available on its website: • the documents listed in condition 2 of Schedule 2; • current statutory approvals for the development; • approved strategies, plans or programs required under the conditions of this consent; • a comprehensive summary of the monitoring results of the development, which have been reported in accordance with the various plans and programs approved under the conditions of this consent; • a summary of the current stage and progress of the development; • contact details to enquire about the development or to make a complaint; • a complaints register, which is to be updated on a monthly basis; • minutes of CCC meetings; • the last five annual reviews; • any independent environmental audit, and the Applicant's response to the recommendations in any audit; • any other matter required by the Planning Secretary; and (b) keep this information up to date,	HVO Website https://www.hvo.com.au/ Discussion with E&C Department Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025 Community Complaints Management Procedure 'HVOOC-1797567310-219'	The HVO website meets the condition for public availability of information, with key elements such as statutory approvals, monthly and annual monitoring data, approved strategies and plans, CCC minutes, Annual Reviews, and independent environmental audit reports all accessible and routinely updated during the audit period. A monthly complaints register is also available within the Monthly Environmental Monitoring Reports, satisfying the requirement for public reporting of complaints. The only exception noted was that the 2024 Annual Review initially appeared without its appendices, which had been included in previous years. This was rectified during the audit, and the appendices were subsequently uploaded. As the issue was addressed promptly, no Opportunity for Improvement (OFI) will be issued.	Compliant	

Condition of Consent	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	to the satisfaction of the Planning Secretary.				

Audit Checklist – EPL 640

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<tr><td colspan="6">1 ADMINISTRATIVE CONDITIONS</td></tr>
<tr><td colspan="6">A1 WHAT THE LICENCE AUTHORISES AND REGULATES</td></tr>
<tr><td>A1.1</td><td>This licence authorises the carrying out of the scheduled activities listed below at the premises specified in A2. The activities are listed according to their scheduled activity classification, fee-based activity classification and the scale of the operation.

Unless otherwise further restricted by a condition of this licence, the scale at which the activity is carried out must not exceed the maximum scale specified in this condition.

<table><tr><th>Scheduled Activity</th><th>Fee Based Activity</th><th>Scale</th></tr><tr><td>Coal works</td><td>Coal works</td><td>> 5000000 T annual handing capacity</td></tr><tr><td>Crushing, grinding or separating</td><td>Crushing, grinding or separating</td><td>> 2000000 T annual processing capacity</td></tr><tr><td>Chemical production</td><td>Dangerous goods production</td><td>> 25000 T annual production capacity</td></tr><tr><td>Chemical storage</td><td>General chemicals storage</td><td>> 5000 - 100000 kL storage capacity</td></tr><tr><td>Mining for coal</td><td>Mining for coal</td><td>> 5000000 T annual production capacity</td></tr><tr><td>Extractive activities</td><td>Other extractive activities</td><td>> 50000 - 100000 T annually extracted or processed</td></tr></table>
Note: In relation to this licence, the licensee must comply with:
a) the activity scale limits imposed by this licence;
b) the activity scale limits which apply for the reporting period specified in this licence; and
c) the activity scale limits imposed by other legal instruments, such as approvals currently in force under the Environmental Planning and Assessment Act 1979.</td><td>Annual review summaries

Overview Physicals Spreadsheet 2022-2026.xlsx</td><td>The HVO Tech Services Department track coal extracted and processes, which tracks both ROM coal (extracted) and product coal (processed) daily. These figures are compiled annually and reported in the Annual Review.

The following total quantities were verified during the audit period:

• 2022 reporting period – 11.93 million tonnes (Mtpa) of ROM coal extracted.
• 2023 reporting period – 15.28 Mtpa of ROM coal extracted.
• 2024 reporting period – 14.83 Mtpa of ROM coal extracted.

The quantity of coal processed through the HVCPP and West Pit CHPP was well below the production capacity limits specified in Condition A1.1 of the EPL.</td><td>Compliant</td><td></td></tr>
<tr><td colspan="6">A2 PREMISES OR PLANT TO WHICH THIS LICENCE APPLIES</td></tr>
<tr><td>A2.1</td><td>The licence applies to the following premises:</td><td></td><td>This is noted.</td><td>Noted</td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Premises Details **HUNTER VALLEY OPERATIONS** **LEMINGTON ROAD** **SINGLETON** **NSW 2330** **PREMISES MARKED AND SHOWN BOUNDED BY POINTS "1" TO "20" ON THE PLAN TITLED "HVO EPL 640", DATED 25/03/2025 AND SHAPE FILES (EPA REF. DOC25/262220-1).**				
A3 OTHER ACTIVITIES					
A3.1	This licence applies to all other activities carried on at the premises, including: **Ancillary Activity** Sewage Treatment Systems	Site Inspection Discussion with E&C Department	HVO operate two sewage treatment systems (North STP and South STP) in accordance with EPL and Council approval requirements. An assessment of compliance of the sewage treatment system is included in this checklist below. HVO also operate West STP West, however this STP was used for storage only during the audit period.	Compliant	
A4 INFORMATION SUPPLIED TO THE EPA					
A4.1	Works and activities must be carried out in accordance with the proposal contained in the licence application, except as expressly provided by a condition of this licence. In this condition the reference to "the licence application" includes a reference to: a) the applications for any licences (including former pollution control approvals) which this licence replaces under the Protection of the Environment Operations (Savings and Transitional) Regulation 1998; and	Site Inspection Discussion with E&C Department	HVO advised that the works and activities carried out during the audit period were in line with the EPL application, and no deviations were identified. Although the original licence application was not reviewed, no information was identified indicating that any activities were undertaken beyond the authorised scope of EPL 640.	Compliant	

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td>b) the licence information form provided by the licensee to the EPA to assist the EPA in connection with the issuing of this licence.</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">2 DISCHARGES TO AIR AND WATER AND APPLICATIONS TO LAND</td></tr>
<tr><td colspan="6">P1 LOCATION OF MONITORING/DISCHARGE POINTS AND AREAS</td></tr>
<tr><td>P1.1</td><td>The following points referred to in the table below are identified in this licence for the purposes of monitoring and/or the setting of limits for the emission of pollutants to the air from the point.
Air
<table><tr><th>EPA identi-fication no.</th><th>Type of Monitoring Point</th><th>Type of Discharge Point</th><th>Location Description</th></tr><tr><td>13</td><td>Ambient air monitoring</td><td></td><td>PM10 TEOM at "Howick", marked and shown as "13" on Figure 1.</td></tr><tr><td>15</td><td>Ambient air monitoring</td><td></td><td>PM10 TEOM at "Wandewoi", marked and shown as "15" on Figure 1.</td></tr><tr><td>16</td><td>Ambient air monitoring</td><td></td><td>PM10 TEOM at "Knodlers Lane", marked and shown as "16" on Figure 1.</td></tr><tr><td>17</td><td>Ambient air monitoring</td><td></td><td>PM10 TEOM at the Golden Highway, marked and shown as "17" on Figure 1.</td></tr><tr><td>44</td><td>Ambient air monitoring</td><td></td><td>PM10 TEOM at West Pit, marked and shown as "44" on Figure 1.</td></tr></table>Note: The EPA notes that licensee will also use monitoring data from the Upper Hunter Air Quality Monitoring Network monitors at Maison Dieu and Warkworth when deriving a differential between upwind and downwind PM10 concentrations.</td><td>AQGGMP (Approved 2022)</td><td>Air quality monitoring points are identified in the HVO AQGGMP and align with the EPA identification points detailed in Condition P1.1.</td><td>Compliant</td><td></td></tr>
<tr><td>P1.2</td><td>The following utilisation areas referred to in the table below are identified in this licence for the purposes of the monitoring and/or the setting of limits for any application of solids or liquids to the utilisation area.</td><td></td><td>None specified.</td><td>Noted</td><td></td></tr>
<tr><td>P1.3</td><td>The following points referred to in the table are identified in this licence for the purposes of the monitoring and/or the setting of limits for discharges of pollutants to water from the point.</td><td>Annual Return 1-4-2022 to 31-3-2023

Monthly Environmental Monitoring Reports (2022–2025)</td><td>On 29 March 2023, HVO did not undertake the required quarterly ambient water quality monitoring at H3 – Hunter River downstream of Wollombi (EPA ID #47), which is an authorised monitoring point identified under Condition P1.3 of EPL 640.

The missed monitoring event resulted from site access constraints caused by flooding and washed-out access tracks that prevented the</td><td>Non-compliant</td><td>NC-013</td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Water and land **EPA Identification no. / Type of Monitoring Point / Type of Discharge Point / Location Description** 3 — Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS); Discharge quality monitoring; Volume monitoring — Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS); Discharge quality monitoring; Volume monitoring — HRSTS discharge pipe from Dam 11, marked and shown as "3" on Figure 1. 4 — Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS); Discharge Quality; Volume Monitoring — Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS); Discharge Quality; Volume Monitoring — Discharge from outlet pipe on Parnell's Dam, marked and shown as "4" on Figure 1. 5 — Alluvial lands discharge; Discharge quality monitoring; Volume monitoring — Alluvial lands discharge; Discharge quality monitoring; Volume monitoring — Outlet of the alluvial lands discharge pipeline, marked and shown as "5" on Figure 1. 8 — Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS); Discharge quality monitoring; Volume monitoring — Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS); Discharge quality monitoring; Volume monitoring — Outlet of discharge pipe from the Lake James storage dam, marked and shown as "8" on Figure 1. 23 — Discharge to utilisation area; Effluent quality monitoring — Discharge to utilisation area; Effluent quality monitoring — Howick STP, marked and shown as "23" on Figure 2. 24 — Discharge to utilisation area — Howick Primary Lagoon, marked and shown as "24" on Figure 2. 25 — Discharge to utilisation area; Effluent quality monitoring — Discharge to utilisation area; Effluent quality monitoring — Howick Secondary Lagoon, marked and shown as "25" on Figure 2. 26 — Discharge to utilisation area; Effluent quality monitoring — Discharge to utilisation area; Effluent quality monitoring — HVO North STP, marked and shown as "26" on Figure 2. 27 — Discharge to utilisation area — HVO South STP, marked and shown as "27" on Figure 2. 28 — Discharge to utilisation area — HVO South Primary Lagoon, marked and shown as "28" on Figure 2. 29 — Discharge to utilisation area; Effluent quality monitoring — Discharge to utilisation area; Effluent quality monitoring — HVO South Secondary Lagoon, marked and shown as "29" on Figure 2. 45 — Ambient water monitoring — Hunter River, marked and shown as "H1 Hunter R (upstream K Dam)" on Figure 4. 46 — Ambient water monitoring — Hunter River, marked and shown as "H2 Hunter R." on Figure 4. 47 — Ambient water monitoring — Hunter River, marked and shown as "H3 Hunter River downstream Wollombi" on Figure 4. 48 — Ambient water monitoring — Hunter River, marked and shown as "W1 Hunter River (Carrington)" on Figure 4. 49 — Ambient water monitoring — Hunter River, marked and shown as "W109 Hunter R. Moses Crossing" on Figure 4. 50 — Ambient water monitoring — Wollombi Brook, marked and shown as "W2 Wollombi Bk" on Figure 4.		monitoring contractor from safely accessing the location. The sample was subsequently collected during the next scheduled monitoring event; however, the required quarterly sample for that period was not obtained, constituting a breach of the licence condition. No other issues were identified with regards to monitoring requirements specified in Condition P1.3 No recommendation has been raised for this non-compliance as the missed monitoring event resulted from exceptional access constraints caused by flooding and washed-out access tracks, which were outside HVO's control. The monitoring location was sampled at the next available monitoring round, and no ongoing or systemic issues with access or monitoring program implementation were identified.		

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	51 Ambient water monitoring — Hunter River, marked and shown as "W3 Hunter River" on Figure 4. 52 Ambient water monitoring — Hunter River, marked and shown as "W4 Hunter River (Oaklands)" on Figure 4. 53 Ambient water monitoring — Wollombi Brook, marked and shown as "Warkworth Bridge Wollombi Brook" on Figure 4. 54 Ambient water monitoring — Wollombi Brook, marked and shown as "WL1 Wollombi Bk" on Figure 4. 55 Ambient water monitoring — Dam 19s, marked and shown as "55" on Figure 1.				
P1.4	The following points referred to in the table below are identified in this licence for the purposes of weather and/ or noise monitoring and/or setting limits for the emission of noise from the premises. ***Noise/Weather*** **EPA identification no.** / **Type of monitoring point** / **Location description** 9 — Air blast overpressure & ground vibration peak particle velocity monitoring — Blast monitor at Jerrys Plains, marked and shown as "9" on Figure 1. 11 — Air blast overpressure & ground vibration peak particle velocity monitoring — Blast monitor at Warkworth, marked and shown as "11" on Figure 1. 18 — Air blast overpressure & ground vibration peak particle velocity monitoring — Blast monitor at Moses Crossing, marked and shown as "18" on Figure 1. 19 — Meteorological Station – to determine meteorological conditions for noise monitoring — Meteorological station at the HVO corporate office, marked and shown as "19" on Figure 1. 21 — Air blast overpressure & ground vibration peak particle velocity monitoring — Blast monitor at Maison Dieu, marked and shown as "21" on Figure 1. 22 — Meteorological Station – to determine meteorological conditions for noise monitoring — Meteorological station near Cheshunt, marked and shown as "22" on Figure 1. 36 — Noise monitoring — Attended noise monitor location, marked and shown as "NM1A" on Figure 3. 37 — Noise monitoring — Attended noise monitor location, marked and shown as "NM1B" on Figure 3. 38 — Noise monitoring — Attended noise monitor location, marked and shown as "NM1C" on Figure 3. 39 — Noise monitoring — Attended noise monitor location, marked and shown as "NM2" on Figure 3. 40 — Noise monitoring — Attended noise monitor location, marked and shown as "NM3" on Figure 3. 41 — Noise monitoring — Attended noise monitor location, marked and shown as "NM4" on Figure 3. 42 — Noise monitoring — Attended noise monitor location, marked and shown as "NM5" on Figure 3. 43 — Noise monitoring — Attended noise monitor location, marked and shown as "NM6" on Figure 3.	Site Inspection Benchmark Monitoring, Calibration Certs HVO Corp Met Station, (2022 – 2025) Monthly Environmental Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1 KABOOM blast monitoring data (airblast and vibration logs) HVO Blast Management Plan (V4.0)	**Blast Monitoring** Blasting at HVO North is implemented in accordance with the HVO Blast Management Plan (Version 4.0). The BMP confirms that fixed compliance monitors are positioned around the site to represent the nearest privately-owned receivers and in accordance with Condition P1.4. **Meteorological Monitoring** HVO maintains two permanent meteorological stations, Cheshunt located in HVO South and HVO Corporate met station located in HVO North. Both stations are approved by the EPA and managed by Benchmark Monitoring on behalf of HVO. **Noise Monitoring** HVO demonstrates compliance with Condition P1.4 through the implementation of a structured noise monitoring program that includes routine monthly attended noise monitoring at the locations specified in the EPL, undertaken by independent consultant EMM, in accordance with the HVO Noise Monitoring Programme (NMP).	Compliant	
P1.5	For the purposes of conditions P1.1, P1.3 and P1.4:		This is noted.	Noted	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(i) Figure 1 refers to the plan titled "HVO EPL 640 Monitors", dated 11/06/2025 (EPA ref. DOC25/480576-1). (ii) Figure 2 refers to the plan titled "HVO EPL 640 Sewage Treatment Points and Mine Waters Transfer Points" dated 25/3/2025 (EPA ref. DOC23/262220-4). (iii) Figure 3 refers to the plan titled "HVO EPL 640 Receptors" dated 25/3/2025 (EPA ref. DOC25/262220-3). (iv) Figure 4 refers to the plan titled "Attachment 1 - HVO Ambient Water Quality Monitoring" dated 24/9/2020 (EPA ref. DOC20/790499). The datum for grid references in these plans is the Geodetic Datum of Australia 2020 (GDA2020), Zone 56.				
3 LIMIT CONDITIONS					
L1 POLLUTION OF WATERS					
L1.1	Except as may be expressly provided in any other condition of this licence, the licensee must comply with section 120 of the Protection of the Environment Operations Act 1997.	HVO (2024) Written Report – Condition R3 of EPL 640 – Dam 17N Pumping Incident 13-22 June 2024 HVO (2024) Invitation to show cause - Discharge of mine water from HVO Mine, June 2024 HVO (2024) Invitation to show cause EF16/2461 - Alleged pollution of	On 22 June 2024, water was found being pumped from Dam 17N sump to Farrells Creek via a hose, and the pump was immediately shut off; investigation revealed the pump was installed on 12 June for maintenance, likely redirected away from the dam on 13 June, causing intermittent discharge for about 10 days into Farrells Creek. On 24 June 2024, HVO notified the EPA. On 19 July 2024, HVO provided a report to the EPA that Dam 17N, the main mine-water storage for HVCHPP, had a sump designed to collect underdrainage and leaks; a diaphragm pump installed for maintenance discharged water through a hose directed toward a gap in an earthen bund leading to Farrells Creek, causing an intermittent discharge of about 523 kL of mine	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		waters and contravention of licence conditions – June 2024 EPA letter Penalty Notice 3511223 – HV Operations PTY LTD- EPL 640, 16/12/2024 HVO Letter to EPA, Invitation to show cause - Discharge of mine water from HVO Mine, June 2024, 18/12/2024 Letter from HVO to EPA, Written Report – Condition R3 of EPL 640 – Dam 17N Pumping Incident 22 June 2024, 19 July 2024 Letter from HVO to EPA, Invitation to show cause EF16/2461 - Alleged pollution of waters and contravention of licence conditions – June 2024, 28/11/2024 Letter from HVO to EPA, Request for	water over 10 days (13–22 June 2024), and sampling on 22 June 2024 showed the sump water had an electrical conductivity of 4850 µS/cm. On 11 November 2024 the EPA issued show cause letter to HVO stating that while the agency investigated allegations of offences under the Protection of the Environment Operations Act 1997, its review of the investigation including field water quality sampling that showed no risk of environmental harm and the subsequent consideration of the Show Cause response led it to conclude that HVO did not breach Condition L1.1. Instead, HVO was found to have failed to comply with Condition E1.1 of the Licence. On 28 November 2024, HVO responded to the EPA's Show Cause letter, acknowledging that the water discharged from Dam 17N sump was saline under HRSTS Regulation, was not released from an authorised HRSTS discharge point, and occurred outside an HRSTS site discharge period. Refer to Condition E1.1 for further information.		

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Further Details – Condition R3.4 of EPL 640 – Dam 17N Pumping Incident 22 June 2024, 23/09/2024 Letter from EPA to HVO, Penalty Notice 3511223 - HV Operations PTY LTD - EPL 640, 16/12/2024			
L2 CONCENTRATION LIMITS					
L2.1	For each monitoring/discharge point or utilisation area specified in the table/s below (by a point number), the concentration of a pollutant discharged at that point, or applied to that area, must not exceed the concentration limits specified for that pollutant in the table.		Refer to evidence against Condition L2.4	Noted	
L2.2	Where a pH quality limit is specified in the table, the specified percentage of samples must be within the specified ranges.		This is noted.	Noted	
L2.3	To avoid any doubt, this condition does not authorise the pollution of waters by any pollutant other than those specified in the table\s.		This is noted.	Noted	
L2.4	Water and/or Land Concentration Limits **Point 3,4**	Annual Reviews 2022, 2023, 2024 Annual Returns 1/4/2022 to 31/3/2023, 1/4/2023 to 31/3/2024, and	HVO is licensed under EPL 640, which permits discharge via the following EPA Monitoring Points: • EPL ID 3 Dam 11N (HVO North) • EPL ID 4 Dam 9W Parnells Dam (HVO North)	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	<table><tr><th>Pollutant</th><th>Units of Measure</th><th>50 percentile concentration limit</th><th>90 percentile concentration limit</th><th>3DGM concentration limit</th><th>100 percentile concentration limit</th></tr><tr><td>pH</td><td>pH</td><td></td><td></td><td></td><td>6.5 - 9.5</td></tr><tr><td>Total suspended solids</td><td>milligrams per litre</td><td></td><td></td><td></td><td>120</td></tr></table> **Point 5** <table><tr><th>Pollutant</th><th>Units of Measure</th><th>50 percentile concentration limit</th><th>90 percentile concentration limit</th><th>3DGM concentration limit</th><th>100 percentile concentration limit</th></tr><tr><td>Conductivity</td><td>microsiemens per centimetre</td><td></td><td></td><td></td><td>400</td></tr></table> **Point 8** <table><tr><th>Pollutant</th><th>Units of Measure</th><th>50 percentile concentration limit</th><th>90 percentile concentration limit</th><th>3DGM concentration limit</th><th>100 percentile concentration limit</th></tr><tr><td>pH</td><td>pH</td><td></td><td></td><td></td><td>6.5 - 9.5</td></tr><tr><td>Total suspended solids</td><td>milligrams per litre</td><td></td><td></td><td></td><td>120</td></tr></table>	1/4/2024 to 31/3/2025 HRSTS – HVO Discharge Record Sheet 2023-2024 HRSTS Discharge Report Final 2022-2023_V2 Hunter River Salinity Trading Scheme (HRSTS) - Hunter Valley Operations Lake James EMD Database and excel exports 2022, 2023, 2024, 2025	• EPL ID 5 – Alluvial Lands (HVO North) • EPL ID 8 Dam 15S Lake James (HVO South). During the monitoring period, HVO discharged from Monitoring Points 3, 4, and 8 in 2022; Point 8 in 2024; and Points 3, 4, and 8 in 2025. No discharges occurred from Point 5 during the audit period. A review of HVO's Annual Returns and monitoring data confirmed that HVO complied with the pH and Total Suspended Solids (TSS) limits specified under EPL 640 during the audit period.		
L2.5	In addition to the concentration limit specified against Point 5 in the table above, waste water must not be discharged from Point 5 if the conductivity of the waste water is greater than the conductivity of the receiving waters in the Hunter River at the time of discharge.	Annual Reviews 2022, 2023, 2024 Annual Returns 1/4/2022 to 31/3/2023, 1/4/2023 to 31/3/2024, and 1/4/2024 to 31/3/2025 HRSTS – HVO Discharge Record Sheet 2023-2024 HRSTS Discharge Report Final 2022-2023_V2	No discharges occurred from Point 5 during the audit period. As such this condition is not triggered.	Not Triggered	

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td></td><td>Hunter River Salinity Trading Scheme (HRSTS) - Hunter Valley Operations Lake James

EMD Database and excel exports 2022, 2023, 2024, 2025</td><td></td><td></td><td></td></tr>
<tr><td colspan="6">L3 VOLUME AND MASS LIMITS</td></tr>
<tr><td>L3.1</td><td>For each discharge point or utilisation area specified below (by a point number), the volume/mass of:
a) liquids discharged to water; or;
b) solids or liquids applied to the area; must not exceed the volume/mass limit specified for that discharge point or area.
<table><tr><th>Point</th><th>Unit of Measure</th><th>Volume/Mass Limit</th></tr><tr><td>3</td><td>megalitres per day</td><td>100</td></tr><tr><td>4</td><td>megalitres per day</td><td>130</td></tr><tr><td>5</td><td>megalitres per day</td><td>7</td></tr><tr><td>8</td><td>megalitres per day</td><td>200</td></tr></table></td><td>HRSTS – HVO Discharge Record Sheet 2023-2024

HRSTS Discharge Report Final 2022-2023_V2

Hunter River Salinity Trading Scheme (HRSTS) - Hunter Valley Operations Lake James

EMD Database and excel exports 2022, 2023, 2024, 2025</td><td>During the audit period HVO were compliant, with volumes within limited specified under Condition L3.1.</td><td>Compliant</td><td></td></tr>
<tr><td colspan="6">L4 WASTE</td></tr>
<tr><td>L4.1</td><td>The licensee must not cause, permit or allow any waste to be received at the premises, except the wastes expressly referred to in the column titled “Waste” and meeting the definition, if any, in the column titled “Description” in the table below.</td><td>HVO Non-Mineral Waste Management Plan, Version 4.0 18/11/2022 (review due 18/11/2025)</td><td>The audit confirmed that HVO does not cause, permit or allow the receipt of any waste at the premises other than those waste types expressly permitted under EPL Condition L4.1. Waste received and managed on site was consistent with the waste descriptions, permitted activities</td><td>Compliant</td><td></td></tr>
</table>

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td>Any waste received at the premises must only be used for the activities referred to in relation to that waste in the column titled “Activity” in the table below.

Any waste received at the premises is subject to those limits or conditions, if any, referred to in relation to that waste contained in the column titled “Other Limits” in the table below.

This condition does not limit any other conditions in this licence.

<table>
<tr><th>Code</th><th>Waste</th><th>Description</th><th>Activity</th><th>Other Limits</th></tr>
<tr><td>NA</td><td>General solid waste (non-putrescible)</td><td>Biomix for the purpose of rehabilitation.</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The Biomix exemption June 2024".</td></tr>
<tr><td>NA</td><td>Garden waste</td><td>Application of pasteurised garden organics for mine rehabilitation.</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The pasteurised garden organics exemption 2016".</td></tr>
<tr><td>NA</td><td>Excavated natural material</td><td>Application of excavated natural material for use in mine rehabilitation</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The excavated natural material exemption 2014".</td></tr>
<tr><td>NA</td><td>Electric Arc Ladle Slag</td><td>Application of Gravel Grip 40 product for construction of laydown areas, access roads, build pads, carparks and hardstands.</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The processed electric arc furnace ladle slag exemption 2014".</td></tr>
<tr><td>NA</td><td>Electric Arc Furnace Slag</td><td>Application of Gravel Grip 40 product for construction of laydown areas, access roads, build pads, carparks and hardstands.</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The electric arc furnace slag exemption 2014".</td></tr>
<tr><td>NA</td><td>Compost (The compost exemption 2016-NSW EPA)</td><td>Application of compost as soil ameliorant for mine rehabilitation.</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The compost exemption 2016".</td></tr>
<tr><td>NA</td><td>Gypsum plaster board</td><td>Application of recovered plasterboard as soil ameliorant for mine rehabilitation</td><td>As specified in each particular resource recovery exemption</td><td>The licensee must comply with "The recovered plasterboard exemption 2014".</td></tr>
</table>
</td><td>JR Richards 2508 Glencore – Waste Management Report, August 2025.

Sample of EPA Waste Tracking Requirement Reports (Renewable Waste Oil), 28 July 2025, 30 June 2025

HVO Monthly Environmental Inspection Form, Version 4.5 - Sample. South Lemington 3/04/2024</td><td>and applicable limits specified in the licence table.

Waste management is governed by the HVO Non-Mineral Waste Management Plan (Version 4.0), with waste handled exclusively by licensed waste contractors (Cleanaway until March 2025 and J.R. Richards from March 2025). Waste generation, collection and disposal are tracked through EPA Waste Tracking Reports and Monthly Total Waste Management Reports, which identify waste types, volumes and licensed receiving facilities, providing traceability and verification of compliance with EPA requirements.

Monthly environmental inspections include checks of waste and hydrocarbon management areas, and waste performance is reported annually through the HVO Annual Reviews approved by the Secretary. The audit did not identify any evidence of unauthorised waste receipt, use of waste outside the scope of the licence, or non-compliance with applicable waste limits or conditions.</td><td></td><td></td></tr>
<tr><td>L4.2</td><td>The licensee must not dispose of any waste on the premises unless authorised to do so by a condition the licence.</td><td>HVO Non-Mineral Waste Management Plan, Section 3.2, Version 4.0</td><td>The audit confirmed that HVO does not dispose of waste on the premises unless authorised by conditions of EPL 640. Waste management is governed by the HVO Non-Mineral Waste Management Plan (Version 4.0), which requires waste to be removed from site by licensed waste</td><td>Compliant</td><td></td></tr>
</table>

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td></td><td>18/11/2022 (review due 18/11/2025)

Refer to evidence against L4.1</td><td>contractors and disposed of or recovered at licensed facilities.

Based on the review of waste tracking documentation, contractor reports, and site inspection outcomes, no evidence was identified of unauthorised waste disposal occurring on site. Waste streams generated at the premises were either recycled, recovered or transported off site for disposal in accordance with licence requirements.</td><td></td><td></td></tr>
<tr><td colspan="6">L5 NOISE</td></tr>
<tr><td>L5.1</td><td>Noise generated at the premises must not exceed the noise limits presented in the table below.
<table><tr><th>Location</th><th>Day LAeq(15min)</th><th>Evening LAeq(15min)</th><th>Night LAeq(15min)</th><th>Night LA1(1min)</th></tr><tr><td>EPA Point 36 in NMG 1A</td><td></td><td></td><td>41</td><td>46</td></tr><tr><td>EPA Point 37 in NMG 1B</td><td></td><td></td><td>40</td><td>46</td></tr><tr><td>EPA Point 38 in NMG 1C</td><td></td><td></td><td>39</td><td>46</td></tr><tr><td>EPA Point 39 in NMG 2</td><td></td><td></td><td>37</td><td>46</td></tr><tr><td>EPA Point 40 in NMG 3</td><td></td><td></td><td>39</td><td>46</td></tr><tr><td>EPA Point 41 in NMG 4</td><td></td><td></td><td>39</td><td>46</td></tr><tr><td>EPA Point 42 in NMG 5</td><td></td><td></td><td>40</td><td>46</td></tr><tr><td>EPA Point 43 ini NMG 6</td><td></td><td></td><td>40</td><td>46</td></tr><tr><td>Residence 160 - Bowman in NMG 1A</td><td>41</td><td>41</td><td>41</td><td>45</td></tr><tr><td>Residence 256 - Moxey in NMG 1A</td><td>41</td><td>41</td><td>41</td><td>45</td></tr><tr><td>Residence 161 - Shearer in NMG 1A</td><td>41</td><td>41</td><td>41</td><td>45</td></tr><tr><td>Residence 162, 163, 258, 260 & 261 on Shearers Lane in NMG 1A</td><td>41</td><td>41</td><td>41</td><td>45</td></tr><tr><td>Residence 121 - Ernst in NMG 1B</td><td>40</td><td>40</td><td>40</td><td>45</td></tr><tr><td>Residence 123 - Nelson in NMG 1B</td><td>40</td><td>40</td><td>40</td><td>45</td></tr></table></td><td>Monthly attended noise monitoring reports (Dec 2022 – Aug 2025)

Real-time noise system

Site Inspection

Annual Returns</td><td>HVO demonstrates compliance with Condition L5.1 through the implementation of a structured noise monitoring program that includes routine monthly attended noise monitoring undertaken by independent consultant EMM in accordance with the HVO Noise Monitoring Programme (NMP).

The auditors reviewed noise monitoring data covering the full audit period. This included monthly attended noise monitoring reports conducted by EMM from December 2022 to August 2025, detailing measured LAeq (15-minute) and LA1(1-minute) levels, meteorological conditions, operator attribution notes, and compliance assessments against the EPL criteria. The following is noted by the auditors from the review:

• No exceedances of the applicable noise impact assessment criteria were recorded at any monitoring location.</td><td>Compliant</td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Residence 120 - Clifton and Edwards in NMG 1B and residences within 250m of this residence, not otherwise listed in this table: 40 / 40 / 40 / 45 Maison Dieu residences 244, 245,246 & 247 in NMG 1C within 1km if Shearers Lane, not otherwise listed in this table: 39 / 39 / 39 / 45 Residence 127 - Riley in NMG 2: 37 / 37 / 37 / 45 All other Maison Dieu residences not listed in this table: 35 / 35 / 35 / 45 Residence 323 - Bennett in NMG 4: 40 / 40 / 40 / 46 Residence 322 - Nichols in NMG 4: 40 / 40 / 40 / 46 Residence 308 - Cooper in NMG 4: 39 / 39 / 39 / 46 Residence 310 - Northcote in NMG 4: 39 / 39 / 39 / 45 Residence 311 - Elisnore in NMG 4: 39 / 39 / 39 / 46 Residence 317 - Gee in NMG 4: 39 / 39 / 39 / 46 Residence 434 - Murphy in NMG 4: 39 / 39 / 39 / 46 Residence 436 - Skinner in NMG 4: 39 / 39 / 39 / 46 Residence 321 - Hayes in NMG 4: 40 / 40 / 40 / 46 Jerrys Plains Village and Jerrys Plains West residences 399, 379, 376, 378, 380-383, 387-409, 411, 413-415, 419-423, 362 - 375, 377, 384, 385, 417, 418, 424, 354, 339-353, 355-361, 334, 328, 329, 331-333, 335-338, 326, 327, 330. 437 & 438: 40 / 40 / 40 / 46 All Jerrys Plains Road residences not otherwise listed in this table: 35 / 35 / 35 / 46 All other privately owned land in Warkworth Village: 43 / 43 / 43 / 45 All other privately owned land: 35 / 35 / 35 / 45		• EMM do not notify HVO prior to monitoring, ensuring independence and preventing operational bias. • All attended surveys reviewed for the audit period occurred at night after 10 pm, aligned with the time-of-day when criteria are most stringent and mining noise is most detectable. • Some months include two attended monitoring nights (e.g., March 2023) to satisfy quarterly monitoring obligations in addition to monthly rounds. • Where meteorological conditions were outside INP-compliant ranges, results were appropriately reported as N/A in accordance with the Noise Monitoring Programme. • Attended monitoring was undertaken in full accordance with the Noise Monitoring Programme every month during the audit period.		
L5.2	For the purposes of condition L5.1:		This is noted.	Noted	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	a) Day is defined as the period from 7am to 6pm Monday to Saturday and 8am to 6pm Sundays and Public Holidays, b) Evening is defined as the period from 6pm to 10pm, and c) Night is defined as the period from 10pm to 7am Monday to Saturday and 10pm to 8am Sundays and Public Holidays				
L5.3	The noise limits set out in condition L5.1 apply under all meteorological conditions except for the following: a) Wind speeds greater than 3 metres/second at 10 metres above the ground level; b) Stability category F temperature inversion conditions and wind speeds greater than 2 metres/second at 10 metres above ground level; c) Stability category G temperature inversion conditions; or d) During periods of rain or hail.		Refer findings against Condition L5.1	Compliant	
L5.4	For the purposes of condition L5.3: a) Data recorded by the meteorological station installed on the premises at Point 19 or 22, which ever is more representative, must be used to determine meteorological conditions; and b) Temperature inversion conditions (stability category) are to be determined by the methods referred to in Fact Sheet D of the Noise Policy for Industry (2017).		Refer findings against Condition L5.1	Compliant	
L5.5	For the purposes of condition L5.1 noise limits and sensitive receiver numbers have been consolidated from HVO North DA 450-10-2003 Modification 7 dated July 2017, HVO South PA 06_0261 Modification 5 dated 28 February 2018 and the report titled "Hunter Valley Operations Noise Management Groups for Environment Protection Licence 640" dated January 2020 Revision B prepared by Global Acoustics Pty Ltd (EPA Reference DOC20/126645-7).		Refer findings against Condition L5.1	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
L6 BLASTING					
L6.1	Blasting in or on the premises must only be carried out between 07:00 hours and 18:00 hours, Monday to Saturday. Blasting in or on the premises must not take place on Sundays or Public Holidays without lawful approval.	Monthly Environmental Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1 KABOOM blast monitoring data (airblast and vibration logs) Blast Database 2022-2025	Blast firing times are automatically recorded through: • the KABOOM monitoring system, which logs precise timestamps (hh:mm:ss); • parallel records in the Drill & Blast database; • event summaries reported monthly in Section 4.1 of the monthly environmental reports published online. A review of the raw data from the blast database against the data presented in the monthly environmental monitoring reports published online was conducted to verify accuracy. The following was identified: • Hours: o No blasts occurred outside 7:00 am–6:00 pm in the audit period (1 Dec 2022 – 17 Oct 2025). o No blasts were recorded on a Sunday • Daily frequency: o A maximum of 4 blasts on any single day over the audit period were recorded. • Weekly frequency: o A maximum of 8 blasts in any single week were recorded (on a calendar-week basis). All blasts complied with the blast timing and frequency limits.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
L6.2	The airblast overpressure level from blasting operations in or on the premises must not exceed:115 dB (Lin Peak) for more than 5% of the total number of blasts during each reporting period; at either Point 9, 11, 18 or 21.	Monitoring Reports (Dec 2022 – Oct 2025), Section 4.1 KABOOM blast monitoring data (airblast and vibration logs) HVO Blast Management Plan (V4.0) Blast risk assessments, Dust & Fume TARP sheets ENVMET modelling outputs for overpressure prediction Site Inspection Complaints Register	The audit reviewed blast monitoring data for the audit period to assess compliance with EPL 640 Conditions L6.2 to L6.5 relating to airblast overpressure and ground vibration limits at nominated compliance monitoring locations. No exceedances of the applicable airblast or ground vibration criteria were identified at any compliance monitoring point representing privately-owned receivers. Monitoring results confirmed that all recorded airblast overpressure levels remained below 120 dB (Lin Peak) at all times, and ground vibration peak particle velocity did not exceed 10 mm/second at any time. While a small number of blast events recorded airblast levels greater than 115 dB (Lin Peak) and/or ground vibration levels greater than 5 mm/second, these occurrences were within the allowable ≤5% of blasts per 12-month reporting period, in accordance with the licence requirements. All blast events associated with community complaints were reviewed and confirmed to be compliant with the applicable airblast and ground vibration criteria.	Compliant	
L6.3	The airblast overpressure level from blasting operations in or on the premises must not exceed: • 120 dB (Lin Peak) at any time; at either Point 9, 11, 18 or 21.			Compliant	
L6.4	The ground vibration peak particle velocity from blasting operations carried out in or on the premises must not exceed: • 5 mm/second for more than 5% of the total number of blasts during each reporting period; at either Point 9, 11, 18 or 21.			Compliant	
L6.5	The ground vibration peak particle velocity from blasting operations carried out in or on the premises must not exceed: • 10 mm/second at any time; at either Point 9, 11, 18 or 21.			Compliant	
L6.6	Offensive blast fume must not be emitted from the premises. *Definition:* *Offensive blast fume means post-blast gases from the detonation of explosives at the premises that by* *reason of their nature, duration, character or quality, or the time at which they are emitted, or any other circumstances:* *1. are harmful to (or likely to be harmful to) a person that is outside the premises from which it is emitted, or*	HVO (2024) HVO West Pit Fume Event Report, dated 22/11/2024 HVO (2024) HVO Fume Event Report, dated 04/06/2024 HVO Fume Event Report, Dated 09/09/2023	Three Level 4B blast fume events occurred during the audit period on 9 September 2023, 4 June 2024, and 22 November 2024. Each event involved visible post-blast fume generation, was investigated by HVO. The 9 September 2023 event occurred in the West/Mitchell Pit (HVO North) and resulted in fume dispersing across mine-owned land, with one community complaint received. The 4 June	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	2. interferes unreasonably with (or is likely to interfere unreasonably with) the comfort or repose of a person who is outside the premises from which it is emitted.		2024 (Cheshunt Pit 1 – HVO South) and 22 November 2024 (West Pit – HVO North) events also involved fume dispersion largely confined to mine-owned land, with no complaints recorded. All events were attributed to moisture ingress, ground conditions, or explosive performance factors and were managed in accordance with HVO's Post-Blast Fume Generation Mitigation and Management Plan. No confirmed off-site harm was identified, and HVO determined that EPA notification under EPL Condition L6.6 was not required as the Pollution Incident Response Management Plan activation threshold was not met. HVO notified the Department of Planning Housing and Infrastructure of each event in accordance with development consent requirements. EPA notification under EPL Condition L6.6 was assessed by HVO as not required, as the events did not meet the licence definition of offensive blast fume, and the Pollution Incident Response Management Plan activation threshold was not triggered. Based on the evidence reviewed, HVO was not considered to have emitted offensive blast fume during the audit period. While three Level 4B blast fume events occurred during the audit period, investigations confirmed that fume dispersion was predominantly confined to mine-owned land, dissipated prior to reaching public land, and did not result in confirmed off-site harm or unreasonable interference with the comfort or repose of persons outside the premises.		

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
L7 POTENTIALLY OFFENSIVE ODOUR					
L7.1	No condition of this licence identifies a potentially offensive odour for the purposes of section 129 of the Protection of the Environment Operations Act 1997. *Note: Section 129 of the Protection of the Environment Operations Act 1997, provides that the licensee must not cause or permit the emission of any offensive odour from the premises but provides a defence if the emission is identified in the relevant environment protection licence as a potentially offensive odour and the odour was emitted in accordance with the conditions of a licence directed at minimising odour.*	Complaints Register Site Inspection Discussion with HVO E&C Department	At HVO, the primary potential source of odour is blast fume, with spontaneous combustion presenting a low but manageable risk in terms of off-site odour impacts. Review of site records and community complaints confirmed that no odour-related complaints were received during the audit period, and no evidence was identified to suggest offensive odour emissions from the site. The audit confirmed that HVO implements best practice measures to prevent offensive odour, including comprehensive pre-blast dust and fume risk assessments, conservative blast timing decisions informed by meteorological conditions, appropriate explosive product selection, and the application of a Post-Blast Fume Generation Mitigation and Management Plan as a contingency framework. On this basis, the audit concluded that HVO did not cause or permit the emission of offensive odour during the audit period, consistent with the requirements of section 129 of the *Protection of the Environment Operations Act 1997* and EPL 640 Condition L7.1.	Compliant	
L8 OTHER LIMIT CONDITIONS					
L8.1	**Ammonium Nitrate Emulsion Plant** The licensee must not produce more than 116,000 tonnes per annum of ammonium nitrate emulsion product at the premises.	Periodic Inspection 20250526 AECI, 26/05/2025	Annual ammonium nitrate emulsion production volumes during the audit period did not exceed 116,000 tonnes per annum, consistent with Condition L8.1.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
L8.2	**Ammonium Nitrate Storage Compound** The licensee must not store more than 7,250 tonnes of ammonium nitrate at the ammonium nitrate storage compound at the premises at any time and the ammonium nitrate must be stored in individual stockpiles not exceeding 250 tonnes.	Periodic Inspection 20250526 AECI, 26/05/2025	Ammonium nitrate storage quantities at the ammonium nitrate storage compound did not exceed 7,250 tonnes at any time, and storage was managed in discrete stockpiles consistent with the ≤250-tonne individual stockpile limit, in accordance with Condition L8.2. No evidence was identified to indicate exceedances of production or storage limits, or non-compliance with stockpile size requirements during the audit period.	Compliant	
4 OPERATING CONDITIONS					
O1 ACTIVITIES MUST BE CARRIED OUT IN A COMPETENT MANNER					
O1.1	Licensed activities must be carried out in a competent manner. This includes: a) the processing, handling, movement and storage of materials and substances used to carry out the activity; and b) the treatment, storage, processing, reprocessing, transport and disposal of waste generated by the activity.	HVO Non-Mineral Waste Management Plan, Version 4.0 18/11/2022 (review due 18/11/2025) 5 May 2024 HVO Monthly Waste Report – Waste Statistics JR Richards 2508 Glencore – Waste Management Report, August 2025 Sample of EPA Waste Tracking Requirement Reports (Renewable Waste Oil), 28 July 2025, 30 June 2025	Waste is managed in accordance with the Waste Management System and the Non-Mineral Waste Management Plan (2025). Cleanaway was the licensed waste contractor until March 2025, after which J.R. Richards was engaged. Waste generation and collection data are monitored through: • EPA Waste Tracking Reports; and • Monthly Total Waste Management Reports provided by the contractor (formerly Cleanaway, and currently J.R. Richards), which outline collected waste volumes and identify licensed disposal facilities, ensuring traceability and compliance with EPA waste-tracking requirements. Waste performance is reported annually in the HVO Annual Reviews, which are approved by the Secretary. Auditors sighted the August Waste Management Report (2508 Glencore	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		HVO Monthly Environmental Inspection Form, Version 4.5 - Sample. South Lemington 3/04/2024	HVO Waste Management Report), confirming year-to-date data from March 2025 onwards. The Waste Management Plan requires monthly inspections of waste management across the site. These inspections are carried out collectively by several departments. Monthly environmental inspections also include checks of waste and hydrocarbon storage areas, depending on the location being assessed. Waste summary information was sighted in Annual Reviews. No evidence was identified during the audit to indicate that materials or wastes were processed, handled, stored, transported or disposed of in an incompetent manner, or that waste management practices posed an environmental or regulatory risk.		
O2 MAINTENANCE OF PLANT AND EQUIPMENT					
O2.1	All plant and equipment installed at the premises or used in connection with the licensed activity: a) must be maintained in a proper and efficient condition; and b) must be operated in a proper and efficient manner.	Glencore Workforce Onboarding System Benchmark Maintenance SharePoint for April 2025 Site Inspection Discussion with E&C Department, Maintenance Planners and associated personnel	The auditors reviewed maintenance records, interviewed maintenance planners and personnel, examined SAP work orders and defect notifications, and verified operator competencies and licence records to confirm that plant and equipment are maintained and operated appropriately. The site inspection included the Mine Infrastructure Area (MIA), fuel farm, South STP, and the HVO South store and maintenance workshop, allowing verification of maintenance practices and equipment condition onsite. As the overarching maintenance and operational systems apply across the whole HVO complex,	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			further detail is provided under Schedule 2, Condition 12 of the HVO North consent audit checklist (DA 450-10-2003) and Schedule 2 Condition 12 of the HVO South consent audit checklist (PA06_0261).		
O2.2	**Sewage Treatment System** The licensee is responsible for the correct operation of the sewage treatment system on the premises.	Waste Management Certificate: All Septics and Plumbing, Letter re. Confirmation of wastewater treatment facility performance at Hunter Valley Operations (HVO North), 22/08/2024 Centre For Environmental Training Certificate of Completion, On-Site Wastewater Management, Staff Member, 1-3 March 2017. Quarterly Inspections (attached to the Annual Returns). Entered into SAP, workorder generated every month. Singleton Council, Extension of Approval to Operate On-site sewage	Hunter Valley Operations operates sewage treatment systems at HVO North and HVO South, with an additional facility at HVO West that operates at limited capacity as a holding and transfer system. Sewage generated at HVO West is transferred via tanker to either the HVO North STP for treatment or removed offsite by a licensed contractor. No direct discharge from the HVO West system occurs. Based on the evidence reviewed: • HVO engages All Septic Solutions, a suitably qualified service provider, to maintain and service sewage treatment systems on site. • Relevant staff have completed accredited training in On-Site Wastewater Management, supporting competent operation and oversight. • The HVO North STP was upgraded in 2024, and the HVO South STP was upgraded in 2025, improving treatment performance and operational reliability. • Monitoring of sewage treatment systems is undertaken by an external consultant in accordance with EPL requirements, with quarterly grab sampling conducted for faecal	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Management System, (HVO North) 1/07/2024 Singleton Council, Extension of Approval to Operate On-site sewage Management System, (HVO South) 1/07/2025 Singleton Council, Extension of Approval to Operate On-site sewage Management System, (HVO West) 1/07/2025	coliform and pH at all required monitoring points. • Monitoring results reviewed by the auditors confirmed that required sampling was undertaken and results were reported. Faecal coliform concentrations at HVO North and HVO South show a declining trend following system upgrades, indicating improved treatment efficiency. • Elevated faecal coliform levels at the HVO West facility are expected, as the system functions as a holding and transfer point only and does not operate as an active treatment plant. The EPL does not detail compliance limits for faecal coliform or pH for sewage treatment systems, only that monitoring be undertaken and reported. Accordingly, the monitoring results reviewed do not represent non-compliances but provide performance trend information. No deficiencies were identified in relation to system operation, maintenance, monitoring or reporting during the audit period.		
O2.3	Correct operation involves regular supervision and system maintenance. The licensee must be aware of the system management requirements and must ensure that the necessary service contracts are in place.	Refer evidence against O2.2	HVO engages All Septic Solutions to maintain both STPs under a formal service contract. Regular inspections and maintenance are undertaken by qualified personnel. The contractor provides inspection reports and maintenance documentation following each visit.	Compliant	
O2.4	The sewage treatment system must be serviced by a suitably qualified and experienced wastewater	Refer evidence against O2.2	Quarterly maintenance and inspection activities are scheduled and tracked in the SAP system.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	technician at least once in each quarterly period and a minimum of four times per year.		Preventative work orders (103681789 and 103673384) confirm regular quarterly servicing of both STPs. All servicing is performed by *All Septic Solutions*, a suitably qualified wastewater contractor.		
O2.5	The licensee must record each inspection and any actions required or recommended by the technician including all results of tests performed on the sewage treatment system by the technician as required in condition O2.4.	Refer evidence against O2.2	All inspections, servicing results, and technician recommendations are documented and retained. Records are stored within SAP and attached to the Annual Return. Sighted inspection forms demonstrate follow-up actions and test results are recorded as required.	Compliant	
O2.6	The licensee must prepare a sewage treatment system maintenance program. The program must include: a) Certification from the system provider that the sewage treatment system is operating within its capacity; b) Date, time and results of all routine maintenance procedures undertaken to the sewage treatment system; and c) Provide written records of each quarterly inspection.	Discussion with E&C Department Site Inspection	A sewage treatment system maintenance program is implemented through SAP. The program schedules quarterly inspections and captures all maintenance activities. All inspection records, including dates, times, and test results, are attached to the Annual Return. Across the 2023–24 and 2024–25 reporting periods, HVO remained non-compliant with EPL 640 Condition O2.6(a), which requires certification from the system provider confirming that each sewage treatment plant (STP) operates within capacity. Certification was unavailable as the original provider is no longer engaged and capacity documentation is missing. The HVO North STP was upgraded in May 2024 and can now be certified. The HVO West STP has been decommissioned and now functions as a transfer/storage tank. The HVO South STP upgrades (new pumps, UV lamps, and chlorine disinfection) were completed in July 2025, enabling future certification.	Non-Compliant	**NC-014**

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			REC-001 - HVO should obtain certification from the system provider confirming that the HVO South Sewage Treatment Plant is operating within its design capacity, in accordance with Condition O2.6(a) of EPL 640, to achieve full compliance.		
O3 DUST					
O3.1	The premises must be maintained in a condition which minimises or prevents the emission of dust from the premises.	Approved AQGGMP (Version 3.5, effective 22/05/2025) Site Inspection Air Quality Inspection Form – 8/9/2025 PRONTO Inspection System – sighted digital inspection records, dated 12/10/2025 Sample of air quality exceedance investigation reports quarterly CCC meetings.	Best practice controls to minimise dust, and odour emissions were observed during the site inspection, including effective use of water sprays, water carts, coal loading moisture controls, real-time oversight via the camera network, and optimisation initiatives that also reduce greenhouse gas emissions. A comprehensive air quality management system is in place, supported by predictive meteorology tools, real-time monitoring, dynamic operational controls and a structured exceedance investigation process. Air quality management during adverse conditions was demonstrated through the implementation of operational triggers and response actions and no visible off-site dust emissions were observed during the inspection. A detailed summary of air quality operating measures in place during the audit period is provided against Schedule 3 Condition 6 of DA-450-10-2003 (Audit Checklist A1). In summary HVO were found to comply with condition O3.1-O3.3 in relation to dust management.	Compliant	
O3.2	Activities occurring in or on the premises must be carried out in a manner that will minimise the generation, or emission from the premises, of wind-blown or traffic generated dust.			Compliant	
O3.3	All trafficable areas, coal storage areas and vehicle manoeuvring areas in or on the premises must be maintained, at all times, in a condition that will minimise the generation, or emission from the premises, of wind-blown or traffic generated dust.			Compliant	
O3.4	Trucks transporting coal from the premises must be covered immediately after loading to prevent wind blown emissions and spillage. The covering must be	Site Inspection	During the site inspection, haul trucks observed in the HVO North West Pit were noted to have automatic covers in place immediately after	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	maintained until immediately before unloading the trucks.		loading. The truck covers were maintained while travelling on the internal private haul roads, consistent with the intent of the condition.		
O3.5	The tailgates of all haulage trucks leaving the premises must be securely fixed prior to loading or immediately after unloading to prevent loss of material.	Site Inspection	During the site inspection, trucks operating on the internal private haul roads were observed with tailgates securely fixed during loading and transport. This demonstrated appropriate controls to prevent the loss of material, consistent with the intent of the condition	Compliant	
O4 EFFLUENT APPLICATION TO LAND					
O4.1	The licensee must ensure that the effluent discharge utilisation area perimeter is fenced and signposted and controlled in a manner to ensure exclusion of persons from that area.	Discussion with E&C Department Site Inspection	As the premises does not contain an effluent discharge utilisation area, this condition is not triggered.	Not triggered	
O4.2	The licensee must ensure that sprays or mists from irrigation do not drift beyond the boundary of the effluent discharge utilisation area and that no ponding occurs.	Discussion with E&C Department Site Inspection	Activities are not undertaken onsite which trigger this condition.	Not triggered	
O4.3	Application of wastewaters must only be applied at a rate that can be assimilated by the effluent discharge utilisation area and its evapotranspiration capacity.	Discussion with E&C Department Site Inspection	Activities are not undertaken onsite which trigger this condition.	Not triggered	
O5 EMERGENCY RESPONSE					
O5.0	*Note: The licensee must maintain, and implement as necessary, a current Pollution Incident Response Management Plan (PIRMP) for the premises in accordance with the requirements in Part 5.7A of the*	Discussion with the E&C Department Pollution Incident Response	HVO maintain a PIRMP for the whole site. The PIRMP was last triggered in August 2022, prior to the commencement of the audit period. The PIRMP was not triggered in this audit period.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Act and Chapter 4 of the Protection of the Environment Operations (General) Regulation 2022.	Management Plan, V14.			
O6 PROCESS AND MANAGEMENT					
O6.1	All above ground tanks containing material that is likely to cause environmental harm must be bunded or have an alternative spill containment system in place.	Site Inspection Discussion with E&C Department GCAA, 11.07 Hydrocarbon Management Protocol, Version 5.0, 02/12/2024 SLR, Flammable & Combustible Liquids Audit AS 1940-2017 Audit, Version 0.1, 5/12/2018 HVO, Hydrocarbon Management Plan. Version 1.0 16/04/2025	All identified above-ground storage tanks (ASTs) containing hydrocarbons or other materials with the potential to cause environmental harm were located within bunded containment systems. Bunding was visually confirmed during site inspections at both HVO North and HVO South. Spill containment measures, including spill kits, were sighted across the site, providing additional contingency controls to manage minor spills and leaks. Hydrocarbon storage and spill response requirements are documented within HVO's hydrocarbon management procedures and are aligned with relevant Australian Standards, including AS 1940. No evidence was identified of unbunded ASTs or deficiencies in spill containment arrangements during the audit period.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
O6.2	Bunds must: a) have walls and floors constructed of impervious materials; b) be of sufficient capacity to contain 110% of the volume of the tank (or 110% volume of the largest tank where a group of tanks are installed); c) have floors graded to a collection sump; and d) not have a drain valve incorporated in the bund structure, or be constructed and operated in a manner that achieves the same environmental outcome.	Site Inspection Discussion with E&C Department GCAA, 11.07 Hydrocarbon Management Protocol, Version 5.0, 02/12/2024 SLR, Flammable & Combustible Liquids Audit AS 1940-2017, Version 0.1, 5/12/2018 HVO, Hydrocarbon Management Plan. Version 1.0 16/04/2025	HVO maintain a Dangerous Goods Management Procedure which is managed by the Safety Department at HVO. There is also an Explosives and Security Sensitive Dangerous Security (SSDS) Procedure managed by the Drill & Blast Superintendent. This satisfies the requirements of the *Explosives Act 2003.* HVO maintain adequate licences to store explosives with SafeWork NSW. The Ammonium Nitrate Emulsion (ANE) Facility in the South managed by Orica Australia (AOCI). There is an internal system for reviewing Fuel farm storage, and the Continuation project is expected to trigger upgrades in the future. **Dangerous Goods Management** HVO engaged SLR to undertake an AS 1940–2017 audit in 2018. The auditors reviewed the SLR audit report, which identified several deficiencies associated with the bulk fuel farm bunding system. Evidence was sighted in CMO confirming that all findings from the 2018 audit had been addressed and closed out. HVO advised that site conditions have not materially changed since that time and that a further flammable and combustible liquids audit is being planned. It is noted that this Independent Environmental Audit did not include qualified dangerous goods or explosives specialists. Accordingly, the assessment under this condition is based on documentation, historical audit reports and information provided by HVO. The conclusions reached do not constitute an independent	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			technical certification of compliance with all detailed requirements of the relevant Australian Standards, the Australian Dangerous Goods Code, or the NSW Resources Regulator's explosives management requirements. Based on the evidence reviewed, HVO has established and implemented appropriate systems, procedures and controls for the management of dangerous goods and explosives.		
O7 WASTE MANAGEMENT					
O7.1	**Heavy Plant Tyre Disposal** The licensee is authorised to dispose of heavy plant tyre waste generated on the premises, in the pit. The licensee must: a) ensure that heavy plant waste tyres are re-used on the premises as much as practical; b) ensure that any surplus heavy plant waste tyres can be emplaced by being spread out on the pit-floor and buried as deep as practical, but, covered by at least 20m of inert material beneath any final rehabilitated surface; c) place heavy plant waste tyres at least 10m away from coarse reject material or tailings emplacement areas; d) not place any heavy plant waste tyres near heated material; e) not place any heavy plant waste tyres in an area likely to leach to any watercourse.	HVO Tyre and Rim Management Plan, Version 11.0, 7/11/2024 Annual Return Reports: EPL 640 Heavy Plant -Tyre disposal Report 2022-2023 EPL 640 Heavy Plant -Tyre disposal Report 2023-2024 EPL 640 Heavy Plant -Tyre disposal Report 2024-2025 CMO, Tyre use photographs, Bunding Delineation examples	HVO manage and dispose of heavy plant tyres in accordance with the internal HVO Non-Mineral Waste Management Plan and the HVO Tyre and rim management plan (HVOOC-1797567310-1793). **Reuse of heavy vehicle tyres:** • Barriers, garden beds, ark up area to delineate lanes, drainage line supports. • If tyres can be repaired and used again it will be. The tyre bay department will review the damage / wear and determine when tyre is due for disposal. Tyre reuse was sighted during the audit in the form of barriers, garden beds, and lane delineation. Tyre Bay Department report on how many tyres they have requiring disposal and Tech Services provide an authorised location for disposal.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Tech Services email, Tyre Dumps, 23/09/2025	Tech Services consult with the Survey Department, who have database plan of all tyre disposal locations across the site. HVO report on tyre disposal in the annual return. Sighted email from Tech Services on 23 September 2024 to the E&C Department. Tech services seeking clarification on water table levels for a particular area being considered for tyre disposal. The E&C Department responded with a snip from the original EIS that confirmed water levels in the final void. This shows the methodology and adherence to this condition when determining the location for tyre disposal.		
O8 OTHER OPERATING CONDITIONS					
O8.1	There must be no incineration or open burning of any material(s) on the premises, except as specifically authorised by the EPA.	Site Inspection	HVO does not incinerate or conduct open burning on site. No evidence was seen which indicated the site has conducted incineration on site during the audit period.	Compliant	
O8.2	The licensee is authorised to receive mine water at the premises from Liddell Coal Mine (as defined in Environment Protection Licence 2094), Wambo Coal Mine (as defined in Environment Protection Licence 529), Ravensworth Complex (as defined in Environment Protection Licence 2652) and Warkworth Coal Mine (as defined in Environment Protection Licence 1376), for storage and use in activities authorised by the licence.	Discussion with E&C Department Water Balance spreadsheets: • waf and gcp interface_hvo_2025.xlsx • 2022_waf and gcp interface_hvo.xlsx	HVO maintains water-sharing and transfer agreements with nearby mines to manage water levels. A water transfer agreement is in place with Glencore's Liddell (LCO) Mine, allowing water to be transferred to HVO's train load points when required, with LCO providing water to Newdell during the audit period. Piping infrastructure is in place for the transfer of water to MTW via Dam 27S (Lemington Void). Piping infrastructure is in place to MTW via Dam 27S (Lemington void). There is currently no active connection with the Ravensworth Complex.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		• 2024waf and gcp interface_hvo.xlsx • waf and gcp interface_hvo_2023.xlsx	All water transfers and usage are captured within the water balance system.		
O8.3	The licensee is authorised to transfer saline mine water to United Collieries (as defined in Environment Protection Licence 3141), Liddell Coal Mine (as defined in Environment Protection Licence 2094), Wambo Coal Mine (as defined in Environment Protection Licence 529), Ravensworth Complex (as defined in Environment Protection Licence 2652) and Warkworth Coal Mine (as defined in Environment Protection Licence 1376).	Discussion with E&C Department Annual Reviews 2022, 2023, 2024 Water Balance spreadsheets: • waf and gcp interface_hvo_2025.xlsx • 2022_waf and gcp interface_hvo.xlsx • 2024waf and gcp interface_hvo.xlsx • waf and gcp interface_hvo_2023.xlsx	HVO advised that water was transferred to Liddell Coal Operations during the audit period. No water was transferred to United Collieries, although a pipeline connection remains in place. There is currently no infrastructure to enable transfers between HVO and the Ravensworth Complex. HVO retains the capacity to share water with Mount Thorley Warkworth and Wambo Coal Mines; however, no transfers occurred during the audit period. Pipeline infrastructure exists to facilitate transfers with these operations if required.	Compliant	
O8.4	The licensee is authorised to transfer coal tailings to the Ravensworth Complex (as defined in Environment Protection Licence 2652) and must comply with the	Discussion with E&C Department	This condition authorises the transfer of coal tailings from the Cumnock Void TSF to the Ravensworth Complex in accordance with the	Noted	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Coal Washery Reject (Coal Mine Void) Resource Recovery Order 2014.		Coal Washery Reject (Coal Mine Void) Resource Recovery Order 2014.		
5 MONITORING AND RECORDING CONDITIONS					
M1 MONITORING RECORDS					
M1.1	The results of any monitoring required to be conducted by this licence or a load calculation protocol must be recorded and retained as set out in this condition.		HVO maintains all monitoring results within the Environmental Monitoring Database (EMD), supported by field records from and laboratory certificates of analysis from NATA-accredited providers. Records reviewed during the audit period confirmed that monitoring data is consistently recorded, retained, and readily retrievable for regulatory reporting and compliance verification.	Compliant	
M1.2	All records required to be kept by this licence must be: a) in a legible form, or in a form that can readily be reduced to a legible form; b) kept for at least 4 years after the monitoring or event to which they relate took place; and c) produced in a legible form to any authorised officer of the EPA who asks to see them.		HVO verified, through review of raw data, monitoring reports and certificates of analysis,]that all required data was retained in accordance with this condition requirements.	Compliant	
M1.3	The following records must be kept in respect of any samples required to be collected for the purposes of this licence: a) the date(s) on which the sample was taken; b) the time(s) at which the sample was collected; c) the point at which the sample was taken; and d) the name of the person who collected the sample.	EMD Database and excel exports 2022, 2023, 2024, 2025	Records related to sampling are maintained in accordance with licence requirements. Chain of Custody (COC) forms, a sample of surface water field sheets, and laboratory reports such as those were sighted to document the necessary details for each sample collected. These included the date and time of sampling, the specific location or sampling	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			point, and the name of the individual who collected the sample.		
M2 REQUIREMENT TO MONITOR CONCENTRATION OF POLLUTANTS DISCHARGED					
M2.1	For each monitoring/discharge point or utilisation area specified below (by a point number), the licensee must monitor (by sampling and obtaining results by analysis) the concentration of each pollutant specified in Column 1. The licensee must use the sampling method, units of measure, and sample at the frequency, specified opposite in the other columns:	Conditions M2.2 and M2.3	Refer to evidence against conditions M2.2 and M2.3.	Compliant	
M2.2	Air Monitoring Requirements POINT 13,15,16,17,44 **Pollutant** / **Units of measure** / **Frequency** / **Sampling Method** PM10 / micrograms per cubic metre / Continuous / AM-22	Monthly Environmental Monitoring Reports (2022–2025) Real-Time Air Quality Dashboard Annual Returns	Condition M2.2 requires continuous PM_{10} monitoring at Points 13, 15, 16, 17 and 44 using the specified method. During the audit period, several short-term data gaps occurred between December 2022 and March 2025 across the Howick, Wandewoi, Knodlers Lane, Golden Highway and West Pit TEOM monitoring sites due to power outages, instrument faults, calibration activities, logger failures and scheduled maintenance. While faults were rectified promptly and annual data capture rates remained high (approximately 95–99%), the presence of these interruptions means continuous monitoring was not achieved at all times, and the condition is therefore assessed as non-compliant. No recommendation has been raised for this non-compliance as the data gaps were short-term, attributable to unavoidable operational factors (e.g. power outages, equipment faults, calibration and maintenance activities), and were promptly rectified.	Non-compliant	**NC-015**

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th colspan="2">Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td></td><td></td><td colspan="2">Annual PM_{10} data capture rates remained high and consistent with regulatory expectations, and no ongoing or systemic deficiencies in the air quality monitoring network were identified.</td><td></td><td></td></tr>
<tr><td>M2.3</td><td>Water and/ or Land Monitoring Requirements
POINT 3,4
<table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Conductivity</td><td>microsiemens per centimetre</td><td>Continuous during discharge</td><td>A probe designed to measure the range 0 to 10,000 uS/cm</td></tr><tr><td>pH</td><td>pH</td><td>Daily during any discharge</td><td>Grab sample</td></tr><tr><td>Total suspended solids</td><td>milligrams per litre</td><td>Daily during any discharge</td><td>Grab sample</td></tr></table>POINT 3,4,8<table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Turbidity</td><td>nephelometric turbidity units</td><td>Continuous during discharge</td><td>Probe</td></tr></table>POINT 5<table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Conductivity</td><td>microsiemens per centimetre</td><td>Special Frequency 1</td><td>Probe</td></tr></table>POINT 8<table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Conductivity</td><td>microsiemens per centimetre</td><td>Continuous during discharge</td><td>A probe designed to measure the range 0 to 10,000 uS/cm</td></tr><tr><td>pH</td><td>pH</td><td>Daily during any discharge</td><td>Grab sample</td></tr><tr><td>Total suspended solids</td><td>milligrams per litre</td><td>Daily during any discharge</td><td>Grab sample</td></tr></table>POINT 23,25,26,29<table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Faecal Coliforms</td><td>colony forming units per 100 millilitres</td><td>Quarterly</td><td>Grab sample</td></tr><tr><td>pH</td><td>pH</td><td>Quarterly</td><td>Grab sample</td></tr></table>POINT 45,46,47,48,49,50,51,52,53,54</td><td>Annual Reviews 2022, 2023, 2024
Annual Returns 1-4-2022 to 31-3-2023, 1-4-2023 to 31-3-2024, and 1-4-2024 to 31-3-2025
EMD Database and excel exports 2022, 2023, 2024, 2025</td><td colspan="2">Monitoring under EPL 640 is undertaken at Points 3,4, and 8 for the parameters, frequency, and methods specified in the licence. No discharges occurred from Point 5 during the audit period, as such monitoring did not occur at Point 5.
Review of monitoring records, Annual reviews (2022–2024), and Annual Returns confirmed that monitoring at points 45-54 was conducted in accordance with EPL requirements.
No reportable exceedances of water quality for 3, 4, 8 during audit period.</td><td>Compliant</td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	<table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Electrical conductivity</td><td>microsiemens per centimetre</td><td>Quarterly</td><td>Grab sample</td></tr><tr><td>pH</td><td>pH</td><td>Quarterly</td><td>Grab sample</td></tr><tr><td>Total suspended solids</td><td>milligrams per litre</td><td>Quarterly</td><td>Grab sample</td></tr></table> POINT 55 <table><tr><th>Pollutant</th><th>Units of measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Ammonia</td><td>milligrams per litre</td><td>Every 6 months</td><td>Grab sample</td></tr><tr><td>Nitrogen (total)</td><td>milligrams per litre</td><td>Every 6 months</td><td>Grab sample</td></tr><tr><td>Total petroleum hydrocarbons</td><td>milligrams per litre</td><td>Every 6 months</td><td>Grab sample</td></tr></table>				
M2.4	For the purposes of the table(s) above Special Frequency 1 means the collection of samples at least every 10 minutes during discharge. *Note: The requirement for turbidity monitoring at Points 3, 4 and 8 will be reviewed by the EPA after review of data obtained during HRSTS discharge events.*		This is noted however sampling from Point 5 was not conducted during the audit period.	Not Triggered	
M3 TESTING METHODS – CONCENTRATION LIMITS					
M3.1	Monitoring for the concentration of a pollutant emitted to the air required to be conducted by this licence must be done in accordance with: a) any methodology which is required by or under the Act to be used for the testing of the concentration of the pollutant; or b) if no such requirement is imposed by or under the Act, any methodology which a condition of this licence requires to be used for that testing; or c) if no such requirement is imposed by or under the Act or by a condition of this licence, any methodology approved in writing by the EPA for the purposes of that testing prior to the testing taking place. *Note: The Protection of the Environment Operations (Clean Air) Regulation 2022 requires testing for certain purposes to be conducted in accordance with test methods contained in the*	Contractor monitoring reports, laboratory certificates of analysis, Annual Review and Annual Returns for the audit period	Monitoring for air pollutants required under the EPL was undertaken in accordance with the *Approved Methods for the Sampling and Analysis of Air Pollutants in NSW* as referenced by the POEO (Clean Air) Regulation 2022. Evidence sighted included contractor monitoring reports, laboratory certificates of analysis, and Annual Review and Annual Return statements confirming that EPA-endorsed methodologies were used. No deviations were identified.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	publication "Approved Methods for the Sampling and Analysis of Air Pollutants in NSW".				
M3.2	Subject to any express provision to the contrary in this licence, monitoring for the concentration of a pollutant discharged to waters or applied to a utilisation area must be done in accordance with the Approved Methods Publication unless another method has been approved by the EPA in writing before any tests are conducted.	AECOM Australia Method: Conductivity by classical using APHA 2510 B (EPA Approval ref. DOC18/17513-08). AECOM Australia Method: pH by classical using APHA 4500 H+B (EPA Approval ref. DOC18/17513-08).	Approved analytical methods used by the water sampling consultant (AECOM) were sighted, with no alternative or unapproved methods identified. This confirms that monitoring is being undertaken in accordance with EPA-approved methods and the Approved Methods Publication.	Compliant	
M3.3	Sampling, storage and analysis of electrical conductivity by grab sample is permitted to be undertaken in accordance with AECOM Australia Method: Conductivity by classical using APHA 2510 B (EPA Approval ref. DOC18/17513-08).	HVO_Surface-Water-Quality-Records_Aug2025 (Excel Spreadsheet) 2023 EPL 640 Annual Return Water Quality Monitoring Report 2023-2024 EPL 640 Annual Return Water Quality Monitoring Report v0.70 2024-2025 EPL 640 Annual Return Water Quality Monitoring Report	The audit reviewed surface water quality records, annual water quality monitoring reports, and supporting procedures for the audit period, including EC field and laboratory data. Grab sampling for electrical conductivity was undertaken by AECOM during the audit period in accordance with the approved AECOM internal procedure Horiba_Conductivity_Meter_Standard_Solution_Checks_Calibration_and_Measurement_Q4AN_EV_332_WI2, which aligns with APHA 2510 B. The HVO Water Management Plan (Table 8-7) specifies appropriate sampling method requirements for EC, including the use of probes designed to measure within the required range of 0–10,000 µS/cm. Review of annual monitoring reports and the surface water quality spreadsheet confirmed that field EC readings were predominantly	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			used, with laboratory EC analysis undertaken where required, consistent with the approved method and reporting framework. Accordingly, the audit concluded that sampling, storage and analysis of electrical conductivity were undertaken in accordance with the approved method, consistent with the requirements of EPL 640 Condition M3.3.		
M3.4	Sampling, storage and analysis of pH by grab sample is permitted to be undertaken in accordance with AECOM Australia Method: pH by classical using APHA 4500 H+B (EPA Approval ref. DOC18/17513-08).	HVO_Surface-Water-Quality-Records_Aug2025 (Excel Spreadsheet) 2023 EPL 640 Annual Return Water Quality Monitoring Report 2023-2024 EPL 640 Annual Return Water Quality Monitoring Report v0.70 2024-2025 EPL 640 Annual Return Water Quality Monitoring Report Horiba_Field_pH_Meter_Standard_Solution_Checks_Calibration_and_Measurement_Q4AN_EV_332_WI3.pdf	The audit reviewed surface water quality records, annual water quality monitoring reports and supporting procedures for the audit period, including field pH monitoring data and calibration records. AECOM's approved method for pH analysis (APHA 4500 H^+B; EPA Approval DOC18/17513-08) was verified through review of the referenced procedure and supporting monitoring records. The HVO Water Management Plan (Table 8-7) outlines the required sampling and field measurement process for pH grab samples, and the annual return reports and surface-water spreadsheets confirm that field pH readings were collected and reported in accordance with these requirements. No deviations from the approved method were identified.	Compliant	

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td colspan="6">M4 WEATHER MONITORING</td></tr>
<tr><td>M4.1</td><td>At the point(s) identified below, the licensee must monitor (by sampling and obtaining results by analysis) the parameters specified in Column 1 of the table below, using the corresponding sampling method, units of measure, averaging period and sampling frequency, specified opposite in the Columns 2, 3, 4 and 5 respectively.
POINT 19,22
<table>
<tr><th>Parameter</th><th>Sampling method</th><th>Units of measure</th><th>Averaging period</th><th>Frequency</th></tr>
<tr><td>Siting</td><td>AM-1 & AM-4</td><td>-</td><td>-</td><td>-</td></tr>
<tr><td>Temperature at 10 metres</td><td>AM-4</td><td>degrees Celsius</td><td>10 minutes</td><td>Continuous</td></tr>
<tr><td>Relative humidity</td><td>AM-4</td><td>percent</td><td>10 minutes</td><td>Continuous</td></tr>
<tr><td>Rainfall</td><td>AM-4</td><td>millimetres per hour</td><td>10 minutes</td><td>Continuous</td></tr>
<tr><td>Wind Speed at 10 metres</td><td>AM-2 & AM-4</td><td>metres per second</td><td>10 minutes</td><td>Continuous</td></tr>
<tr><td>Wind Direction at 10 metres</td><td>AM-2 & AM-4</td><td>Degrees</td><td>10 minutes</td><td>Continuous</td></tr>
<tr><td>Sigma theta</td><td>AM-2 & AM-4</td><td>Degrees</td><td>10 minutes</td><td>Continuous</td></tr>
<tr><td>Total Solar Radiation</td><td>AM-4</td><td>Watts per square metre</td><td>10 minutes</td><td>Continuous</td></tr>
</table></td><td>Site Inspection
Email, benchmark to HVO dated 09/10/2025 re: Met Station Calibration Data.

Non Compliance Summary Table.

Annual Reviews 2022, 2023, 2024.</td><td>HVO maintains two on-site meteorological stations: the Cheshunt Meteorological Station and the HVO Corporate Meteorological Station. Both stations are maintained by Benchmark Monitoring, who undertake routine maintenance, calibration and equipment inspections.

The meteorological stations record:
• Wind speed
• Wind direction
• Temperature
• Humidity
• Solar radiation
• Rainfall.

The auditors sighted calibration certificates, along with maintenance and inspection reports provided through Benchmark’s portal. Benchmark Monitoring issues calibration certificates directly to HVO via email, including the email dated 9 October 2025 regarding met station calibration data. Live weather readings were also viewed by the auditors through the online portal accessible to relevant HVO staff.

The operation of both meteorological stations was consistent with the requirements of the Approved Methods for Sampling and Analysis of Air Pollutants in New South Wales.</td><td>Compliant</td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
M5 RECORDING OF POLLUTION COMPLAINTS					
M5.1	The licensee must keep a legible record of all complaints made to the licensee or any employee or agent of the licensee in relation to pollution arising from any activity to which this licence applies.	Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025 Annual Reviews 2022, 2023, 2024 Discussion with HVO E&C Department HVO Public Website	HVO manages complaints through a structured process supported by the Community Complaints Hotline (1800 888 733) and a legible record of complaints are documented in Roxanne complaints management system.	Compliant	
M5.2	The record must include details of the following: a) the date and time of the complaint; b) the method by which the complaint was made; c) any personal details of the complainant which were provided by the complainant or, if no such details were provided, a note to that effect; d) the nature of the complaint; e) the action taken by the licensee in relation to the complaint, including any follow-up contact with the complainant; and f) if no action was taken by the licensee, the reasons why no action was taken.	Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025 Annual Reviews 2022, 2023, 2024 Discussion with HVO E&C Department HVO Public Website	HVO maintains a complaints management system that captures all information required under Condition M5.2, including the date and time of the complaint, method of contact, complainant details, the nature of the complaint, actions taken, follow-up responses, and justification where no action was required. Review of sample entries confirmed that this information is consistently recorded. For public transparency, a redacted version of the register is published on the MCO website, with personal information removed for privacy. The complete internal register, containing all required details, is retained by HVO and was examined during the audit.	Compliant	
M5.3	The record of the complaint must be kept for at least 4 years after the complaint was made.	Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025	HVO retains all complaints records for at least four years, consistent with the requirements of Condition M5.3.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
M5.4	The record must be produced to any authorised officer of the EPA who asks to see them.	Discussion with the E&C Department	No such request was received during the audit period; therefore, the condition was not triggered. The internal complaints register is maintained in a form that would enable prompt production if required.	Not Triggered	
M6 TELEPHONE COMPLAINTS LINE					
M6.1	The licensee must operate during its operating hours a telephone complaints line for the purpose of receiving any complaints from members of the public in relation to activities conducted at the premises or by the vehicle or mobile plant, unless otherwise specified in the licence.	HVO Public Website Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025 CCC Meeting Minutes: 2023, 2024, 2025 Community Complaints Management Procedure.	The audit reviewed the operation and accessibility of the HVO telephone complaints line, supported by review of the HVO public website, community complaints registers, Community Consultative Committee (CCC) meeting minutes, and the Community Complaints Management Procedure. Based on the evidence reviewed: • HVO operates a Community Complaints Hotline (1800 888 733), which is publicly advertised on the HVO website and in local newspapers in accordance with licence and procedural requirements. • The hotline operates 24 hours per day, 7 days per week, exceeding the minimum requirement to operate during operating hours. • Auditors independently tested the hotline during the audit and confirmed that it was operational at the time of the site inspection. • Review of community complaints registers for the audit period (1 December 2022 to 17 October 2025) confirmed that 34 complaints were	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			received, recorded and managed in accordance with the Community Complaints Management Procedure, supported by the Roxanne complaints management system. • Complaints were generally acknowledged and investigated promptly, with most complainants contacted on the same day and follow-up communication typically occurring within 24 hours. • Investigation records reviewed included appropriate consideration of relevant operational and monitoring information (e.g. blasting, meteorology, air quality, traffic and safety), with outcomes, actions and communication with complainants clearly documented.		
M6.2	The licensee must notify the public of the complaints line telephone number and the fact that it is a complaints line so that the impacted community knows how to make a complaint.	HVO Public Website Hunter Valley Operations Community Complaints Registers 2023, 2024, 2025 CCC Meeting Minutes: 2023, 2024, 2025 Singleton Argus newspaper, classified section, screenshot, dated 16/10/2025.	The complaints line telephone number is clearly displayed on the HVO Public Website, is noted within CCC Meeting Minute Presentations, and was sighted to be printed in the local Singleton Argus newspaper.	Compliant	
M6.3	The preceding two conditions do not apply until 3 months after: the date of the issue of this licence.		This condition is noted.	Noted	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
M7 REQUIREMENT TO MONITOR VOLUME OR MASS					
M7.1	For each discharge point or utilisation area specified below, the licensee must monitor: a) the volume of liquids discharged to water or applied to the area; b) the mass of solids applied to the area; c) the mass of pollutants emitted to the air; at the frequency and using the method and units of measure, specified below. POINT 3 Frequency: Continuous during discharge; Unit of Measure: megalitres per day; Sampling Method: Flow meter and continuous logger POINT 4 Frequency: Continuous during discharge; Unit of Measure: megalitres per day; Sampling Method: Weir structure and level sensor POINT 5 Frequency: Special Frequency 1; Unit of Measure: megalitres per day; Sampling Method: Special Method 1 POINT 8 Frequency: Continuous during discharge; Unit of Measure: megalitres per day; Sampling Method: Flow meter and continuous logger	HRSTS – HVO Discharge Record Sheet 2023-2024 HRSTS Discharge Report Final 2022-2023_V2 Hunter River Salinity Trading Scheme (HRSTS) - Hunter Valley Operations Lake James EMD Database and excel exports 2022, 2023, 2024, 2025	HVO discharged from Monitoring Points 3, 4, and 8 in 2022; Point 8 in 2024; and Points 3, 4, and 8 in 2025. No discharges were recorded from Point 5 during the audit period. A review of HVO's monitoring data confirmed that the volume of liquids discharged to water or applied to the specified areas was monitored in accordance with Condition M7.1 throughout the audit period.	Compliant	
M7.2	For the purpose of the table(s) above: • Special Frequency 1 means at least once every 10 minutes during discharge. • Special Method 1 means a method approved in writing by the EPA.		This is noted.	Noted	
M8 BLASTING					
M8.1	To determine compliance with conditions L6.2, L6.3, L6.4 and L6.5:	HVO email to Planning dated 10/07/2024, notification	On 1 July 2024, HVO did not fully comply with Condition M8.1, which requires airblast overpressure and ground vibration to be	Non-Compliant	**NC-016**

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td></td><td>a) Airblast overpressure and ground vibration levels must be measured and electronically recorded for Points 9, 11, 18 and 21 for the parameters specified in Column 1 of the table below; and

b) The licensee must use the units of measure, sampling method, and sample at the frequency specified opposite in the other columns.

<table><tr><th>Parameter</th><th>Units of Measure</th><th>Frequency</th><th>Sampling Method</th></tr><tr><td>Airblast Overpressure</td><td>Decibels (Linear Peak)</td><td>All blasts</td><td>Australian Standard AS 2187.2-2006</td></tr><tr><td>Ground Vibration Peak Particle Velocity</td><td>millimetres/second</td><td>All blasts</td><td>Australian Standard AS 2187.2-2006</td></tr></table></td><td>Annual Returns

Annual Reviews</td><td>measured and electronically recorded at nominated monitoring points. The Maison Dieu blast monitor failed to capture valid monitoring data for Blast P210WK607A, fired at approximately 2:05 pm in Cheshunt Pit 2, due to a malfunction affecting the monitor’s memory card. The monitor was inspected by the monitoring contractor on the day of the incident and immediately replaced. Data from other compliance monitoring locations confirmed that blasting levels were well within applicable vibration and overpressure criteria, the Maison Dieu monitor was located approximately 4.4 km from the blast epicentre, and no complaints were received. The incident occurred once, with the last recorded exceedance at this location having occurred in June 2020.

HVO notified NSW Planning of the monitoring mis-capture on 10 July 2024 and advised that the incident would be reported in the Annual Review; however, it was not included in the Annual Review and was subsequently reported as a non-compliance in the 2024–2025 Annual Return.

No recommendation has been raised for this non-compliance as the issue was isolated, promptly identified and rectified on the day through immediate replacement of the faulty monitoring equipment.</td><td></td><td></td></tr>
<tr><td colspan="6">M9 OTHER MONITORING AND RECORDING CONDITIONS</td></tr>
<tr><td>M9.1</td><td>HRSTS Monitoring</td><td>Water NSW, Portal Dam 11, Lake James and</td><td>HVO operates communication equipment that is directly linked to WaterNSW and provides continuous telemetry data from all</td><td>Compliant</td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	The licensee must continuously operate and maintain communication equipment which makes the conductivity and flow measurements, taken at Points 3, 4 and 8 available to the "Service Coordinator" within one hour of those measurements being taken and makes them available in the format specified in the "Hunter River Salinity Trading Scheme Discharge Point Telemetry Specification - Rev V1.0" released 4 October 2018 by Water NSW.	Parnells Dam, sighted 14/10/2025	licensed discharge points in accordance with the Hunter River Salinity Trading Scheme (HRSTS). The system automatically reports conductivity and flow measurements from Monitoring Points 3, 4, and 8 to WaterNSW on an hourly basis, ensuring compliance with the telemetry specification requirements. Auditors verified a spreadsheet snapshot of telemetry data from Lake James 15S, Parnell 9W, and D11N, as well as a review of the WaterNSW online interface that receives and displays real-time data from the discharge points. The telemetry system provides a constant data feed, with hourly updates (“pings”) transmitted to WaterNSW confirming active communication and data transfer.		
M9.2	The licensee must ensure that all monitoring data is within a margin of error of 5% for conductivity measurements and 10% for discharge flow measurement.	Benchmark Monitoring pH Calibration Report, Lake James, 25/03/2025 Benchmark Monitoring, BMM_1047_HVO Dam 11 Monthly Maintenance Form, 18/12/2024	HVO advised that error percentages are verified monthly as part of the ongoing maintenance and calibration program undertaken by Benchmark Monitoring. Calibration and maintenance reports were sighted during the audit, confirming that monitoring data is within a margin of error of the required 5% for conductivity and 10% for flow. Benchmark Monitoring conducts the monthly calibrations and documents the results in the calibration folder, which includes evidence of error-check records, pH, electrical conductivity (EC).	Compliant	

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td>M9.3</td><td>The licensee must mark Points 3, 4 and 8 with a sign which clearly indicates the name of the licensee, whether the monitoring point is up or down stream of the discharge point(s) and that it is a monitoring point for the Hunter River Salinity Trading Scheme.</td><td>Discussion with E&C Department and Site Inspection</td><td>Monitoring Points 3, 4, and 8 are signposted in accordance with the licence condition. During the site inspection, signage at HRSTS Monitoring Point 3 was sighted and confirmed to be in place.</td><td>Compliant</td><td></td></tr>
<tr><td>M9.4</td><td>Requirement to Monitor Particulate Matter
The licensee must record the average PM10 concentration at Points 13, 15, 16 17 and 44 at intervals of 10 minutes. This data must be made available upon request by any authorised officer of the EPA who asks to see them.</td><td>Monthly Environmental Monitoring Reports (2022–2025)
Annual Reviews (2022, 2023, 2024)
AQGGMP (Approved 2022) and Updated Draft AQGGMP (post-MOD 8)
HVO E&C Team Discussions</td><td>Review of monitoring records showed that PM10 concentration is recorded at Points 13, 15, 16, 17 and 44 at intervals specified in Condition M9.4.</td><td>Compliant</td><td></td></tr>
<tr><td colspan="6">M10 NOISE MONITORING</td></tr>
<tr><td>M10.1</td><td>To assess compliance with the noise limits specified within this licence, the licensee must undertake operator attended noise monitoring at each specified noise monitoring point in accordance with the table below.
POINT 36,37,38,39,40,41,42,43
<table>
<tr><th>Assessment period</th><th>Minimum frequency in a reporting period</th><th>Minimum duration within assessment period</th><th>Minimum number of assessment period</th></tr>
<tr><td>Night</td><td>Monthly</td><td>15 minutes</td><td>1 operation day</td></tr>
</table></td><td rowspan="2">Monthly attended noise monitoring reports (Dec 2022 – Aug 2025)
Real-time noise system</td><td rowspan="2">HVO operate a structured noise monitoring program that includes routine monthly attended noise monitoring undertaken by independent consultant EMM in accordance with the HVO Noise Monitoring Programme (NMP).
Attended noise monitoring is conducted in accordance with Condition M10.1-M10.2.</td><td>Compliant</td><td></td></tr>
<tr><td>M10.2</td><td>To assess compliance with condition L5.1, attended noise monitoring must be undertaken in accordance with conditions L5.2 to L5.4:
a) at Points 36, 37, 38, 39, 40 ,41 ,42 and 43 identified in condition P1.4; and</td><td></td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	b) occur every calendar month in a reporting period; and c) occur during one night time period as defined in the Noise Policy for Industry (2017) for a minimum of 15 minutes at each location from a).				
M10.3	Where required in writing by the EPA, the licensee must carry out attended monitoring at any sensitive receivers referred to in condition L5.1 in addition to the monitoring required by condition M10.1.	Discussion with E&C Department	No request was made during the audit period	Not Triggered	
6 REPORTING CONDITIONS					
R1 ANNUAL RETURN DOCUMENTS					
R1.1	The licensee must complete and supply to the EPA an Annual Return in the approved form comprising: 1. a Statement of Compliance, 2. a Monitoring and Complaints Summary, 3. a Statement of Compliance - Licence Conditions, 4. a Statement of Compliance - Load based Fee, 5. a Statement of Compliance - Requirement to Prepare Pollution Incident Response Management Plan, 6. a Statement of Compliance - Requirement to Publish Pollution Monitoring Data; and 7. a Statement of Compliance - Environmental Management Systems and Practices. At the end of each reporting period, the EPA will provide to the licensee notification that the Annual Return is due.	Annual Returns 1/4/2022 to 31/3/2023, 1/4/2023 to 31/3/2024, and 1/4/2024 to 31/3/2025 eConnect records 2023, 2024, 2025	The auditors sighted Annual Return for the periods of 1 April 2022 - 31 March 2023, 1 April 2023 - 31 March 2024 and 1 April 2024 - 31 March 2025 which included all required components (Statement of Compliance, Monitoring and Complaints Summary, Load-Based Fee Statement, PIRMP Statement, Pollution Monitoring Data Statement, and EMS Statement). Records of submission via eConnect and confirmation emails were also sighted. Annual Returns were submitted within the required timeframe, and the condition is considered compliant.	Compliant	
R1.2	An Annual Return must be prepared in respect of each reporting period, except as provided below.			Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Note: The term "reporting period" is defined in the dictionary at the end of this licence. Do not complete the Annual Return until after the end of the reporting period.				
R1.3	Where this licence is transferred from the licensee to a new licensee: a) the transferring licensee must prepare an Annual Return for the period commencing on the first day of the reporting period and ending on the date the application for the transfer of the licence to the new licensee is granted; and b) the new licensee must prepare an Annual Return for the period commencing on the date the application for the transfer of the licence is granted and ending on the last day of the reporting period. *Note: An application to transfer a licence must be made in the approved form for this purpose.*		No transfer of EPL occurred during the audit period	Not Triggered	
R1.4	Where this licence is surrendered by the licensee or revoked by the EPA or Minister, the licensee must prepare an Annual Return in respect of the period commencing on the first day of the reporting period and ending on: a) in relation to the surrender of a licence - the date when notice in writing of approval of the surrender is given; or b) in relation to the revocation of the licence - the date from which notice revoking the licence operates	Discussion with the E&C Department	No licence surrender occurred during the audit period.	Not Triggered	
R1.5	The Annual Return for the reporting period must be supplied to the EPA via eConnect EPA or by registered post not later than 60 days after the end of each reporting period or in the case of a transferring licence not later than 60 days after the date the transfer was granted (the 'due date').	Annual Return Submission emails, eConnect EPA 2023, 2024, 2025	2022-2023 • Director approval sighted (screenshot). No date available. • eConnect sighted 30/05/2023 2023-2024 • 1/4/2023-31/3/2024 email record eConnect dated 30/5/2024	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• Emails sighted director and secretary approval 30/5/2024 2024- 2025 • Email HVO internal sighted, 30 May 2025 approval of Director and secretary. • 1/4/2024-31/3/2025 email record eConnect dated 29/5/2025.		
R1.6	The licensee must retain a copy of the Annual Return supplied to the EPA for a period of at least 4 years after the Annual Return was due to be supplied to the EPA.	EMS Sharepoint Folder	Auditors sighted records of EPL returns dating back to 2004.	Compliant	
R1.7	Within the Annual Return, the Statements of Compliance must be certified and the Monitoring and Complaints Summary must be signed by: a) the licence holder; or b) by a person approved in writing by the EPA to sign on behalf of the licence holder.		Refer to evidence against Condition R1.1	Compliant	
R2 NOTIFICATION OF ENVIRONMENTAL HARM					
R2.1	Notifications must be made by telephoning the Environment Line service on 131 555.	Discussion with E&C Department	This has not occurred during the audit period.	Not Triggered	
R2.2	The licensee must provide written details of the notification to the EPA within 7 days of the date on which they became aware of the incident. *Note: The licensee or its employees must notify all relevant authorities of incidents causing or threatening material harm to the environment immediately after the person becomes aware of the incident in accordance with the requirements of Part 5.7 of the Act.*	Discussion with E&C Department	This has not occurred during the audit period.	Not Triggered	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
R3 WRITTEN REPORT					
R3.1	Where an authorised officer of the EPA suspects on reasonable grounds that: a) where this licence applies to premises, an event has occurred at the premises; or b) where this licence applies to vehicles or mobile plant, an event has occurred in connection with the carrying out of the activities authorised by this licence, and the event has caused, is causing or is likely to cause material harm to the environment (whether the harm occurs on or off premises to which the licence applies), the authorised officer may request a written report of the event.	HVO (2024) Written Report – Dan 17N Pumping Incident 22 June 2024, dated 19/07/2024 HVO (2024) Request for Further Details – Dan 17N Pumping Incident 22 June 2024, dated 23/09/2024 EPA (2024) email regarding EPL640 Dam 17N incident report, dated 11/09/2024	An unauthorised discharge from Dam 17N triggered the application of Condition R3.1 after the EPA became aware of the incident and requested a written report. The incident involved intermittent pumping of water from the Dam 17N pump station sump toward Farrells Creek over an estimated 10-day period prior to cessation on 22 June 2024. Refer Condition E1.1 for further details.	Compliant	
R3.2	The licensee must make all reasonable inquiries in relation to the event and supply the report to the EPA within such time as may be specified in the request.		HVO undertook reasonable inquiries into the incident and notified the EPA on 24 June 2024, with an initial volume estimate provided on 1 July 2024. A written incident report was submitted to the EPA on 19 July 2024, within the timeframe specified by the EPA.	Compliant	
R3.3	The request may require a report which includes any or all of the following information: a) the cause, time and duration of the event; b) the type, volume and concentration of every pollutant discharged as a result of the event; c) the name, address and business hours telephone number of employees or agents of the licensee, or a specified class of them, who witnessed the event; d) the name, address and business hours telephone number of every other person (of whom the licensee is aware) who witnessed the event, unless the licensee has been unable to obtain that information after making reasonable effort;		The written report provided by HVO addressed the matters required under Condition R3.3, including the cause, timing and duration of the incident, the nature and estimated volume of the discharge, actions taken to stop the pumping, and proposed corrective and preventative measures. The EPA conducted a site inspection on 1 August 2024 to verify the reported information.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	e) action taken by the licensee in relation to the event, including any follow-up contact with any complainants; f) details of any measure taken or proposed to be taken to prevent or mitigate against a recurrence of such an event; and g) any other relevant matters.				
R3.4	The EPA may make a written request for further details in relation to any of the above matters if it is not satisfied with the report provided by the licensee. The licensee must provide such further details to the EPA within the time specified in the request.		Following review of the initial report, the EPA requested further details on 11 September 2024, specifying a response deadline of 23 September 2024. HVO provided a supplementary report on 23 September 2024, in accordance with Condition R3.4. Subsequent regulatory correspondence included a show cause notice issued on 11 November 2024, HVO's response on 28 November 2024, and the issuance of a penalty notice by the EPA on 16 December 2024. While the Dam 17N incident itself resulted in regulatory enforcement action under other licence conditions, the audit confirmed that HVO complied with the procedural requirements of Conditions R3.1 to R3.4, including notification, preparation of written reports, provision of required information, and timely response to EPA requests for further details.	Compliant	
R4 OTHER NOTIFICATIONS					
R4.1	**Notification of Pollution of Waters** The licensee must notify the EPA by telephoning the Environment Line service on 131 555 immediately after the licensee becomes aware of any contravention or potential contravention of condition L1.1.		During the audit period, no breach or potential breach of Condition L1.1 was identified that would require notification to the EPA under Condition R4.1. Accordingly, the notification requirement under this condition was not triggered.	Not Triggered	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
R4.2	The licensee must provide written details of the notification to the EPA within seven days of the date of the notification.	Discussion with E&C Department	This has not occurred during the audit period.	Not Triggered	
R4.3	**Blast Exceedance Notification and Reporting** R4.3 The licensee must report any exceedance of licence blasting limits to the EPA by telephoning the Environment Line service on 131 555 or emailing info@epa.nsw.gov.au as soon as practicable after the exceedance becomes known to the licensee or to one of the licensee's employees or agents.	Discussion with E&C Department Review of blast monitoring data	This has not occurred during the audit period.	Not Triggered	
R4.4	Within seven days of notifying the EPA of an exceedance of licence blast limits, the licensee must provide the EPA a report in writing that explains the cause of the exceedance and the actions taken to prevent future exceedances of blast limits.	Discussion with E&C Department Review of blast monitoring data	This has not occurred during the audit period.	Not Triggered	
R4.5	**Noise Exceedance Notification and Reporting** R4.5 The licensee must report any exceedance of licence noise limits to the EPA by telephoning the Environment Line service on 131 555 or emailing info@epa.nsw.gov.au as soon as practicable after the exceedance becomes known to the licensee or to one of the licensee's employees or agents.	Discussion with E&C Department Review of noise monitoring data	This has not occurred during the audit period.	Not Triggered	
R4.6	Within seven days of notifying the EPA of an exceedance of licence noise limits, the licensee must provide the EPA a report in writing that explains the cause of the exceedance and the actions taken to prevent future exceedances of noise limits.	Discussion with E&C Department Review of noise monitoring data	This has not occurred during the audit period.	Not Triggered	
R4.7	An authorised officer of the EPA may make a written request for further details in relation to any of the above matters if it is not satisfied with the report provided by the licensee at condition R4.6. The	Discussion with E&C Department	This has not occurred during the audit period.	Not Triggered	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	licensee must provide such further details to the EPA within the time specified in the request.	Review of noise monitoring data			
R5 OTHER REPORTING CONDITIONS					
R5.1	**HRSTS Reporting** The licensee must compile a written report of the activities under the Hunter River Salinity Trading Scheme (HRSTS) for each scheme year. The scheme year shall run from 1 July to 30 June each year. The written report must be submitted to the EPA by email to info@epa.nsw.gov.au within 60 days after the end of each scheme year and be in a form and manner approved by the EPA. The information will be used by the EPA to compile an annual HRSTS report.	Annual Returns 1/4/2022 to 31/3/2023, 1/4/2023 to 31/3/2024, and 1/4/2024 to 31/3/2025	HRSTS Discharge Reports for the 2022–2023 and 2024–2025 Annual Returns were sighted. It was noted that no discharges occurred during the 2023–2024 reporting period; however, documentation confirming this was submitted to the EPA in the standard reporting format.	Compliant	
R5.2	**Turbidity Report** The licensee must provide a report to the EPA with the Annual Return that shows graphical analysis of continuous turbidity against continuous discharge volume measured at Points 3 and 4 for the length of any discharges from Points 3 and 4.	Annual Returns 1/4/2022 to 31/3/2023, 1/4/2023 to 31/3/2024, and 1/4/2024 to 31/3/2025	Turbidity Reports including graphical analysis of continuous turbidity against continuous discharge volume measured were sighted in the 2022–2023. It was noted that there was no turbidity report with the 2023–2024 Annual Returns as no discharges occurred during this time. Turbidity reports were sighted for 2024–2025 Annual Return.	Compliant	
R5.3	**Blast Monitoring Report** The results of the blast monitoring required by the licence must be submitted to the EPA, with each Annual Return, at the end of each reporting period. The monitoring results must identify any exceedance of licence limits.	Blast Monitoring reports submitted with Annual Return records.	Blast monitoring reports were submitted to the EPA along with each Annual Return submitted during the audit period. The reports summarised blast monitoring results.	Compliant	
R5.4	**Noise Monitoring Report**	Noise Monitoring reports submitted with Annual Return	Noise monitoring reports were submitted to the EPA along with each Annual Return submitted during the audit period. The reports are prepared	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	The licensee must provide an annual noise compliance assessment report to the EPA with each Annual Return. The report must be prepared by an appropriately qualified acoustic consultant and include an assessment of any exceedance of noise limits and justification that the noise monitoring points identified in condition P1.4 are still representative of the sensitive receivers within the noise monitoring groups.	records (noise compliance assessments, EMM).	by acoustic consultant EMM and include all required information as detailed in Condition R5.4.		
R5.5	**Sewage Treatment Systems** The sewage treatment system maintenance program required by condition O2.6 must be submitted annually to the EPA with the Annual Return.	HVO Sewage Treatment Plant Records 1 April 2022 – 31 March 2023 and Maintenance Orders HVO Sewage Treatment Plant Records 2023-2024 and Maintenance Orders HVO Sewage Treatment Plant Records 2024-2025 and Maintenance Orders	HVO engages qualified contractors to undertake servicing, maintenance and reporting for the Sewage Treatment Plant (STP). As part of the Annual Returns, the auditors sighted the STP Maintenance Reports, which documents routine inspection and maintenance activities, including the date and time of each service and the outcomes of scheduled works. The reports also include a compliance statement from All Septic Services confirming that the STP is being maintained in accordance with applicable standards and licence requirements.	Compliant	
R5.6	**Sewage Treatment Systems** The licensee must retain a copy of each report required by condition O2.5 for 3 years from the date each record is made.	Discussion with E&C Department	Annual Returns submitted by HVO were readily available in CMO and on the server, with the folder containing Annual Returns (including STP Reports as attachments) for at least the past four years.	Compliant	
R5.7	**Heavy Plant Tyre Disposal Report** The licensee must provide the EPA with an Annual Heavy Plant Waste Tyre Disposal Report. The Report	Annual Return Reports:	HVO prepares and submits a Heavy-Plant Waste Tyre Disposal Report to the EPA annually, as part of the Annual Return. Reports were sighted to	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	must be submitted with the Annual Return each year and must include a plan of the disposed heavy plant waste tyres on the premises for the period that includes: (i) Each tyre serial number; (ii) Supplier of each tyre; (iii) Date the tyre was delivered to site; (iv) Date that the tyre was disposed; (v) Co-ordinates (eastings and northings) of the location of each tyre emplacement burial extent; (vi) The Reduced Level (RL), in metres AHD, of each tyre disposed; (vii) The number of tyres buried in each emplacement location; and (viii) The total number, and tonnage, of tyres disposed at the premises in each reporting period.	EPL 640 Heavy Plant -Tyre disposal Report 2022-2023 EPL 640 Heavy Plant -Tyre disposal Report 2023-2024 EPL 640 Heavy Plant -Tyre disposal Report 2024-2025 CMO, Tyre use photographs, Bunding Delineation examples	include a detailed plan of all heavy-plant waste tyres disposed of on-site during the reporting period. The key information was sighted by the auditors including tyre serial numbers, supplier details, delivery and disposal dates, precise burial coordinates (easting and northing), RL in metres AHD, the number of tyres per emplacement, and the cumulative total disposed of each year.		
R5.8	**Water Quality Monitoring Report** The licensee must provide an annual water quality monitoring report to the EPA with each Annual Return. The report must be prepared by an appropriately qualified and experienced person and include the following: a) for the monitoring required by the licence during the reporting period to which the Annual Return relates: (i) a summary of results for all ambient water quality monitoring required by the licence in table form and graphical form; (ii) total daily rainfall records from the premises meteorological monitoring required by the licence on the day that the sampling was undertaken in table form;	EPL 640 Annual Water Quality Report, within Annual Return 1/4/2022 to 31/3/2023 EPL 640 Annual Water Quality Report, within Annual Return 1/4/2023 to 31/3/2024, EPL 640 Annual Water Quality Report, within Annual Return Annual Return	HVO provides Annual Water Quality Monitoring Reports as attachments within the Annual Return submissions to the EPA. The reports are prepared internally and include all required components outlined in Condition R5.8, including: • Tabulated and graphical summaries of all ambient water quality monitoring results for the reporting period; • Total daily rainfall records in table form for sampling days and total continuous rainfall in graphical form; • A site plan showing all monitoring locations; and	Non-Compliant	**NC-017**

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(iii) total daily continuous rainfall records in graphical form; and (iv) a plan with the monitoring locations. b) A graphical presentation of the trends of monitoring results required by the licence for the reporting period to which the Annual Return relates and the preceding data for the period of record the licensee has monitoring results for the licensed location. c) A graphical representation of total daily continuous rainfall records required by the licence for the record that matches the ambient water quality results, if available.	1/4/2024 to 31/3/2025	• Graphical trend presentations comparing current reporting period data with previous monitoring records. HVO submitted Annual Water Quality Monitoring Reports with its EPL 640 Annual Returns; however, multiple discrepancies were identified between values reported in the Annual Return tables and the underlying raw monitoring data (including incorrect parameters reported, mismatched EC and pH values, substitution of "<5" results as "5", incorrect or inconsistent datasets, and formatting errors). A specific reporting error was identified whereby Table 4-4 of the 2024–2025 Annual Return contains data from the 2023–2024 Annual Return. Broken internal formatting links were also identified in the 2022–2023 report attachment, indicating inadequate QA/QC over regulatory reporting. REC-002: HVO should review the root cause of the errors and confirm appropriate processes are in place to ensure the accuracy of data presented in external reports		
7 GENERAL CONDITIONS					
G1 COPY OF LICENCE KEPT AT THE PREMISES OR PLANT					
G1.1	A copy of this licence must be kept at the premises to which the licence applies.	HVO Public Website HVO Intranet Discussion with E&C Department	EPL 640 is available on the HVO intranet and publicly on the HVO website.	Compliant	
G1.2	The licence must be produced to any authorised officer of the EPA who asks to see it.		Noted, however this condition was not triggered.	Not Triggered	

<table>
<tr><th>Condition of Licence</th><th>Requirement</th><th>Evidence Collected</th><th>Independent Audit Findings and Recommendations</th><th>Compliance Status</th><th>Non-Compliance Reference</th></tr>
<tr><td>G1.3</td><td>The licence must be available for inspection by any employee or agent of the licensee working at the premises.</td><td>HVO Public Website
HVO Intranet
Discussion with E&C Department</td><td>Employees can access EPL 640 through the HVO intranet, the HVO website, or by request to the E&C Department.</td><td>Compliant</td><td></td></tr>
<tr><td colspan="6">G2 OTHER GENERAL CONDITIONS</td></tr>
<tr><td>G2.1</td><td>Completed Programs<table><tr><th>Program</th><th>Description</th><th>Completed Date</th></tr><tr><td>Saline Discharge Dispersion Investigation</td><td>Saline Discharge Dispersion Investigation. Minimise risk of saline discharge to downstream irrigators.</td><td>18-June-2008</td></tr><tr><td>High Level Alarm and Interlocks - Dam 17N and associated water management system</td><td>Install and operate High Level Alarm and interlock on water management systems associated with Dam 17N . Upgraded system will allow for the better management of mine water and prevent unauthorised discharges to local creek system.</td><td>29-April-2011</td></tr><tr><td>Coal Mine Particulate Matter Control Best Practice</td><td>Requires licensee to conduct a site specific Best Management Practice (BMP) determination to identify ways to reduce particle emissions.</td><td>13-July-2012</td></tr><tr><td>Particulate Matter Control Best Practice Implementation – Wheel Generated Dust</td><td>Implementation of particulate matter best management practices to address wheel-generated dust.</td><td>15-August-2014</td></tr><tr><td>Particulate Matter Control Best Practice Implementation – Disturbing and Handling Overburden under Adverse Weather Conditions</td><td>Implementation of particulate matter best management practices to address the handling of overburden during adverse weather.</td><td>15-August-2014</td></tr></table></td><td>Discussion with E&C Department</td><td>Noted</td><td>Noted</td><td></td></tr>
</table>

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Particulate Matter Control Best Practice Implementation – Trial of Best Practice Measures for Disturbing and Handling Overburden — Investigation to establish best practice measures for the handling of overburden. — 30-July-2014 Coal Mine Wind Erosion of Exposed Land Assessment (PRS 8) — Assessment of predicted vs actual exposed lands — 31-March-2015 PRS 9 - North Void Tailings Facility Seepage Study — Investigation into the North Void Tailings Facility Groundwater Seepage (30 March 2020 has been completed) and Options Report to mitigate and manage environmental impacts (30 Nov 2019 has been completed). Ongoing annual pollution study requirements - into perpetuity until the issues has been mitigated — 30-March-2020 PRS 10 - Water Management Infrastructure Upgrade Assessment and Report — Audit of water management infrastructure and Reporting — 27-September-2019 PRP 11 - Newdell Load Point Water Containment Upgrade — Upgrades to Newdell Load Point Water Management system to mitigate overflows from water storages and pipe leakages — 28-March-2024 PRP 12 - Hunter Valley Load Point Water Containment Upgrade (PRP 12) — Upgrades to the Hunter Valley Load Point water management system to mitigate overflows from water storages and pipe leakages — 28-March-2024 PRP 15 - Dam 15N Upgrades — Design, install and commission upgrades to Dam15N to mitigate overflows to Farrells Creek. — 17-June-2024				
8 POLLUTION STUDIES AND REDUCTION PROGRAMS					
U1 - PRP 13 - NORTH VOID TAILINGS STORAGE FACILITY BARRIER WALL					
U1.1	The licensee must engage an appropriately qualified and experienced person to design a barrier wall in respect of the North Void Tailings Storage Facility (TSF) to prevent or mitigate saline and sulfate seepage from the TSF to groundwater during the continued life of the mine, remediation and after capping. The design and assessment must be completed by 31 March 2026 and must: i) be consistent with the recommendations of the "North Void Tailings Storage Facility, Barrier Wall Construction Feasibility Assessment PS122997-CIV-LTR-002 Rev A dated 25 June 2021" by WSP; ii) be keyed into bedrock; and iii) be of sufficient height and depth to prevent or mitigate saline and sulfate seepage from the TSF to	Discussion with E&C Department North Void TSF - Seepage Management Plan, 27/07/2018, Version 0.1	The audit reviewed the status of seepage management investigations and barrier wall planning through discussions with the HVO Environment & Community Department and review of relevant documentation, including the North Void TSF – Seepage Management Plan (2018). The North Void TSF is a single cell storage created by a high wall to the west, dumps to the east and the north and the backfilled alluvial lands pit to the south. HVO advised that a variation was approved to extend project timeframes. At the time of the audit inspection Umwelt was undertaking	Not Triggered	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	groundwater during continued life of mine, remediation and after capping. *Note: The intention of this barrier wall is to prevent the pollution of waters.*		modelling scenarios involving the proposed permeability wall to verify required actions. HVO is currently finalising modelling to determine whether a permeability wall is required, and if so, to inform its design. Previous studies identified potential seepage risks from the TSF, leading to the EPA's requirement for a barrier wall to prevent seepage. The audit concluded that Condition U1.1 was not triggered for compliance assessment during the audit period, as the specified design and assessment deadline had not yet been reached. Progress toward meeting the condition was evident at the time of the audit.		
U1.2	By 2 July 2027, the licensee must construct the North Void TSF and provide a report to the EPA detailing the works installed and complete and includes an assessment of the permeability of the wall (North Void TSF Completion Report). The North Void TSF Completion Report must be provided by email to info@epa.nsw.gov.au. *Note: This timeline is dependent upon engineering assessments and approvals, with approvals the responsibility of the licensee.*		At the time of the audit, HVO was undertaking engineering and groundwater modelling assessments to inform whether a permeability (barrier) wall is required and, if so, to support its design. the audit concluded that Condition U1.2 was not triggered for compliance assessment during the audit period, as the required works and reporting are not due until July 2027.	Not Triggered	
U2 - PRS 14 - LAKE JAMES DAM SALINE MIXING INVESTIGATION					
U2.1	As part of the increase to the licensed discharge volume limit from 120 ML/day to 200 ML/day at Point 8 (being the Lake James Dam HRSTS discharge point), the licensee must undertake conductivity sampling during the next discharge event which exceeds 120 ML/day at the nearest downstream sampling location - coordinates 316696 6398312 (easting and northing).	Discussion with the E&C Department	This condition was not triggered during the audit period.	Not Triggered	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Note: The intent is to demonstrate adequate mixing of salts to achieve a downstream water quality less than 900 uS/cm. The licensee must provide a report with monitoring results to the EPA by email to info@epa.nsw.gov.au.				
U3 - PRP 16 - HUNTER RIVER BRIDGE UPGRADE WORKS					
U3.1	a) By 30 June 2026, the licensee must design, install and commission upgrades to the existing Hunter River Bridge pollution control infrastructure. The works are to be guided by the report titled "HV Operations Pty Ltd Water Management Infrastructure Upgrade Assessment Hunter Valley Operations", prepared by Engeny, dated September 2019. b) Within one week of completing the works required above, the licensee must notify the EPA in writing of the completed works. Notification must be provided by email to info@epa.nsw.gov.au.	Discussion with E&C Department EPA Licence Summary Page	Based on the evidence reviewed: • Condition U3.1 was added to EPL 640 in 2025. • At the time of the audit, the design, installation and commissioning deadline of 30 June 2026 had not yet been reached. • HVO advised that planning and implementation of relevant water management infrastructure upgrades is being progressed, including completion of related pollution reduction projects (PRPs), such as the Newdell Load Point Water Containment Upgrade. • Notification to the EPA under Condition U3.1(b) is contingent upon completion of the required works and therefore was not yet applicable during the audit period. Accordingly, the audit concluded that Condition U3.1 was not triggered for compliance assessment during the audit period, as the specified timeframes for completion and notification had not yet occurred.	Not Triggered	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
9 SPECIAL CONDITIONS					
E1 - HUNTER RIVER SALINITY TRADING SCHEME					
E1.1	This licence authorises the discharge of saline water into the Hunter River Catchment from an authorised discharge point (or points), in accordance with the Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002.	Parnells Dam: Annual Return 1-4-2022 to 31-3-2023 Dam 17N: Annual Return (EPL) 1-4-2024 To: 31-3-2025 HVO (2024) Written Report – Condition R3 of EPL 640 – Dam 17N Pumping Incident 13-22 June 2024 HVO (2024) Invitation to show cause - Discharge of mine water from HVO Mine, June 2024 HVO (2024) Invitation to show cause EF16/2461 - Alleged pollution of waters and contravention of licence conditions – June 2024 EPA letter Penalty Notice 3511223 – HV	**Parnells Dam HRSTS Point 4** During the audit period a non-compliance occurred on 15 December 2022 when low residual flow continued from EPL Monitoring Point 4 (Parnells Dam HRSTS discharge) beyond the scheduled discharge block due to remnant water in the dissipator dam. It was identified that the issue resulted from a time lag between valve closure and flow cessation, compounded by a power failure preventing pump operation. HVO reported in the Annual Return that the power issue was resolved, the dam level was lowered, and flow ceased. HVO advised auditors that the current weir method remained in place, with in-pipe flow measurement planned for incorporation into the proposed Parnells Dam enlargement under the HVCOP. HVO initially varied the EPL to implement the in-pipe monitoring method in anticipation of HVCOP approval; however, the approval was delayed. Subsequently, HVO informed auditors that the EPL was varied earlier this year to revert to the weir method for consistency. Discharge procedures were described as including confirmation of dissipator dam pump functionality prior to discharge and allowing sufficient buffer time between ceasing discharge and the end of the block to mitigate	Non-Compliant	**NC-018**

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Operations PTY LTD-EPL 640, 16/12/2024 HVO Letter to EPA, Invitation to show cause - Discharge of mine water from HVO Mine, June 2024, 18/12/2024 Letter from HVO to EPA, Written Report – Condition R3 of EPL 640 – Dam 17N Pumping Incident 22 June 2024, 19 July 2024 Letter from HVO to EPA, Invitation to show cause EF16/2461 - Alleged pollution of waters and contravention of licence conditions – June 2024, 28/11/2024 Letter from HVO to EPA, Request for Further Details – Condition R3.4 of EPL 640 – Dam 17N Pumping Incident 22	reoccurrence, until upgraded dam and discharge infrastructure were implemented. **Dam 17N** During the audit period, there was a non-compliance with Condition E1.1 of EPL 640, relating to an unauthorised discharge from the Dam 17N pump station to Farrells Creek. The Annual Return outlined that the event occurred when water was inadvertently pumped from the Dam 17N sump through a small-diameter hose toward Farrells Creek, rather than being returned to the dam as intended. An investigation found that on 12 June 2024, an air-activated diaphragm pump had been installed at Dam 17N to support maintenance works within the sump. The pump was observed operating on 13 June, and by 14 June, the discharge hose had been incorrectly directed through a gap in an earthen bund, allowing intermittent discharge to Farrells Creek. It is estimated that this configuration error resulted in intermittent pumping over a 10-day period before being shut off on 22 June, with up to 523 kilolitres of water potentially released. The pump was immediately shut off following identification of the issue and reported internally. Water sampling was organised and the incident was notified to the EPA on 24 June 2025 following investigation.		

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		June 2024, 23/09/2024 Letter from EPA to HVO, Penalty Notice 3511223 - HV Operations PTY LTD - EPL 640, 16/12/2024	The NSW Environment Protection Authority (EPA) subsequently requested a written report under Condition R3 of EPL 640, following the internal inspection. Water quality sampling was undertaken on the afternoon of 22 June 2024 by HVO's contractor, with HVO initially reporting, based on in-field results, that there was no potential for environmental harm. However, the EPA subsequently determined that the unauthorised discharge posed a risk of potential environmental and human health harm, noting that no actual harm was evidenced. On 16 December 2024, the EPA issued a penalty notice to HVO for contravening a condition E1.1. HVO acknowledged the breach and committed to corrective actions. The EPA imposed a financial penalty, with the fine due by 13 January 2025. Corrective and preventative actions implemented included: • Immediate shutdown of the pump and cessation of discharge; • Installation of signage along Farrells Creek and other clean water catchments around the CHPP to improve awareness of clean water areas; • Review and update of environmental inspection checklists and relevant procedures to address pumping		

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			configurations and standard setup requirements; • Refresher training for employees and contractors in environmentally sensitive areas; and • Installation of updated water management maps in CHPP administration buildings and control rooms. HVO E&C Department advised that as a long-term measure, Dam 17N is scheduled for decommissioning and replacement with the augmented Dam 15N, incorporating a new pumping system designed to prevent similar incidents. Commissioning of Dam 15N is expected to commence in November 2025, with completion and full disconnection of Dam 17N from the CHPP supply system by December 2025.		
E1.2	For the purpose of clause 23 of the Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002 the licensee must apply the conversion factor of 0.6.	HRSTS Discharge Point Operation Procedure, 2.0, 17/11/2022 HVO HRSTS Discharge checklist, 2025	The HRSTS Discharge Point Operation Procedure, 17/11/2022 and HRSTS Discharge Checklist, 2025 were sighted, confirming that the conversion factor of 0.6 is correctly applied in the calculation process in accordance with the Regulation.	Compliant	
E1.3	The licensee must not exceed the hourly volume discharge limit calculated using the following formula, at all discharge point(s) on this licence titled "Discharge of saline water under the Hunter River Salinity Trading Scheme (HRSTS)": **H = V / RRT** Where:	HRSTS Discharge Point Operation Procedure, 2.0, 17/11/2022 HRSTS Discharge checklist	Hours per limit line item has been added in the HRSTS discharge checklist to ensure this has not been exceeded. No exceedances occurred during the audit period.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	• **H** is the hourly volume discharge limit (in megalitres per hour); • **V** is the licence holder's volume discharge limit for the block (in megalitres) calculated in accordance with clause 23 of the Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002; and • **RRT** is the difference between the discharge stop and start times shown on the river register for that block (in hours) *Note 1: The intent of this condition is to prevent spikes of saline water in the Hunter River as a result of discharges of less than the duration permitted by the river register.* *Note 2: A river register is issued by the Service Co-ordinator and allows participants of the Hunter River Salinity Trading Scheme (HRSTS) to discharge saline to the Hunter River during a discharge period.*				
E2 - NORTH VOID TAILINGS FACILITY SEEPAGE MONITORING					
E2.1	The licensee must implement a North Void Tailings Facility monitoring program. This monitoring program must be implemented and undertaken by a suitably qualified and experienced person. The program must include: (i) installation of a groundwater and surface water monitoring network to monitor the extent of the plume of polluted water to estimate the volume of seepage from the North Void Tailings Facility and the flux of salt and sulphate difference from baseline alluvial groundwater and to monitor seepage changes; (ii) a groundwater surface water model to demonstrate attenuation time and mixing if the polluted groundwater is not remediated; (iii) development of milestones or thresholds that would trigger consideration for the introduction of works or	North Void Tailings Facility Monitoring Program (commenced 2020) Quarterly monitoring reports prepared by Umwelt Groundwater and surface water monitoring data Water Management Plan (Version 4) – groundwater monitoring program	A North Void Tailings Facility monitoring program has been implemented since 2020 and is undertaken by suitably qualified and experienced consultants in accordance with EPL 640 Condition E2.1. The program includes groundwater and surface water monitoring, modelling, trigger thresholds, ecological risk assessment, tailings assessment, rainfall and decant monitoring, and internal review processes. Monitoring data is reviewed on a regular basis, with quarterly reports provided to the EPA and annual analysis reports submitted, demonstrating progress toward preventing pollution of waters, mitigating groundwater impacts, protecting ecological values and	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	other options to mitigate seepage from the North Void Tailings Facility; (iv) an ecological risk assessment; (v) an assessment of tailings consolidation, permeability and strength testing; (vi) likely timeframes involved for filling, capping and rehabilitating of the North Void Tailings Facility; (vii) daily rainfall; (viii) estimates of rainfall ingress into the North Void Tailings Facility; and (ix) volumetric monitoring of the decant of surface waters from the North Void Tailings Facility. The licensee must provide an analysis report of this monitoring data and any modelling prepared by an appropriately qualified and experienced person. The licensee must submit this report to the EPA by 30 March 2020 and annually thereafter. The report must demonstrate progress in mitigating seepage from the North Void Tailings Facility. The report must report against the following objectives: a) prevent pollution of waters at all times; b) mitigate degradation of groundwater beneficial use; c) prevent impact to endangered ecological communities; and d) capping and rehabilitation to produce a free draining final landform.		supporting future capping and rehabilitation of the facility.		
E2.2	The licensee must submit an interim report to the EPA at each quarter, within one month of the completion of quarterly monitoring. The interim report must be prepared by an appropriately qualified and experienced person and include: a) an assessment of rainfall data for the quarterly period; b) an estimate of rainfall ingress to the North Void Tailings Facility for the quarterly period; and	16/4/25 Letter to EPA, E2.2 Interim Report Quarter 1, 2025.	Submission record to EPA was sighted by auditors. Submitted on 16 April 2025.	Compliant	

Condition of Licence	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	c) the volume of decant water removed from the North Void Tailings Facility in the quarterly period.				

Audit Checklist – Standard Conditions for Mining Leases

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Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
DIVISION 1 PROTECTION OF THE ENVIRONMENT AND REHABILITATION					
4 MUST PREVENT OR MINIMISE HARM TO ENVIRONMENT					
(1)	The holder of a mining lease must take all reasonable measures to prevent, or if that is not reasonably practicable, to minimise, harm to the environment caused by activities under the mining lease.	Refer evidence detailed against DA 605-10-2003 and PA 06_0621	A review of environmental incidents, environmental complaints, agency consultation responses, the effectiveness of environmental controls, and observations from the audit site inspection was undertaken to assess compliance with this condition. Refer also to the evidence detailed against DA 605-10-2003 and PA 06_0621. Based on the information reviewed, no evidence was identified indicating that harm to the environment had occurred as a result of activities under the mining lease during the audit period. The controls observed during the site inspection appeared effective and appropriate to minimise the potential for environmental harm.	Compliant	
(2)	In this clause—harm to the environment has the same meaning as in the Protection of the Environment Operations Act 1997.	*Protection of the Environment Operations Act 1997*	This clause clarifies that “harm to the environment” has the same meaning as in the Protection of the Environment Operations Act 1997 (POEO Act). For the purposes of this audit, the definition in the POEO Act was applied, including: • the broad definition of “harm” in the Act’s definitions section, which includes any direct or indirect alteration of the environment that degrades it and any act or omission resulting in pollution; and • the definition of material harm under section 147, which captures non-trivial harm to human health, safety, or ecosystems, or loss or property damage exceeding $10,000. These definitions informed the assessment of incidents, complaints, monitoring results, and site conditions when determining compliance with this Mining Lease condition.	Compliant	
5 REHABILITATION TO OCCUR AS SOON AS REASONABLY PRACTICABLE AFTER DISTURBANCE					
5	The holder of a mining lease must rehabilitate land and water in the mining area that is disturbed by activities under the	Site Inspection	Across the audit period, HVO continued to implement progressive rehabilitation in accordance with PA 06_0261 (HVO South), DA 450-10-2003 (HVO North) and the Mining	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	mining lease as soon as reasonably practicable after the disturbance occurs.	HVO Rehabilitation Management Plan (RMP) v4.0 (25/11/2024) HVO (2025) HVO Annual Review 2024. HVO (2024) *HVO Annual Review 2023*. HVO (2024) *HVO Annual Review 2023*. HVO (2024) *Annual Rehabilitation Report 2024 (ARR0001476)*. Kleinfelder Australia Pty Ltd (2024) HVO Rehabilitation Monitoring Report 2024. Emergent Ecology & Mosaic Ecology (2024) *HVO Rehabilitation Monitoring Report 2023*. ERR Australia (2024) *HVO Annual Rehabilitation Walkover Report 2024*. HVO (2025) Forward Program, dated 1/01/2025 Hunter Valley Operations Annual Rehabilitation Report	Act. Rehabilitation works were carried out as soon as areas became available, with reshaping, topsoiling, seeding and maintenance activities occurring in line with operational sequencing and the Rehabilitation Management Plan (RMP). Where final rehabilitation could not yet be completed, HVO applied interim stabilisation, such as aerial seeding, surface roughening and temporary groundcover, to minimise dust, erosion and weed invasion. On-site inspection confirmed active progressive rehabilitation across multiple domains, including: • Carrington and West Pit North: recently re-shaped batters with fresh contouring, topsoil placement and visible germination from 2024–2025 seeding programs. • Cheshunt: newly contoured slopes prepared for seeding with stockpiled habitat materials (logs and rock) placed for future fauna use. • Riverview Pit (South): approximately 45 ha of temporary rehabilitation, including pasture aerial seeding and stabilisation of advancing dump surfaces to manage dust and erosion risk. • Alluvial Lands: new fluvial landform design works, including contouring and drainage pattern establishment ahead of drone seeding trials. • Wilton and Lemington: established rehabilitation showing improving vegetation cover, with evidence of recent weed control and erosion repair works. • Barry's topsoil stockpiles: stabilised with pasture cover to reduce wind erosion and maintain soil integrity. • Habitat enhancement works: placement of coarse woody debris and translocated logs observed in newly seeded areas to promote fauna recolonisation and landscape complexity. Rehabilitation progress is supported by structured internal processes, including the Annual Rehabilitation and Closure		

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		(ARR0001476) Monday 1 January to Tuesday 31 December 2024 MineSoils, 2025 Pre-clearing soil material characterisation, 25/1/25 Landform Design Checklist, Cheshunt Pit 2, Version 01, 16/04/25 HVO Rehabilitation Design Handover Checklist Topsoil Management Plan, Ver 2.0, 27/12/2024.	Plan, the Mining Lease Compliance Checklist, the Rehabilitation Report Card and the Forward Work Program, all of which demonstrate that rehabilitation is strategically planned, resourced and linked to the Life-of-Mine schedule. By mid-2025, HVO had established a substantial rehabilitation footprint of approximately 2,800–2,900 ha across the Complex. Evidence from monitoring reports, aerial imagery and field observations confirmed ongoing maintenance, such as erosion repair, supplementary seeding, weed management and grazing programs, to improve the long-term stability and ecological function of rehabilitated areas. Overall, the audit concludes that HVO continues to implement progressive rehabilitation effectively across both HVO North and South, with the inspection showing clear evidence of timely rehabilitation works, stabilisation of exposed landforms, and ongoing maintenance of established areas, consistent with the intent of the relevant conditions and Mining Act requirements.		
6 REHABILITATION MUST ACHIEVE FINAL LAND USE					
(1)	The holder of a mining lease must ensure that rehabilitation of the mining area achieves the final land use for the mining area.	Site Inspection Refer evidence against Clause 5	HVO calculates available rehabilitation areas annually through the Life of Mine planning process, disturbance and rehabilitation spatial datasets, and operational scheduling. Review of these documents confirms that HVO continues to undertake progressive rehabilitation across all domains where land has become available following mining and overburden emplacement stages. No evidence was identified during the audit period to suggest that rehabilitation works are not aligned with, or progressing toward, the approved final land uses. Rehabilitation completed to date is consistent with the RMP, final landform strategy, and closure objectives.	Compliant	
(2)	The holder of the mining lease must ensure any planning approval has been obtained	DA 450-10-2003 and PA 06_0261	Subclause (1) requires rehabilitation of the mining area to achieve the approved final land use. For HVO, the relevant planning approvals that establish and authorise the final land	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	that is necessary to enable the holder to comply with subclause (1).		use framework are DA 450-10-2003 (HVO North) and PA 06_0261 (HVO South). These approvals define the approved disturbance footprint, final landform, post-mining land uses, rehabilitation objectives and performance criteria that guide the rehabilitation program.		
(3)	The holder of the mining lease must identify and record any reasonably foreseeable hazard that presents a risk to the holder's ability to comply with subclause (1). *Note— Clause 7 requires a rehabilitation risk assessment to be conducted whenever a hazard is identified under this subclause.*	Refer evidence against clause 7	Refer evidence against clause 7.	Compliant	
(4)	In this clause— final land use for the mining area means the final landform and land uses to be achieved for the mining area— (a) as set out in the rehabilitation objectives statement and rehabilitation completion criteria statement, and (b) for a large mine—as spatially depicted in the final landform and rehabilitation plan, and (c) if the final land use for the mining area is required by a condition of development consent for activities under the mining lease—as stated in the condition. *planning approval means— (a) a development consent within the meaning of the Environmental Planning and Assessment Act 1979, or (b) an approval under that Act, Division 5.1.*		This is noted.	Noted	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
DIVISION 2 RISK ASSESSMENT					
7 REHABILITATION RISK ASSESSMENT					
(1)	The holder of a mining lease must conduct a risk assessment (a rehabilitation risk assessment) that— (a) identifies, assesses and evaluates the risks that need to be addressed to achieve the following in relation to the mining lease— (i) the rehabilitation objectives, (ii) the rehabilitation completion criteria, (iii) for large mines—the final land use as spatially depicted in the final landform and rehabilitation plan, and (b) identifies the measures that need to be implemented to eliminate, minimise or mitigate the risks.	2025 HVO Rehabilitation Risk Assessment (WRAC) Final, 23/07/25 Rehabilitation Management Plan, Appendix C. Rehabilitation risk assessment	The initial comprehensive rehabilitation risk assessment was undertaken in 2022 (outside the audit period). This assessment has since been reviewed and updated in both 2024 and 2025 to reflect operational changes, rehabilitation performance results, and feedback provided through the Resources Regulator's Targeted Assessment Program (TAP). Two TAP assessments occurred during the audit period (both in 2024), focusing on revegetation and groundwater/surface water rehabilitation performance. Feedback from these assessments was incorporated into the updated risk assessment. The most recent rehabilitation risk assessment, titled "2025 HVO Rehabilitation Risk Assessment (WRAC) – Final, 23/07/25," was conducted during a facilitated workshop attended by representatives from HVO Environment & Community, Technical Services, Mine Services, and the site's rehabilitation consultant (Tom Scott). The auditors sighted the sign-on sheet confirming attendance from relevant subject matter experts. The rehabilitation risk assessment is included as Appendix C of the RMP, which has been submitted to the Resources Regulator in accordance with the approved form and way guideline, as defined by the Rehabilitation Management Plan Guideline and the Regulator's prescribed lodgement process. No evidence was identified to indicate that HVO failed to conduct, review, or maintain a rehabilitation risk assessment consistent with the requirements of this condition.	Compliant	
(2)	The holder of the mining lease must implement the measures identified.	2025 HVO Rehabilitation Risk Assessment (WRAC) Final, 23/07/25	The 2025 Rehabilitation Risk Assessment identified two high risks, both relating to knowledge gaps in groundwater and surface water interactions associated with mine voids and former underground workings at closure. Actions are in place to address these gaps, including installation of additional groundwater monitoring infrastructure. A further eight medium risks were identified, including: • incorrect identification of topsoil types during salvage;	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• limited biological resources for salvage; poor handling of unsuitable tailings/reject materials; • deficits or poor-quality soils for rehabilitation; • weed infestation; • adverse climatic conditions during establishment; • insufficient establishment of target species and structural diversity; and • *Acacia saligna* infestations suppressing native species recovery. The WRAC includes both existing and newly identified controls and actions required to mitigate risks to achieving rehabilitation objectives, completion criteria, and the approved final land use. The audit confirmed that HVO has established a process to assign owners, set due dates, and track implementation of these measures through internal action registers and the Annual Rehabilitation and Closure Plan (ARCP) process. Based on the evidence reviewed, HVO is implementing the measures identified in the rehabilitation risk assessment and is compliant with this condition.		
(3)	The holder of a mining lease must conduct a rehabilitation risk assessment— (a) for a large mine—before preparing a rehabilitation management plan, and (b) for a small mine—before preparing the rehabilitation outcome documents for the mine, and (c) whenever a hazard is identified under clause 6(3)—as soon as reasonably practicable after it is identified, and (d) whenever given a written direction to do so by the Secretary.	Clause 7(1)	Refer evidence against Clause 7(1).	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
DIVISION 3 REHABILITATION DOCUMENTS					
8 APPLICATION OF DIVISION					
	This Division does not apply to a mining lease unless— (a) the security deposit required under the mining lease is greater than the minimum deposit prescribed under the Act, section 261BF in relation to that type of mining lease, or (b) the Secretary gives a written direction to the holder of the mining lease that this Division, or a provision of this Division, applies to the mining lease.		This is noted.	Noted	
9 GENERAL REQUIREMENTS FOR DOCUMENTS					
	A document required to be prepared under this Division must— (a) be in a form approved by the Secretary, and *Note—* *The approved forms are available on the Department's website.* (b) include any matter required to be included by the form, and (c) if required to be given to the Secretary—be given in a way approved by the Secretary.	HVO (2025) Forward Program, dated 1/01/2025 HVO Rehabilitation Management Plan (RMP) v4.0 (25/11/2024) 2025 HVO Rehabilitation Risk Assessment Final, 23/07/25	Assessment of this condition considered the Rehabilitation Management Plan (RMP v4.0), the 2025 Forward Work Program, the Annual Rehabilitation Report (ARR0001476), and evidence confirming submission of these documents to the NSW Resources Regulator. The RMP, Forward Work Program and Annual Rehabilitation Report are all prepared using the standard templates and approved forms issued by the Department (as required under the Mining Regulation 2016).	Compliant	
10 REHABILITATION MANAGEMENT PLANS FOR LARGE MINES					
(1)	The holder of a mining lease relating to a large mine must prepare a plan (a rehabilitation management plan) for the mining lease that includes the following— (a) a description of how the holder proposes to manage all aspects of the rehabilitation of the mining area,	Letter to HVO, from Water Group consultation with RMP, 25/8/2025	The revised Rehabilitation Management Plan (RMP) consolidates the former HVO North and HVO South rehabilitation frameworks into a single site-wide document. The version publicly available at the time of audit, Rehabilitation Management Plan Version 2.0 (Approval Date Pending), was uploaded to meet the publication requirements under the NSW Mining Regulation 2016,		

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(b) a description of the steps and actions the holder proposes to take to comply with the conditions of the mining lease that relate to rehabilitation, (c) a summary of rehabilitation risk assessments conducted by the holder, (d) the risk control measures identified in the rehabilitation risk assessments, (e) the rehabilitation outcome documents for the mining lease, (f) a statement of the performance outcomes for the matters addressed by the rehabilitation outcome documents and the ways in which those outcomes are to be measured and monitored.		although formal approval by the Department of Planning, Housing and Infrastructure (DPHI) was still pending. The RMP has been prepared generally in accordance with the NSW Resources Regulator document Form and way: Rehabilitation management plan for large mines (September 2025), including all required Parts 1–11 and supporting appendices. The RMP has been prepared in accordance with the requirements of Schedule 8A, Clause 10(1) of the Mining Regulation 2016.		
(2)	If a rehabilitation outcome document has not been approved by the Secretary, the holder of the mining lease must include a proposed version of the document.	Refer evidence against Clause 12	Where rehabilitation outcome documents were not yet approved by the Secretary during the audit period, HVO included the current proposed versions of those documents within the RMP. • **Rehabilitation Objectives**: Initially refused in 2022, amended and resubmitted several times, and ultimately approved on 13 August 2024. Proposed versions were included in the RMP until approval was issued. • **Rehabilitation Completion Criteria**: Submitted on 7 August 2025 and under assessment at the time of audit. The proposed criteria are appropriately included in the RMP. • **Final Landform and Rehabilitation Plan**: Approved on 13 August 2024, then revised following MOD 8 and resubmitted on 8 August 2025. As the revised version was still under review, the proposed updated FLRP was included in the RMP.	Compliant	
(3)	A rehabilitation management plan is not required to be given to the Secretary for approval.		This is noted.	Noted	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
(4)	The holder of the mining lease— (a) must implement the matters set out in the rehabilitation management plan, and (b) if the forward program specifies timeframes for the implementation of the matters—must implement the matters within those timeframes.	GDPs (e.g., GDP 515 – Topsoil Plan Form, 4/2/2025). Topsoil Management Plan sections in RMP. ERR Australia (2024) Walkover Reports. Site inspection – Barrys topsoil stockpiles, Cheshunt 2025 prep area. Annual ecological monitoring reports (Emergent Ecology 2023, ERR Australia 2024). Site inspection (Carrington, Cheshunt, Alluvial Lands, Polo Green, CHE2020 areas). Emergent Ecology (2023) HVO 2023 Rehabilitation Monitoring Report – Final, Hunter Valley Operations, Muswellbrook. ERR Australia (2024) HVO 2024 Annual Rehabilitation Walkover Report – Final, Hunter Valley	The HVO Forward Program (FWP0001586) sets out clear rehabilitation timeframes for the 2025–2027 period, including planned disturbance and rehabilitation activity of: • Year 1: 159.4 ha new disturbance and 66.6 ha rehabilitation disturbance • Year 2: 0 ha new disturbance and 12.2 ha rehabilitation disturbance • Year 3: 0 ha new disturbance and 47.9 ha rehabilitation disturbance Evidence from site inspections, GDP reviews, monthly environmental reports, the rehabilitation monitoring reports, and observed works across Carrington, Cheshunt, Bobs Dump TSF, the Alluvial Lands Rehabilitation Area, and other domains confirmed HVO is progressing rehabilitation activities in line with the RMP and broadly consistent with the Forward Program's scheduled timeframes. It is noted the Forward Program makes reference to Dragline operations. Dragline operations ceased at HVO in 2023. *OFI-015 - At its next revision review the surface disturbance summary provided in the Forward Program and ensure it remains accurate to operations occurring or forecast to occur. For example, remove reference to Dragline use.* **Rehabilitation Management Plan Implementation Review** The RMP was reviewed and revised multiple times during the audit period to reflect new approvals, updated Rehabilitation Objectives, agency feedback, and outcomes of rehabilitation risk assessments. **Conformance with Rehabilitation Objectives** Audit findings confirm these objectives have been progressively implemented through: • Extensive landform shaping and contour optimisation. • Incorporation of micro-relief requirements for alluvial lands following MOD 8 (2025). • Integration of native woodland and grazing land uses consistent with approval pathways:	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Operations, Muswellbrook. Hunter Valley Operations (HVO) (2022) Independent Environmental Audit and Response to Recommendations, Glencore Coal Assets Australia. Hunter Valley Operations (HVO) (2022, 2023, 2024) Annual Reviews, Glencore Coal Assets Australia. Hunter Valley Operations (HVO) (2024 – 2025) Monthly Environmental Monitoring Reports (March 2024 – June 2025), Glencore Coal Assets Australia. Hunter Valley Operations (HVO) (2025) Rehabilitation Management Plan v2.0 (Approved August 2025).	○ HVO North: 70% pasture / 30% woodland; reinstatement of 62 ha Class I/II agricultural land. ○ HVO South: 60–70% pasture / 30–40% woodland. **Ground Disturbance and Soil / Topsoil Management** • Topsoil stripping was conducted under GDP approvals, with erosion and sediment controls applied. • Stockpiles segregated by type and labelled accordingly. • Barrys topsoil stockpile area had been freshly stripped, a second stockpile had been seeded with a pasture/woody mix. • Soil ameliorants (gypsum and fertiliser) were observed at Cheshunt 2025 rehab area awaiting spreading before seeding. • Habitat resources (felled trees, stumps) stored in a staging area for later placement into rehab areas. **Landform Establishment** • Clear evidence of micro-relief and fluvial landform construction in the Alluvial Lands Rehabilitation Area. • Cheshunt 2025 areas were shaped consistent with updated drainage patterns required under the FLRP. • Prior-to-MOD-8 landforms (legacy landforms) were constructed using traditional design slopes but were being maintained and improved for stability. • Rock stockpiles (100–300 mm rock) were observed for drainage and contour armouring **Vegetation Establishment** • Direct seeding, hydro-mulching, and staged infill planting were observed across multiple domains. • Cheshunt 2025: ripping completed, gypsum staged, and topsoil ready for spreading prior to seeding. • Carrington: large 90 ha area (HVOCAR-2024-02) reseeded in 2024 with evidence of germination. • Polo Green (2012 rehab): ongoing weed management being implemented.		

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• Notable improvement since 2022 in HVOCHES-2020 area (from red to yellow on the internal “report card”), despite persistent *Acacia saligna* presence. • A 6 ha area of removed *Acacia saligna* was identified, although it will be re-mined, HVO intends to spray this area to suppress the seedbank. **Progressive Rehabilitation** Progressive rehabilitation is occurring annually and consistent with the RMP and Forward Program. A summary of progressive rehabilitation is provided against Clause 5. **Monitoring** Rehabilitation monitoring and maintenance at HVO during the audit period were implemented in accordance with the RMP, with a structured combination of annual ecological monitoring, block-specific maintenance planning, and routine monthly inspections informing adaptive rehabilitation management across both HVO North and HVO South. Annual monitoring in 2023 and 2024 assessed floristic diversity, groundcover, erosion, and fauna habitat condition. Results informed annual maintenance plans that assigned each rehabilitation block to Rework, Maintenance, or Monitor, directing actions such as reseeding, erosion repair, soil amelioration, and weed control. Monthly inspections confirmed completion of these works across key rehabilitation domains. **Monitoring Outcomes** • Expansion of rehabilitation: Approximately 150 ha added since 2022, reflecting ongoing progressive rehabilitation. • Improved vegetation condition: 199 plant species (130 native) recorded in 2023, with increasing native cover and structure in 2024. • Landform stability improvements: High-risk slopes in Wilton Pit and Carrington West stabilised following re-grading and vegetation establishment.		

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
			• Fauna utilisation: 69 fauna species recorded, including threatened species, indicating improving habitat values according to Emergent Ecology. **Challenges Identified** • Persistent weed reinvasion (*Acacia saligna, Coolatai grass, African lovegrass, Galenia, Prickly pear*). • Variable soil quality leading to poor establishment in younger Cheshunt East areas. • Recurring erosion in West Pit North and Carrington West after rainfall events. • Legacy species dominance in older woodland areas limiting understorey recovery. • Grazing impacts reducing groundcover in some pasture rehabilitation blocks. Monitoring and adaptive management were actively implemented per RMP Sections 8 and 10. **Conclusion** HVO has adequately implemented the Rehabilitation Management Plan for the period 1 December 2022 – 17 October 2025.		
11 AMENDMENT OF REHABILITATION MANAGEMENT PLANS					
	The holder of a mining lease must amend the rehabilitation management plan for the mining lease as follows— (a) to substitute the proposed version of a rehabilitation outcome document with the version approved by the Secretary—within 30 days after the document is approved, (b) as a consequence of an amendment made under clause 14 to a rehabilitation outcome document—within 30 days after the amendment is made, (c) to reflect any changes to the risk control measures in the prepared plan that are identified in a rehabilitation risk assessment—as soon as practicable after	HVO (2025) Re: Non-Compliances- NSW Mining Regulation 2016, 31/07/2025 NSW Resource Regulator (RR) (2025) Investigation Outcome Report, dated 12/08/2025	The HVO Rehabilitation Objectives (ROBJs), approved on 13 August 2024, were not incorporated into the HVO Rehabilitation Management Plan within the required 30-day timeframe. The RMP was updated on 8 October 2024, exceeding the regulatory deadline. This issue was self-identified by HVO through an internal audit and formally reported to the NSW Resources Regulator on 31 July 2025. HVO attributed the non-compliance to administrative oversight. The NSW Resources Regulator issued a formal letter on 12 August 2025 confirming that HVO had committed multiple administrative offences under the Mining Act 1992 relating to Schedule 8A obligations, including failure to publish the approved ROBJs within 14 days (Clause 11).	Non-Compliant	**NC-019**

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	the rehabilitation risk assessment is conducted, (d) whenever given a written direction to do so by the Secretary—in accordance with the direction.		After considering the administrative nature of the breaches, HVO's cooperation, compliance history, and public interest, the Regulator determined that no further enforcement action would be taken.		
12 REHABILITATION OUTCOME DOCUMENTS					
(1)	The holder of a mining lease must prepare the following documents (the rehabilitation outcome documents) for the mining lease and give them to the Secretary for approval— (a) the rehabilitation objectives statement, which sets out the rehabilitation objectives required to achieve the final land use for the mining area, (b) the rehabilitation completion criteria statement, which sets out criteria, the completion of which will demonstrate the achievement of the rehabilitation objectives, (c) for a large mine, the final landform and rehabilitation plan, showing a spatial depiction of the final land use.	Rehabilitation Management Plan, Section 4 NSW Resource Regulator, Rehabilitation Objectives Table, Refusal of ROBJ0001092 for Mine HVO (003), 8/12/022 Email from NSW RR to HVO, FWD:FLRP0001152 Final Landform and Rehabilitation Plan & Draft ROBJ Statement 2/01/2024 Letter from HVO to NSW RR, 16/2/24 NSW RR email re. ROBJ Rehabilitation Objectives Statement 22/07/24 NSW RR ROBJ0001426 Approved rehabilitation	**(a) Rehabilitation Objectives** The Rehabilitation Objectives (ROBJ) were first submitted in 2022. NSW RR did not approve the initial submission (8 December 2022), requesting amendments. HVO made the required changes and resubmitted. On 2 January 2024, NSW RR sought further amendments relating to ecological rehabilitation and alignment with the FLRP. HVO addressed these and resubmitted the objectives on 16 February 2024. In July 2024, the Regulator requested spatial coding adjustments and the explicit identification of agricultural land as a separate land class. HVO resubmitted the updated ROBJ in August 2024, and NSW RR approved the objectives on 13 August 2024 (ROBJ0001426). **(b) Rehabilitation Completion Criteria** The Rehabilitation Completion Criteria (RCC) application was submitted on 7 August 2025. At the time of the audit, NSW RR had not yet provided feedback or approval. **(c) Final Landform and Rehabilitation Plan** The Final Landform and Rehabilitation Plan (FLRP) was submitted multiple times during the audit period. Following amendments in response to NSW RR comments, the FLRP (FLRP0001152) was approved on 13 August 2024. The approved FLRP was incorporated into the RMP and made publicly available. Following the approval of MOD 8 and recommendations from the NSW RR Technical Advisory Panel (TAP) in 2024, HVO revised the FLRP and resubmitted the updated version on 8 August 2025, which remained under assessment at the time of the audit.	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		objectives statement 13/08/2024 NSW RR email, Hunter Valley Operations, Final Landform and Rehabilitation Plan Approved FLRP0001152 13/08/2024 Email, from NSW RR to HVO FW: Hunter valley Operations, Rehabilitation completion Criteria Application, RCC00010937/8/2025. Email, from NSW RR to HVO. FLRP Submission, 8/08/2025			
(2)	If the final land use for the mining area is required by a condition of development consent for activities under the mining lease, the holder of the mining lease must ensure the rehabilitation outcome documents are consistent with that condition.	NSW Resources Regulator – Refusal of ROBJ0001092, 8/12/2022 NSW RR email to HVO – Draft ROBJ Statement & FLRP0001152 feedback, 2/01/2024 HVO letter to NSW RR responding to requested	HVO's rehabilitation outcome documents—the Rehabilitation Objectives (ROBJ), Rehabilitation Completion Criteria (RCC), and the Final Landform and Rehabilitation Plan (FLRP)—have been prepared to align with the final land uses required under the relevant development consents for HVO North (DA 450-10-2003) and HVO South (PA 06_0261). During the Regulator's assessment of the Rehabilitation Objectives submissions (ROBJ0001092, ROBJ0001426), NSW RR specifically reviewed the consistency of proposed objectives with the consent-mandated final land uses, including requirements for grazing land, Class I and II agricultural land reinstatement, and woodland/native ecosystem establishment. NSW RR sought amendments in	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		amendments, 16/2/2024 NSW RR email – Further ROBJ amendments requested, 22/07/2024 NSW RR approval – ROBJ0001426 (Approved Rehabilitation Objectives Statement), 13/08/2024 Rehabilitation Management Plan (RMP v4.0)	early 2024 to ensure that agricultural land was appropriately classified as a distinct land class and that ecological rehabilitation objectives aligned with the consented final land use framework. These matters were addressed by HVO in the subsequent resubmissions, and the objectives were approved on 13 August 2024. The approved FLRP (13 August 2024) and the revised FLRP (submitted 8 August 2025) also reflect the consent-defined final land uses, including requirements for micro-relief landform design under MOD 8 and the reinstatement of alluvial agricultural land in the Alluvial Lands Rehabilitation Area.		
13 FORWARD PROGRAM AND ANNUAL REHABILITATION REPORT					
(1)	The holder of a mining lease must prepare a program (a forward program) for the mining lease that includes the following— (a) a schedule of mining activities for the mining area for the next 3 years, (b) a summary of the spatial progression of rehabilitation through its various phases for the next 3 years, (c) a requirement that the rehabilitation of land and water disturbed by mining activities under the mining lease must occur as soon as reasonably practicable after the disturbance occurs.	NSW RR, FWP0001586 Hunter Operations Forward Program, Wednesday 1 Jan 25 to Friday 31 Dec 2027	WP0001586 includes a clear three-year schedule of mining activities for HVO, describing planned disturbance, operational sequences, tailings emplacement, overburden placement, and mining progression across HVO North and HVO South from 2025 to 2027. The Forward Program provides spatially referenced information on the progression of rehabilitation phases across the mining complex for the three-year period. FWP0001586 explicitly states that rehabilitation must occur "as soon as reasonably practicable following disturbance",	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
(2)	The holder of a mining lease must prepare a report (an annual rehabilitation report) for the mining lease that includes— (a) a description of the rehabilitation undertaken over the annual reporting period, (b) a report demonstrating the progress made through the phases of rehabilitation provided for in the forward program applying to the reporting period, (c) a report demonstrating progress made towards the achievement of the following— (i) the objectives set out in the rehabilitation objectives statement, (ii) the criteria set out in the rehabilitation completion criteria statement, (iii) for large mines—the final land use as spatially depicted in the final landform and rehabilitation plan.	ARR0001476 Hunter Valley Operations Annual Rehabilitation Report Monday 1 January 2024 to Tuesday 31 December 2024	HVO are required to submit an Annual Rehabilitation Report (ARR) each year to the NSW RR. The auditors confirmed the preparation of the 2022, 2023 and 2024 ARRs. The ARRs provides a compliant and concise account of rehabilitation performance, in accordance with this Clause.	Compliant	
(3)	If a rehabilitation outcome document has not been approved by the Secretary, the holder of the mining lease must rely on a proposed version of the document.		This is noted	Compliant	
(4)	The holder of the mining lease must give the forward program and annual rehabilitation report to the Secretary.	Email, From ERR to HVO Fw: Hunter Valley Operations, Annual Rehabilitation Report submission ARR0001476, 13/06/2025 Refer evidence against Clause 15	HVO submitted the required Forward Programs and Annual Rehabilitation Reports to the Secretary for each reporting cycle within the audit period.	Compliant	
(5)	In this clause— annual reporting period means each period of 12 months commencing on—		This is noted.	Noted	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	(a) the date on which the mining lease is granted, or (b) if the Secretary approves another date in relation to the mining lease—the other date.				
14 AMENDMENT OF REHABILITATION OUTCOME DOCUMENTS AND FORWARD PROGRAM					
14	(1) This clause applies to— (a) a rehabilitation outcome document if it has been approved by the Secretary, and (b) a forward program if it has been given to the Secretary. (2) The holder of a mining lease must not amend a document to which this clause applies that relates to the mining lease unless— (a) the Secretary gives the holder a written direction to do so, or (b) the Secretary, on written application by the holder, gives a written approval of the amendment. (3) The holder of the mining lease must amend the document in accordance with the Secretary's direction or approval. (4) Nothing in this clause prevents the holder of a mining lease preparing a draft amendment for submission to the Secretary for approval.	NSW RR refusal and amendment direction for ROBJ0001092 (8/12/2022). NSW RR email requesting further amendments to the ROBJ and FLRP (2/01/2024). HVO written resubmission of amended documents (16/02/2024). NSW RR email requiring additional spatial coding amendments (22/07/2024). NSW RR written approval of the amended ROBJ (13/08/2024). NSW RR written approval of the amended FLRP (13/08/2024). ERR written acknowledgement and acceptance of RCC and FLRP	During the audit period, amendments to rehabilitation-related documents (including the RMP, ROBJ, FLRP and RCC) were made only following written direction from the NSW RR or in response to formal written feedback issued during assessment processes.	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		submissions (August 2025).			
15 TIMES AT WHICH DOCUMENTS MUST BE PREPARED AND GIVEN					
(1)	The holder of a mining lease must do the following before the end of the initial period— (a) prepare a rehabilitation management plan, and (b) prepare rehabilitation outcome documents and give them, other than the rehabilitation completion criteria statement, to the Secretary for approval, and (c) prepare a forward program and give it to the Secretary.		HVO had an approved Rehabilitation Management Plan (DPHI, 2 December 2022) in place at the beginning of the audit period, satisfying Clause (a). Rehabilitation outcome documents—specifically the proposed Rehabilitation Objectives and Final Landform and Rehabilitation Plan (FLRP)—had also been submitted to the Secretary before the audit period began, satisfying Clause (b). A valid Forward Program was lodged with the Resources Regulator prior to the start of the audit period, satisfying Clause (c).	Compliant	
(2)	The holder of the mining lease must prepare a forward program and annual rehabilitation report and give them to the Secretary before— (a) 60 days after the last day of each annual reporting period, commencing with the annual reporting period in which the forward program was given to Secretary under subclause (1)(c), or (b) a later date approved by the Secretary.	Email from NSW RR to HVO, FW: KPIs on Annual Rehab Report from, 27/03/2025 ERR to HVO, Hunter Valley Operations Forward Program submission, FWP0001295, 28/03/2024 (submission email) FW: Huter Valley Operations, Annual Rehabilitation Report submission, ARR0001240, 28/03/24 Email from ERR to HVO, FW, Hunter Valley Operations,	HVO must provide the Forward Program (FP) and Annual Rehabilitation Report (ARR) to the Secretary (NSW RR) within 60 days after the end of each annual reporting period (i.e., by 31 March), unless a later date is approved. The Reporting period for the ARR and FP concludes on 31 December. • **2022 ARR and 2023 FP** 2022 ARR and 2023 FP were submitted to the Secretary on 18 May 2023, which is after the required submission deadline of 31 March. HVO advised that the later submission may reflect obligations under the previously defined reporting cycle. The auditors sighted an email train from March 2023 between HVO and the RR. A software issue prevented uploading and management of data in the rehabilitation portal and Regulator portal. The RR stated the issue was expected to be resolved by 1 April and that submission due to this issue would not result in compliance action under the Mining Regulation.	Compliant	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
		Forward Program submission, FWP0001133, 13/06/2025 (submission on 18 May 2023) Email from RR, Annual Report Issues, dated 17/03/2023	• **2023 ARR and 2024 FP** 2023 ARR and 2024 FP was submitted to the Secretary on 28 March 2024. • **2024 ARR and 2025 FP** 2024 ARR and 2025 FP was submitted to the Secretary on 1 April 2025, one day after the required deadline of 31 March 2025. However, the late submission is justified based on the following evidence: • Email from the Resources Regulator, dated 1 April 2025, confirming issues with the online submission portal and instructing HVO not to upload the ARR or FP through the standard portal process. • Email from the Regulator, dated 27 March 2025, stating that no compliance action would be taken if the ARR was not submitted by the due date due to known portal issues. Given these documented system constraints and Regulator direction, the one-day delay is considered administratively acceptable and does not represent a non-compliance.		
(3)	A rehabilitation completion criteria statement relating to completion of rehabilitation during a period covered by a forward program must be given to the Secretary for approval when the forward program is required to be given to the Secretary.	Email correspondence between HVO & NSW RR RCC Submission email, dated 7/08/2025	The Rehabilitation Completion Criteria statement was submitted to the Secretary at the time the Forward Program was required to be submitted, as required by Schedule 8A, Clause 10. Correspondence reviewed confirms that the NSW RR issued written comments and directions requiring updates to the ROBJ and FLRP throughout 2024 and 2025, and HVO complied with each direction (including submissions on 16 February 2024, 13 August 2024, and 8 August 2025). The RCC statement (RCC0001093) was submitted on 7 August 2025, this aligns with the requirement that an RCC is only necessary once an initial RCC has been provided under Clause 10(3), which occurred earlier in 2025.	Compliant	
(4)	The holder of the mining lease must prepare updated rehabilitation outcome documents for the mining lease and give them to the Secretary for approval before— (a) 60 days after a development consent is modified following an application referred to in clause 20(1)(b), or (b) a later date approved by the Secretary.				

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
(5)	A rehabilitation completion criteria statement is not required to be given to the Secretary under subclause (4) unless a rehabilitation completion criteria statement has already been given to the Secretary under subclause (3).				
(6)	The Secretary may, by written notice, direct the holder of a mining lease to prepare, or give to the Secretary, a document required to be prepared under this Division at a time other than that specified in this clause.				
(7)	The holder of the mining lease must comply with the direction.				
(8)	In this clause— initial period means the period commencing when the mining lease is granted and ending— (a) 30 days, or other period approved by the Secretary, after this Division first applies to the mining lease, or (b) if this Division applies to the mining lease because of an increase in the required security deposit— (i) when the surface of the mining area is disturbed by activities under the mining lease, or (ii) at a later date approved by the Secretary.				
16 CERTAIN DOCUMENTS TO BE PUBLICLY AVAILABLE					
(1)	This clause applies to the following documents— (a) a rehabilitation management plan, (b) a forward program, (c) an annual rehabilitation report.		This is Noted.	Noted	

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
(2)	The holder of a mining lease must make a document to which this clause applies publicly available by— (a) publishing it on its website in a prominent position, or (b) if the holder does not have a website—providing a copy of it to a person— (i) on the written request of a person, and (ii) without charge, and (iii) within 14 days after the request is received.	HVO public Website	Annual Rehabilitation Report ARR0001048, submitted on 30 March 2023, was not published on the HVO public website within the required 14-day timeframe, constituting a breach of Schedule 8A, Clause 16(2). At the time of the audit the required documents were available on the HVO public website. It is noted that ARRs from previous years were not published, however, this is not required under Schedule 8A. Publication of prior ARRs could improve transparency but does not affect compliance.	Non-Compliant	**NC-020**
(3)	If a document is published on the website of the holder of the mining lease, the holder must ensure that it is published— (a) for a rehabilitation management plan—within 14 days after it is prepared or amended, or (b) for a forward program or an annual rehabilitation report—within 14 days after it is given to the Secretary or amended,	HVO (2025) Re: Non-Compliances- NSW Mining Regulation 2016, 31/07/2025 NSW RR (2025) Investigation Outcome Report, dated 12/08/2025	During the audit period, HVO did not meet these timeframes for several statutory documents. The NSW Resources Regulator investigation letter (12 August 2025) confirmed the following sustained breaches of Clause 16: • Forward Program FWP0001105 (submitted 3 November 2022) – not published within 14 days. • Forward Program FWP0001133 (submitted 30 March 2023) – not published until 5 December 2023. • Annual Rehabilitation Report ARR0001048 (submitted 30 March 2023) – not published within 14 days. • Rehabilitation Management Plan Version 1.1 (finalised 11 August 2023) – not published until 5 December 2023. These issues were administrative in nature and were self-reported by HVO to the Regulator on 31 July 2025. The Regulator sustained the non-compliances across 41 mining titles, but determined that no further action would be taken, noting HVO's cooperation, compliance history and absence of environmental harm. HVO has since implemented additional compliance controls within its Compliance Management System (CMO) to ensure future adherence to Clause 16 publication timeframes.	Non-Compliant	**NC-021**

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
(4)	Personal information within the meaning of the Privacy and Personal Information Protection Act 1998 is not required to be included in a document made available to a person under this clause.		This is noted.	Noted	
DIVISION 4 RECORDS, REPORTING AND NOTIFICATION					
17 RECORDS DEMONSTRATING COMPLIANCE					
	The holder of a mining lease must create and maintain records of all actions taken that demonstrate compliance with each of the conditions set out in this Part. *Note—* *The Act, sections 163D and 163E provide for the form in which records must be kept and the period for which they must be retained.*	Discussion with HVO E&C Department Review of document storage	HVO has created and maintained appropriate records demonstrating compliance with the rehabilitation conditions of Schedule 8A. No issues were identified regarding record-keeping obligations.	Compliant	
18 RECORDS DEMONSTRATING COMPLIANCE					
(1)	The holder of a mining lease must provide the Minister with a written report detailing any non-compliance with— (a) a condition of the mining lease, or *Note—* *The Act, section 364A contains provisions relating to the use and disclosure of information provided under this condition.* (b) a requirement of the Act or this Regulation relating to activities under the mining lease.	HVO (2025) Non-Compliances- NSW Mining Regulation 2016, dated 31/07/2025	During the audit period, one non-compliance was formally identified and reported by HVO under this clause. HVO self-reported this non-compliance to the NSW Resources Regulator on 31 July 2025, within 7 days of becoming aware of it, satisfying the reporting requirement. HVO complied with the requirement to notify the Minister (via the Resources Regulator) of non-compliance within 7 days of becoming aware of it, and provided all mandatory information required under Schedule 8A.	Compliant	
(2)	The holder of the mining lease must provide the report within 7 days after becoming aware of the non-compliance.				
(3)	The holder of the mining lease must ensure the report— (a) identifies the condition of the mining lease, or the requirement of the Act or this				

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
	Regulation, to which the non-compliance relates, and (b) describes the non-compliance and specifies the date or dates on which, or the period during which, the non-compliance occurred, and (c) describes the causes or likely causes of the non-compliance, and (d) describes the action that has been taken, or will be taken, to mitigate the effects, and to prevent any recurrence, of the non-compliance				
19 NOMINATED CONTACT PERSON					
(1)	The holder of a mining lease must nominate a natural person to be the contact person with whom the Secretary can communicate in relation to the mining lease for the purposes of the Act. *Note—* *The Act, section 383 sets out the ways in which notices or other documents may be issued or given to, or served on, a person for the purposes of the Act.*	Email, dated 01/04/2025 Nominated Contact Person – HVO, Resource Regulator Coal & Allied (2025) HVO Nominated Contact, dated 28/03/2025 HVO (2025) HVO Nominated Contact, dated 11/03/2025	HVO notified the NSW Resources Regulator on 1 April 2025 that an amendment to the nominated contact person was required following appointment of a new Environment & Community Manager (Mr Ben DeSomer). The Regulator confirmed receipt of the nomination (NCP0001460) on the same date.	Compliant	
(2)	The holder of the mining lease must give written notice to the Secretary of— (a) the full name and contact details of the nominated person—within 28 days after the date on which the standard conditions apply to the mining lease under clause 31A of this Regulation, and (b) any change in nomination or in the nominated person's contact details—within 28 days after the change occurs.				
(3)	The holder of the mining lease must ensure that the contact details for the nominated person include the person's phone number and postal and email addresses.				

Clause	Requirement	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Non-Compliance Reference
DIVISION 5 APPLICATIONS RELATING TO DEVELOPMENT CONSENT					
20 ADDITIONAL REQUIREMENTS—APPLICATION FOR OR TO MODIFY DEVELOPMENT CONSENT					
(1)	The holder of a mining lease must give written notice to the Secretary within 10 days after— (a) making an application for development consent that relates to the mining area, or (b) making an application for modification of a development consent— (i) under the Environmental Planning and Assessment Act 1979, section 4.55(2), and (ii) that proposes to modify a condition of the consent that relates to rehabilitation of the mining area in a way that may affect an obligation under the mining lease relating to rehabilitation of the mining area.	Major Projects Hub on the NSW Planning Portal.	The audit confirmed that no new development applications were submitted by HVO during the audit period. One modification to the HVO North development consent (MOD 8 to DA 450-10-2003), seeking an 18-month extension to the life of mine, was lodged and determined within the audit period. This modification did not propose any changes to mining activities, rehabilitation domains, or surface disturbance areas, and therefore did not seek to modify any rehabilitation-related conditions. As such, the notification requirement under clause (1)(b) did not apply. A separate modification relating to Ammonium Nitrate storage under PA 06_0621 (MOD 8) was approved during the audit period, however, the application for this modification was lodged prior to the commencement of the audit period (2022). This modification did not relate to rehabilitation obligations under the mining lease. Based on the above, the notification obligations under this condition were not triggered during the audit period.	Not Triggered	
(2)	This clause does not apply if the development is State significant development.		HVO is not a State Significant Development (SSD).	Not Triggered	

Appendix B

DPE Endorsement of the Audit Team

Appendix B DPE Endorsement of the Audit Team

Department of Planning, Housing and Infrastructure

NSW Planning ref: DA450-10-2003-PA-107

Ben de Somer
Manager Environment & Community
Hunter Valley Operations
18/09/2025

Sent via the Major Projects Portal only

Subject: HVO North - West Pit Consent 2003 - IEA 2025 auditor endorsement request

Dear Mr de Somer

I refer to your request for the Planning Secretary's approval of suitably qualified, experienced, and independent person/s to conduct an Independent Audit of Hunter Valley Operations coal mine, submitted as required by Schedule 5, Condition 5 of MP06_0261 as modified and Schedule 5, Condition 10 of DA450-10-2003 as modified (the consents) to NSW Department of Planning, Housing and Infrastructure (NSW Planning) on 25 August 2025. I also refer to your response to the NSW Planning request for information (RFI) 92084709.

NSW Planning has reviewed the auditor and specialist nominations and based on the information you have provided is satisfied that the proposed person/s are suitably qualified, experienced, and independent.

In accordance with Schedule 5, Condition 5 of MP06_0261 as modified and Schedule 5, Condition 10 of DA450-10-2003 as modified and the NSW Planning, *Independent Audit Post Approval Requirements* (2020), as nominee of the Planning Secretary, I endorse the following independent audit team:

- Kate Michelmore (Lead Auditor)
- Haley Bates (Auditor)
- Sophie Clayton (Assistant Auditor)
- Patrick Martinez (Noise Specialist)
- David Rollings (Air Quality Specialist)
- Kelly Mulhearn (Surface Water Specialist)
- Stuart Graham (Ground Water Specialist)
- Jamie McMahon (Mine Rehabilitation Specialist)

In accordance with Schedule 5, Condition 5 of MP06_0261 as modified and Schedule 5, Condition 10 of DA450-10-2003 as modified, prior to undertaking the site inspection, the following agencies/bodies must be consulted, with all matters raised to be clearly tabulated and addressed in the audit report:

- NSW Department of Planning, Housing and Infrastructure

- NSW Department of Primary Industries and Regional Development – NSW Resources Branch
- NSW Department of Climate Change, Energy, the Environment and Water (DCCEEW)
- NSW Environmental Protection Authority
- Hunter Valley Operations Community Consultative Committee
- Singleton Shire Council
- Muswellbrook Shire Council

Please note:

- This correspondence must be appended to the Independent Audit Report.
- The Independent Audit must be prepared, undertaken, and finalised in accordance with the conditions of consent and the NSW Planning *Independent Audit Post Approval Requirements* (2020). Failure to meet these requirements will require revision and resubmission.
- The above audit team is approved for the current audit only. Additional approval must be sought from the Planning Secretary for future audits of the development.
- Any change to the auditor or auditor roles must be approved by the Planning Secretary prior to the audit commencing.
- The Lead Auditor must attend the site inspection component of the audit.
- I, as nominee of the Planning Secretary agree to the noise and groundwater specialists not attending the site inspection in person. However, the surface water, air quality, and mine rehabilitation specialists must attend the site inspection in person.
- The audit period is the day after the site inspection date of the previous audit, to the final site inspection date of the current audit.

Should you wish to discuss the matter further, please contact Joel Curran, Senior Compliance Officer on 02 4904 2702 or email compliance@planning.nsw.gov.au

Yours sincerely

Benjamin Harrison
Director
Compliance

As nominee of the Planning Secretary

Appendix C

Agency Consultation Summary

Appendix C Agency Consultation Summary

Table 1 Agency Consultation Summary

Stakeholder	Feedback Summary	IEA Response
NSW Resources Regulator (Feedback received 30 Sep 2025)	All 41 leases were approved to be treated as a single lease for the purposes of Part 2 of Schedule 8A of the Mining Regulation 2016.	Refer audit findings detailed in **Appendix A4** – Standard Conditions for Mining Leases
	The independent environmental audit should provide an assessment of compliance with the requirements of Schedule 8A Standard conditions of mining leases, Part 2 Standard conditions, as set out in the Mining Regulation 2016.	
	The audit should note observations where rehabilitation procedures, practices and outcomes represent best industry practice.	
	It would be appreciated if a copy of the final audit report could be sent to the Regulator at nswresourcesregulator@service-now.com upon completion of the audit.	HVO to provide copy of the final IEA report to the Regulator at nswresourcesregulator@service-now.com
NSW EPA **(Feedback received 2 October 2025)**	The EPA has no specific comments on the scope of the audit, noting that activities at the Premises must comply with the conditions of the Licence (EPL 640) and the requirements of the POEO Act and associated regulations.	This is noted.
CCC Chair Dr Colin Gellatly (Feedback received 23 October 2025)	The main issue that has been sensitive at CCC meetings is the dust nearby the mine and at Bulga. A few members have been very vocal about the dust issue. The Company has presented a few times explain the significant investment and changed procedures it has undertaken in the last year. We had the EPA present at the last meeting and discuss the Undertaking they have with Yancoal about the dust issue.	In response to this feedback, the Independent Environmental Audit placed specific focus on air quality and dust management at HVO. The audit assessed the adequacy and implementation of the approved Air Quality and Greenhouse Gas Management Plan (AQGGMP), including review of monitoring data, exceedance investigations, consultant reports and regulatory reporting for the audit period. A five-day site inspection was undertaken, during which the auditors observed operational dust controls in practice, including controls at coal loading, processing and haulage activities, use of water carts and sprays, and real-time operational oversight. These observations verified that significant investment has been made in air quality and dust management infrastructure and practices, including controls at coal loading, processing and haulage activities, extensive use of water carts and sprays, real-time monitoring and camera-based operational oversight.

Stakeholder	Feedback Summary	IEA Response
		Interviews with E&C personnel and Dispatch operators confirmed that changed procedures are actively implemented, particularly through the Dust Trigger Action Response Plan (TARP). Dispatch operators demonstrated a strong level of understanding of dust triggers, response actions and escalation processes, supported by real-time monitoring, alarms and site-wide camera coverage. Overall, the audit confirmed that the operational controls observed on site are consistent with the matters described by the CCC Chair and reflect a high level of operational oversight and contemporary best-practice dust management for a site of this scale and complexity.
Singleton Council (Feedback Received 1 October 2025)	The conditions of approval for Hunter Valley Operations North, under DA 450-10-2003, require consultation with council on a number of matters, including, but not limited to: • Blast Management Plan • New access intersection to Hunter Valley Loading Point • Road closures plan of management • Lemington Road • Road Safety Audit • Coal Haulage • Bushfire Management Plan • Rehabilitation Management Plan • Mine Exit Strategy Additionally, the conditions of approval require the Applicant to establish a community consultative committee with representation from Council, and provide a copy of the Annual Review to Council. The conditions of approval for Hunter Valley Operations South, under PA 06_0261, require	Key consultation requirements triggered during the audit period included the: • Singleton Council were initially consulted on previous versions of the Blast Management Plan. This consultation occurred outside the audit period. The Blast Management plan was revised and updated during the audit period. The Department stated, in their letter approving the updated HVO Blast Management Plan, that consultation with public authorities (including Singleton Council) was not required, given the nature of the updates to the plan. • Consultation required under Condition 43 of Schedule 3 of DA 450-10-2003, relating to the new access intersection to Hunter Valley Loading Point, was completed prior to the audit period commencing in 2016. • Consultation relevant to Lemington Road was completed prior to the audit period commencing. • The requirements for the road safety audit were satisfied prior to 2006 and consultation was completed outside of the audit period. • Condition 51 of Schedule 3 requires HVO to enter into an agreement with Singleton Council regarding the maintenance of Pikes Gully Road and Liddell Station Road. This agreement was executed outside of the audit period. • Evidence of Singleton Council being satisfied with the Bushfire Management Plan was provided on 9 March 2023. No changes have been made to the plan since this version which trigger additional consultation requirements with Council. • The requirement for a mine exit strategy was deleted in 2025 when the consent was modified in relation to Modification 8 of Da 450-10-2003.

Stakeholder	Feedback Summary	IEA Response
	consultation with council on a number of matters, including, but not limited to: • Development contributions • Rehabilitation Management Plan • Relocation of Comleroi Road • Visual impact mitigation • Fire Management Plan Additionally, the conditions of approval require the Applicant to establish a community consultative committee with representation from Council.	Evidence of consultation with both Singleton and Muswellbrook Council, as required by conditions of HVO North and HVO Souths consent, as well as evidence of Annual review submission, was sighted. HVO have in place a CCC for the operation. Meeting minutes show Singleton Council is represented at the CCC meetings.
	Council would expect that the audit will include evidence to support the compliance status of these conditions of approval, and of particular interest to council, under DA 450-10-2003, how the Applicant has progressed working with the two councils (Singleton and Muswellbrook) to investigate the minimisation of adverse socio-economic effects of a significant reduction in local employment levels and closure of the development at the end of its life. I also note that Table 17, in condition 62, requires consideration of the socio-economic effects to be included in the approved Rehabilitation Management Plan.	It is noted that DA 450-10-2003 previously included a requirement for HVO to investigate the minimisation of adverse socio-economic effects associated with a significant reduction in local employment levels and closure of the development at the end of its life (Schedule 3, Condition 63). This condition was deleted from the consent in 2025 following approval of MOD 8 and is no longer an operative requirement. Notwithstanding the deletion of Condition 63, socio-economic considerations associated with mine closure remain embedded within the rehabilitation framework for both HVO North and HVO South. Table 17 of DA 450-10-2003 sets out the rehabilitation objectives applicable to HVO North, and Table 16 of PA 06-0261 sets out the rehabilitation objectives applicable to HVO South. Both consents include an objective to minimise the adverse socio-economic effects associated with mine closure. For HVO North, this rehabilitation objective is acknowledged within the approved Rehabilitation Management Plan (RMP). A review of the rehabilitation objectives and completion criteria approved by the NSW Resources Regulator identified that these documents do not include specific objectives, indicators or completion criteria addressing socio-economic impacts or mine closure transition for the local community. The draft rehabilitation completion criteria reviewed as part of the Independent Audit similarly do not include socio-economic considerations, other than limited reference to bushfire risk to surrounding landholders at closure. This reflects the RMP having been prepared in accordance with the *Form and Way – Rehabilitation Management Plan for Large Mines* (NSW Resources Regulator, September 2025), under which rehabilitation objectives and

Stakeholder	Feedback Summary	IEA Response
		completion criteria must be approved by the NSW Resources Regulator and are primarily focused on biophysical rehabilitation outcomes. While HVO has implemented broader community initiatives outside the RMP framework—including a Community Development Fund, Enterprise Facilitation Program and ongoing community engagement activities aimed at supporting economic diversification and long-term regional sustainability—these initiatives are not explicitly linked within the RMP to the rehabilitation objectives or closure outcomes required under Table 17 of the development consent. To address this rehabilitation objective in greater detail, HVO is preparing a Rehabilitation Strategy as required under Schedule 3, Condition 62C of DA 450-10-2003. At the time of the audit, the Rehabilitation Strategy was under development and had not yet reached its regulatory submission deadline (12 months following approval of MOD 8). HVO has advised that this Strategy will include measures to address socio-economic impacts associated with mine closure. While the HVO South consent does not require preparation of a standalone rehabilitation strategy, HVO has advised that the Rehabilitation Strategy being prepared for HVO North will be applied across the whole of the HVO operation, including HVO South, thereby providing a mechanism to address the corresponding socio-economic rehabilitation objective under PA 06-0261. This approach is particularly relevant given that, subject to approval of the Continuation Project, HVO South is scheduled to close earlier than HVO North. HVO will consult, as required, with relevant agency bodies including Singleton and Muswellbrook Councils when preparing the Rehabilitation Strategy.

Appendix D

Opening and Closing Meetings

Appendix D Opening and Closing Meetings

AECOM

Meeting Attendance Record
Independent Environmental Audit
Hunter Valley Operations

Date	13 October 2025
Meeting	HVO Independent Environmental Audit - Opening Meeting

Name	Company	Department/Title	Signature
HALEY BATES	AECOM	AUDITOR	
Kate Michelmore	AECOM	Lead Auditor	
Ben de Somer	HVO	E+C Manager	
Nathan Bagnall	HVO	CHPP Manager.	
Michelle Douglass	HVO	HR Manager	
John Martin	HVO	ENG Manager	
Craig Simmons	HVO	Project Mgr	
Nic McLaughlin	HVO	E&C	
Daly O'Sullivan	HVO	E+C	
BEN GRIFFITHS	HVO	E+C	
Brenton Hibbert	HVO	E+C Superintendent	
Marg Lannen	HVO	E+C Coordinator	
Sam Talbot-Wilson	HVO	E+C Officer	
Madison Freeman	HVO	E+C officer	
MICHAEL LOVELL	HVO	E+C COORDINATOR	
VICTORIA WILCOX	HVO	E+C OFFICER	(ONLINE)
DAVID ROLLINGS	AECOM	AIR QUALITY SPECIALIST	(ONLINE)
SOPHIE CLAYTON	AECOM	AUDITOR ASSISTANT	(ONLINE)
STUART GRAHAM	AECOM	GROUND WATER SPECIALIST	(ONLINE)
PATRICK MARTINEZ	AECOM	NOISE SPECIALIST	(ONLINE)

AECOM

Meeting Attendance Record
Independent Environmental Audit
Hunter Valley Operations

Date	23 October 2025
Meeting	HVO Independent Environmental Audit - Closing Meeting – Via Teams (Remote)

Name	Company	Department/Title	Signature
Ben de Sanor	HVO	E+C Manager	
Daly O'Sullivan	HVO	E+C Coordinator	
Sam Talbot-Wilson	HVO	E and C officer	
Madison Freeman	HVO	E+C officer	
Nic McLaughlin	HVO	" "	
Craig Simmons	HVO	Manager Projects	
MICHAEL LUND	HVO	E+C COORDINATOR	
Scott Munns	HVO	Tech Services Manager	
Brenton Hubert	HVO	E+C Superintendent	
MICHELLE DOUGLAS	HVO	HR Manager	
Nathan Bagnall	HVO	CHPP Manager	
David Foster	HVO	General Manager	
Margaret Larsen	HVO	E+C Coord. → Tenements (online)	
Sam Palmer	GCAA	Environment & Climate Change Mgr. (online)	
HALEY BATES	AECOM	AUDITOR	
David Rollings	AECOM	Air Quality Specialist	
Sophie Crayton	AECOM	Enviro Scientist	
KATIE MICHELMORE	AECOM	AUDITOR.	

Appendix E

Status of the previous IEA Recommendations

Appendix E Status of the previous IEA Recommendations

Status of Previous IEA Recommendations

Reference	Condition Reference	Finding	Action from 2022 IEA	Status of Action
PA 06_0261 – S2 C2	**General Compliance with Approvals**	Several non-compliances were recorded for noise, airblast overpressure, air quality, and aspects of the Water Management Plan: • Schedule 3 Condition 2 – Noise Impact • Schedule 3 Condition 7 – Airblast overpressure • Schedule 3 Condition 19 – Air Quality Criteria • Schedule 3 Condition 27 – Water Management Plan	No further action required.	**Not applicable**
PA 06_0261 – S2 C2A	**General Compliance with Approvals**	Refer to S2 C2	No further action required.	**Not applicable**
PA 06_0261 – S3 C2	**Noise** LA1,1min Noise Exceedance	A 2021 noise exceedance (55 dB vs 45 dB criteria) occurred at Jerrys Plains East due to dragline impact noise. Reference in Table 9 of the Monthly Environmental Monitoring Reports should be updated to reference LA1, 1-minute criteria. Where a tonality penalty has been applied, the monthly report should include discussion and clarification on whether this constitutes an exceedance or is attributable to other sources.	HVO will amend future Monthly Environmental Monitoring Reports to included updated reference. HVO will amend future Noise Reports to include discussion and clarification regarding observed tonality penalties	**Complete** Samples of Environmental Noise monitoring reports by EMM sighted to include LA1 1-minute criteria in the tables, and a column of whether a Tonality modifying factor was applied.

Reference	Condition Reference	Finding	Action from 2022 IEA	Status of Action
PA 06_0261 – S3 C7	**Airblast Overpressure** Airblast Exceedance	A 127.2 dB exceedance in 2020, Knodlers Lane, resulted from stemming failure and blast wavefront reinforcement.	No Further Action Required	**Not applicable**
PA 06_0261 – S3 C19	**Air Quality** PM10 Dust Exceedances	Short-term PM10 exceedances occurred primarily during regional extraordinary events (bushfire smoke, drought, dust storms). One non-compliance occurred at Knodlers Lane on 28 July 2021. Ensure that the blasting schedule on the HVO website is maintained.	Issue with the Blasting Schedule link from the "Contacts" page has been rectified. No further action required.	**Not applicable**
PA 06_0261 – S3 C27	**Water Management Plan** Water Management Plan Outdated	The approved WMP (2018) does not include required groundwater inflow quantification for Lemington Underground, nor the most recent water balance modelling, dam monitoring upgrades, or expanded surface/groundwater monitoring requirements. Version 3.4 of the WMP has been issued to the secretary and is waiting approval. Review the contents of the WMP to reflect the audit findings when next updated.	HVO will amend in the next revision of the Water Management Plan. *Date indicates when Management Plans are submitted for Department approval. Timing of approval and finalisation of the plan with the changes is outside of HVO's control.*	**Not Complete** Refer findings against Schedule 3, Condition 27 of Appendix B1 (DA 450-10-2003 HVO North). HVO updated the WMP and submitted the revised Version 3.4 to the Department in 2022, as noted in the previous IEA (RPS, 2020). At the conclusion of the last audit period, Version 3.4 had not been approved. During the current audit period, HVO updated the WMP several times to reflect operational changes and consent modifications across HVO North and South. These updates included revisions in 2023 following approval of MOD 8 of PA 08_0621, updates responding to the 2022 Annual Review and 2022 IEA findings, a 2024 update associated with the Annual Review, and a further update in June 2025 following approval of MOD 8 of DA 450-10-2003.

Reference	Condition Reference	Finding	Action from 2022 IEA	Status of Action
				The most recent version of the WMP is Version 4.0, was sighted to address the findings recommendations from the previous IEA and was submitted to the Department for approval in September 2025. At the time of the audit, this version remained unapproved, meaning HVO continues to operate under the outdated but approved Version 3.0. The auditors sighted evidence of repeated submissions to the Department requesting approval of the WMP. At the time of the audit the last approved version was the 2018 (Version 3.0) WMP.
PA 06_0261 – S5 C1C	**Updating & Staging Strategies, Plans or Programs** Version Control of Documentation	Management plans were routinely updated, but some online documents showed outdated version control. These should be corrected, and all revised plans should clearly show consultation and approval evidence.	Ensure that management plans are reviewed and integrated as required, and that current versions are maintained on the website.	**Completed – note additional finding** While HVO has undertaken actions to update and correct several management plan versions since the previous audit, the current audit identified similar version control issues during the audit period. Specifically, some management plans available on the website and internal systems did not consistently reflect the most current approved versions or clearly demonstrate version history, consultation outcomes, and approval status. As such, although partial improvements have been made since the 2022 audit, the underlying issue has not been fully resolved and continues to recur. This finding therefore remains relevant for the current audit period, highlighting the need for strengthened document control processes to ensure that version control, approval dates, and consultation evidence are consistently and clearly documented across all plans.

Reference	Condition Reference	Finding	Action from 2022 IEA	Status of Action
DA 450-10-2003 – S2 C2	**General Compliance with Approvals**	HVO generally complied with the EA, commitments, and approval conditions during the audit period, but several non-conformances were recorded relating to air quality, water pollution, discharge limits, and the Water Management Plan.	No further action required.	**Not applicable**
DA 450-10-2003 – S2 C2	**General Compliance with Approvals**	Refer to S2 C2	No further action required.	**Not applicable**
DA 450-10-2003 – S3 C4A	**Air Quality Criteria** PM10 Exceedance	HVAS exceedance - Cheshunt East PM10 (63.4 µg/m^3 vs 50 µg/m^3) on 12 Sept 2021. It is recommended that operators are provided with refresher training to ensure awareness of these TARPs and to ensure more proactive management of wheel generated and plant-generated dust.	HVO will roll out refresher training to operators to ensure awareness of TARPS.	**Complete** Auditors sighted an Operator Dust TARP Refresher PowerPoint presentation for HVO West, records of attendance for each Mining Crew, communication sign off register and corresponding emails, which occurred in August and September 2023.
DA 450-10-2003 – S3 C7	**Noise** LA1,1min Noise Exceedance	Noise exceedance at Jerrys Plains East in 2021 due to dragline activity.	No further action required.	**Not applicable**
DA 450-10-2003 – S3 C20 & S3 C21	**Pollution of Waters**	Multiple discharge events occurred during the audit period mainly driven by extreme rainfall and flooding with one TSS exceedance recorded, but all investigations concluded no environmental harm and works are underway to upgrade relevant water management infrastructure.	No further action required.	**Not applicable**

Reference	Condition Reference	Finding	Action from 2022 IEA	Status of Action
DA 450-10-2003 –S3 C21	**Discharge Limits**	A March 2021 HRSTS discharge from Parnells Dam exceeded TSS limits, but no environmental harm occurred due to high flood flows in the Hunter River.	No further action required.	**Not applicable**
DA 450-10-2003 – S3 C27	**Water Management Plan Requirements**	Same WMP gaps as identified under PA 06_0261. Missing groundwater inflow methodology and updated modelling/ monitoring detail. The WMP should be updated to include the following: 1. Update the WMP with the required methodology to quantify the annual groundwater inflow into the Lemington underground mine workings during the period water is to be stored and extracted, and the ongoing maximum annual groundwater inflow after these activities have ceased. 2. Update the WMP to include a program to monitor potentially adverse impacts of the development on flooding, surface water flows, stream and riparian vegetation health 3. Update the WMP to include latest details of how the mine is managing water including the recently installed dam level monitoring and pipe burst detection systems. 4. Update the WMP with the latest water balance model details 5. Update the WMP to include a program to periodically update and	HVO will amend in the next revision of the Water Management Plan. HVO will include repair works in future works programs to ensure completion. HVO will undertake a review of current storage capacity in relation to Bluebook standard to confirm whether current storage capacities are sufficient or additional capacity is required. Repair the inlet to Dam 5N to stop ongoing sedimentation, remove sediment from the dam, and confirm the capacity of Dam 5N and Dam 2N meets industry guidelines.	**Complete** Refer to status update against PA 06_0261 – S3 C27 in **Appendix E**, **Table 15** of this IEA. The WMP was updated to address the recommendations from the 2022 IEA. **Dam 5N Inlet Repair Complete** The audit findings have been closed out. Supporting evidence included: • Dam 5N Inlet Repair – repair works completed. • Internal email (FW: Dam11N Task, dated 3/11/2023). Sighted confirmation that Dam 5N repairs and new drain works were completed, along with Dam 11N tasks. • Email correspondence from Engeny to HVO. Sighted confirmation that the Dam 5N & 2N Blue Book Catchment Review met Glencore and Blue Book requirements for the 5-day 95th percentile design rainfall event.

Reference	Condition Reference	Finding	Action from 2022 IEA	Status of Action
		validate the water balance model for the development and compare monitoring results with modelled predictions.		
DA 450-10-2003 – S5 C3	**Updating & Staging Submission of Strategies, Plans or Programs**	Refer to PA 06_0261 Sch 5 Cond 1C.	Refer to PA 06_0261 Sch 5 Cond 1C	**Refer to PA 06_0261 Sch 5 Cond 1C**
EPL 640 – L2.1	**HRSTS** TSS Discharge Limit Exceedance	Parnells Dam exceeded TSS limits during HRSTS discharge (266 mg/L). Turbidity monitoring did not indicate ongoing elevated sediment release, and no environmental harm was identified due to flood flows.	No further action required.	**Not applicable**
EPL 640 – L5.1	**Noise** Noise Limit Exceedance	One dragline-related noise exceedance occurred in July 2020. Follow-up monitoring confirmed compliance after staged dragline shutdown.	No further action required.	**Not applicable**

Appendix F

Audit Plan

Appendix F Audit Plan

Audit Plan – HVO Independent Environmental Audit 2025

Auditee:	**HV Operations** ABN 76 606 478 399	**Address:**	1011 Lemington Rd, Liddell NSW 2333
Site Visit Dates:	13-17 October 2025 (Refer Attachment 1)	**Client Contact:**	Brenton Hubert, M: +61 422 161 505 Email: brenton.hubert@hvo.com.au
Approved Lead Auditor	Kate Michelmore, M: +61 402 156 250, Email: kate.michelmore@aecom.com	**Key Dates**	• Draft Reporting – 20 October – 28 November 2025 • HVO Review – 1 December – 5 December 2025 • Final Reporting – 8 – 12 December 2025 • IEA Report due to DPHI before 5 January 2026
Audit Team Members	• Haley Bates (Auditor); • Sophie Clayton (Auditor Assistant); • Kelly Mulhearn (Surface Water); • David Rollings (Air Quality Specialist); • Jamie McMahon (Rehabilitation Specialist) • Patrick Martinez (Noise Specialist)[1]; and • Stuart Graham (Groundwater Specialist)[1].		
Audit Objectives:	To independently assess Hunter Valley Operations (HVO North and South) for compliance with relevant approval conditions, licences and management plans, evaluate the adequacy of environmental management systems, and review environmental performance and impacts on the surrounding environment.		
Audit Criteria & Framework:	The IEA will assess compliance of Hunter Valley Operations (HVO North and HVO South) against: • Project Approval PA06_0261 (HVO South); • Development Consent DA450-10-2003 (HVO North); • Environment Protection Licence (EPL) 640; • Mining Lease conditions under the Mining Act 1992 and Mining Regulation 2016 (Schedule 8A rehabilitation objectives); • Approved management plans and strategies, including Air Quality & GHG, Noise, Water, Groundwater, Biodiversity, Aboriginal and Historic Heritage, Rehabilitation, Agricultural Land Reinstatement (ALR), Bushfire, and Pollution Incident Response; • Environmental Impact Statement (EIS) and subsequent Modification Environmental Assessments (predictions and commitments). The audit will be conducted in accordance with: • Australia/New Zealand ISO 19011:2014 Guidelines for auditing management systems; • NSW Independent Audit Post-Approval Requirements (May 2020); • Project Approval PA06_0261 (HVO South) – Schedule 5, Conditions 5 & 6; and • Development Consent DA450-10-2003 (HVO North) – Conditions 10 & 11.		
Audit Scope:	The IEA will include a focus on assessing the environmental performance of the project, and its effects on the surrounding environment as outlined in Section 1.2 of our Proposal (*60764658_Proposal for HVO_2025 IEA_01072025)*. • Audit period**: 1 Dec 2022 – 17 Oct 2025.** • Sites: HVO North and HVO South, including pits, CHPP, rail, water storages, offsets, monitoring sites, rehabilitation areas. • Aspects covered: air quality & GHG, noise & blasting, surface water/HRSTS, groundwater, biodiversity & offsets, heritage, rehabilitation & final voids, bushfire, reporting and access to information. • Focus: adequacy and effectiveness of management plans, compliance with criteria, and improvement opportunities • Exclusions: EPBC Approval		

Resources	For the site inspection, the audit team will require a meeting room with power outlets, access to basic workplace facilities (tea/coffee, water, bathrooms), availability of relevant staff for interviews and guidance, and vehicles with an authorised driver for site inspections.
Health & Safety	Auditors will comply with all HVO site rules and requirements. An AECOM Safe Work Method Statement (SWMS) will be prepared for the audit activities. AECOM staff will be escorted at all times and will not operate vehicles within mine-controlled areas. All auditors will complete the site visitor induction on Day 1 and sign in and out daily. Entry to site requires a 0.00 BAC reading via breath test at sign-in.
Attachments	Attachment 1 – Site Inspection Schedule (Redacted from IEA Report) Attachment 2 – Request for Information (Redacted from IEA Report)

[1] *Specialist will dial in remotely to the site inspection component of the IEA.*

Appendix G

Photo Log

Appendix G Photo Log

HVO IEA 2025 – Photographic Log

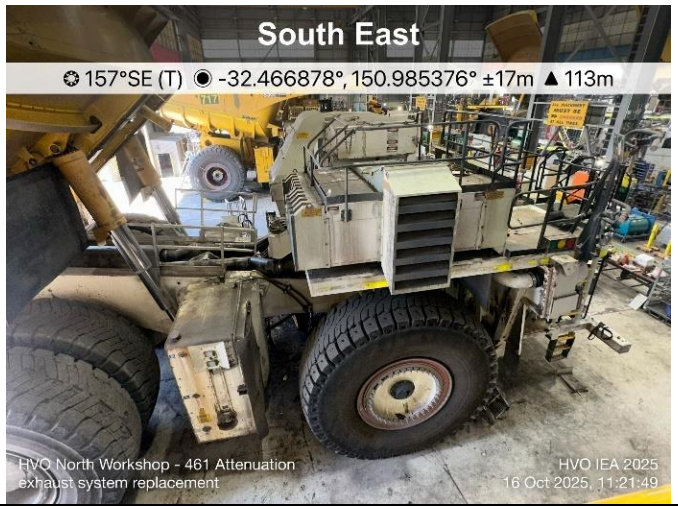
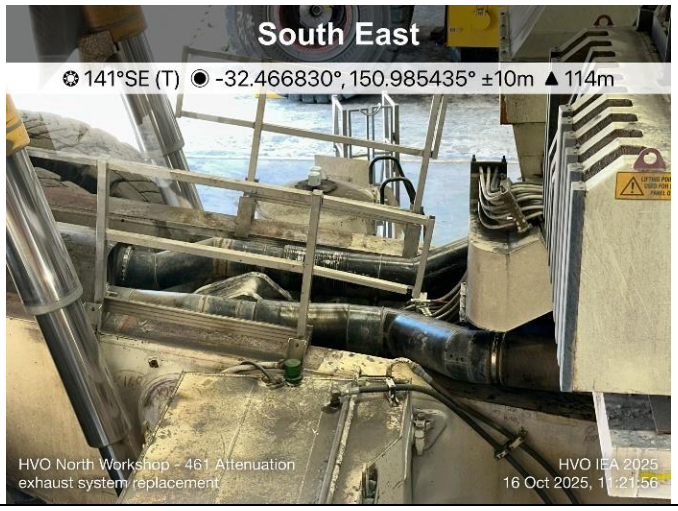
Photo #	Comment	Photo
P - 2	Topic – Noise Weather Station, fenced and grass maintained. Weather Station, backup battery power available to reduce outages.	
P - 3	Topic – Noise HVO North Workshop – 461 Attenuation exhaust system replacement.	
P - 2	Topic – Noise HVO North Workshop – 461 Attenuation exhaust system replacement.	

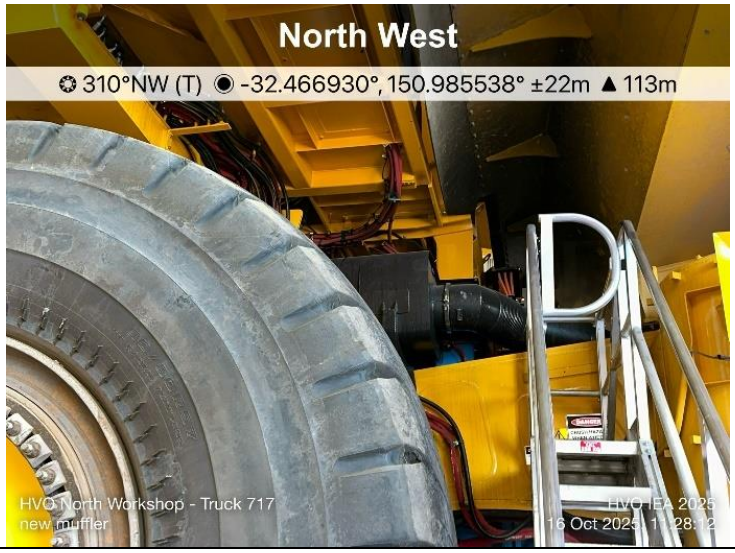
Photo #	Comment	Photo
P - 2	Topic – Noise HVO North Workshop – 717 new muffler to address noise.	
P - 4	Topic – Air Quality Hunter Conveyor 1, covered conveyor from HVCPP to HVLP.	
P - 5	Topic – Air Quality Compliance management air quality and blast monitors.	

Photo #	Comment	Photo
P - 6	Topic – Air Quality Compliance management air quality and blast monitors.	
P - 7	Topic – Air Quality Kilburnie Blast Monitor.	
P - 8	Topic – Air Quality Kilburnie HVAS.	

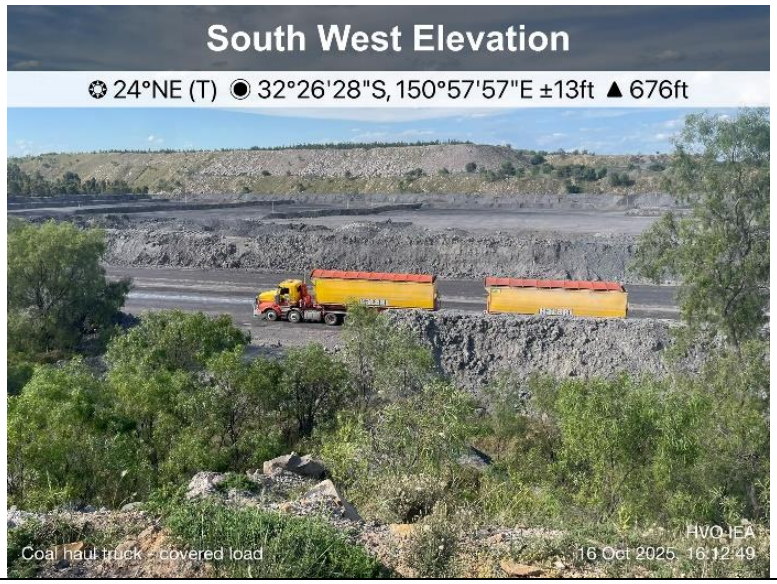
Photo #	Comment	Photo
P - 9	Topic – Air Quality Wandewoi TEOM.	
P - 11	Topic – Air Quality HVO North, west pit water cart.	
P - 12	Topic – Air Quality Coal Haul Trucks, covered load.	

Photo #	Comment	Photo
P - 13	Topic – Water HVO North, oily water separator.	
P - 14	Topic – Water HVO North, oily water separator, vehicle wash bay.	
P - 15	Topic – Water HVO North, Dam 16N.	

Photo #	Comment	Photo
P - 16	Topic – Water HVO North Dam 17N, signage clean catchment.	
P - 17	Topic – Water HVO North Dam 17N, Sump pump.	
P - 18	Topic – Water HVO North Dam 17N, Sump pump.	

Photo #	Comment	Photo
P - 19	Topic – Water HVO North, Dam 5N.	
P - 20	Topic – Water HVO North, Dam 5N, solar sled.	
P - 21	Topic – Water HVO North, Dam 5N, level sensor and gauge boards.	

Photo #	Comment	Photo
P - 22	Topic – Water HVO North, Dam 15N, back up water pump.	
P - 23	Topic – Water HVO North, Dam 11N, discharge point 3.	
P - 26	Topic – Water HVO North, Dam 11N, discharge point 3.	

Photo #	Comment	Photo
P - 27	Topic – Water HVO North, Dam 11N, discharge point 3.	
P - 28	Topic – Water HVO North, Mitchell Pit, drain linked to Dam 32 West.	
P - 29	Topic – Water HVO North, Mitchell Pit, drain linked to Dam 32 West.	

Photo #	Comment	Photo
P - 31	Topic – Water HVO North, Mitchell Pit, Dam 32 West.	
P - 32	Topic – Water HVO North, Mitchell Pit, Dam 32W drain.	
P - 33	Topic – Water HVO North, Mitchell Pit, Dam 32 West.	

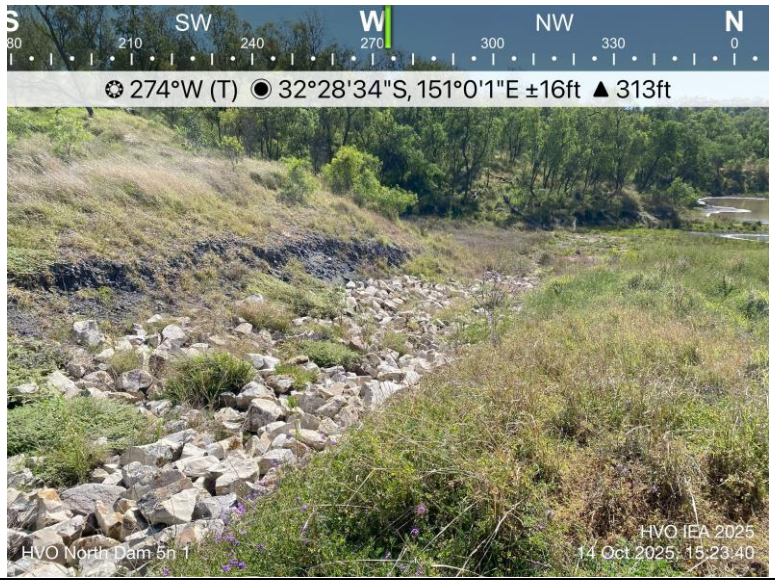
Photo #	Comment	Photo
P - 34	Topic – Water HVO North, Dam 31W pump.	
P - 35	Topic – Water HBO North, vehicle wash down bay.	
P - 36	Topic – Water HVO North, Dam 5n 1.	

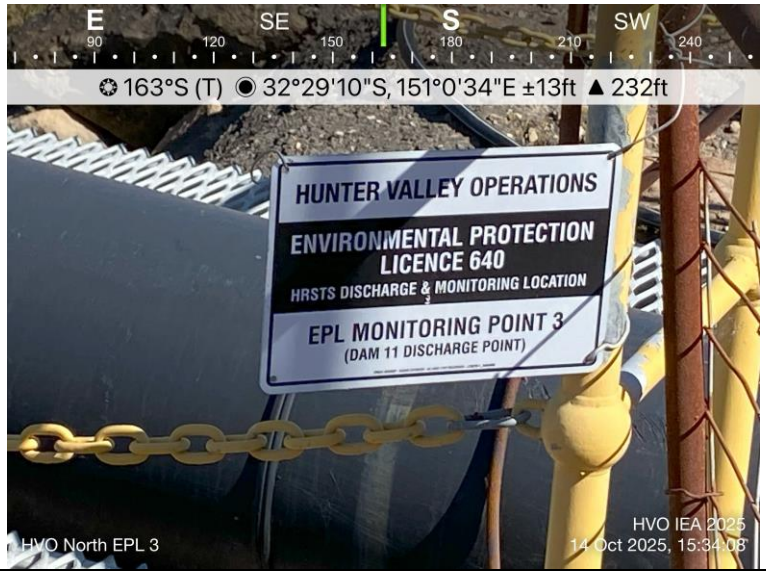
Photo #	Comment	Photo
P - 37	Topic – Water HVO North, Dam 11, EPL monitoring point 3 signage.	
P - 38	Topic – Flora and Fauna Carrington Billibong.	
P - 39	Topic – Flora and Fauna Carrington Billibong, pathogen zone fenced off to prohibit entry.	

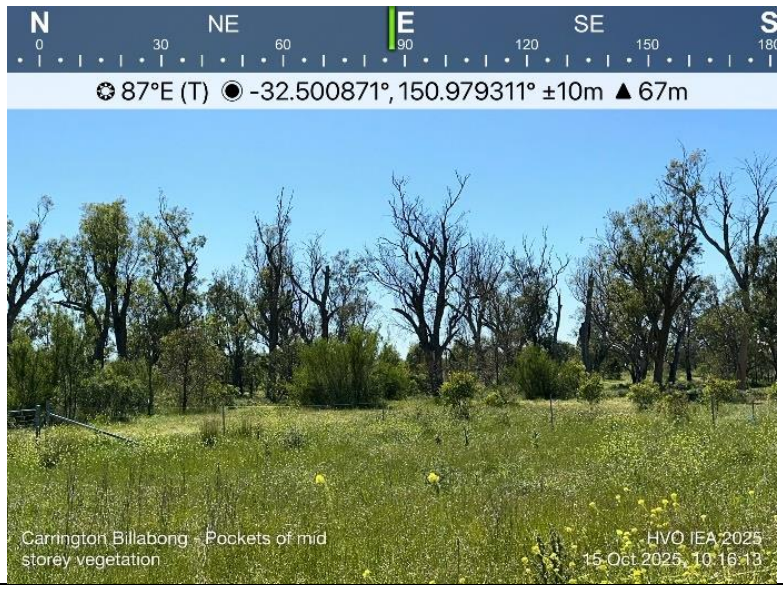
Photo #	Comment	Photo
P - 40	Topic – Flora and Fauna Hunter River Red Gum Signage, Carrington Billabong.	
P - 41	Topic – Flora and Fauna Carrington Billabong, pockets of mid storey vegetation.	
P - 42	Topic – Rehabilitation Carrington Rehabilitation (HVOCAR-2024-02).	

Photo #	Comment	Photo
P - 40	Topic – Rehabilitation HVO North, Swamp Oak revegetation.	
P - 41	Topic – Rehabilitation HVO North, Swamp Oak revegetation.	
P - 42	Topic – Rehabilitation HVO North, Swamp Oak revegetation.	

Photo #	Comment	Photo
P - 43	Topic – Rehabilitation Carrington Rehabilitation (HVOCAR-2024-02), 80 ha rehabilitation black, GW109 monitoring pond visible.	
P - 44	Topic – Rehabilitation Carrington Rehabilitation reseeded in 2024.	
P - 45	Topic – Rehabilitation Barrys topsoil stockpile area which had been recently removed.	

Photo #	Comment	Photo
P - 46	Topic – Rehabilitation Barrys topsoil stockpile which had been seeded with a pasture woody mix.	
P - 47	Topic – Rehabilitation Fluvial contour project. Ripping occurring in preparation for drone seeding.	
P - 48	Topic – Rehabilitation Salvage items ready for placement in rehabilitation area.	

Photo #	Comment	Photo
P - 49	Topic – Rehabilitation Rock stockpiles (small between 100-300mm) used for drains.	
P - 50	Topic – Rehabilitation Cheshunt rehabilitation area.	
P - 51	Topic – Rehabilitation Cheshunt rehabilitation area. Topsoil ready for spreading gypsum to be added.	

Photo #	Comment	Photo
P - 52	Topic – Rehabilitation Cheshunt rehabilitation area. Polo green in distance, Lake James to the right.	
P - 53	Topic – Rehabilitation Cheshunt rehabilitation area. Polo green planted in 2012. Weed management ongoing to manage weed issues in the past.	
P - 54	Topic – Rehabilitation Cheshunt rehabilitation area.	

Photo #	Comment	Photo
P - 55	Topic – Rehabilitation HVOCHES 2020 rehabilitation area, report card was red in 2022, however yellow in 2025.	
P - 56	Topic – Rehabilitation HVOCHES 2020 rehabilitation area, with rehabilitation showing a lot of improvement since 2022.	
P - 64	Topic – Heritage Archaeology Site, signage and barriers.	

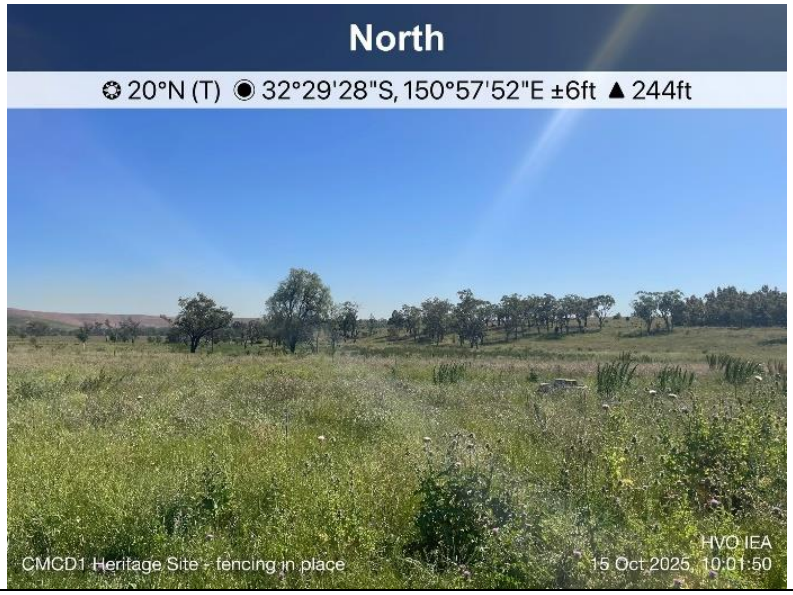
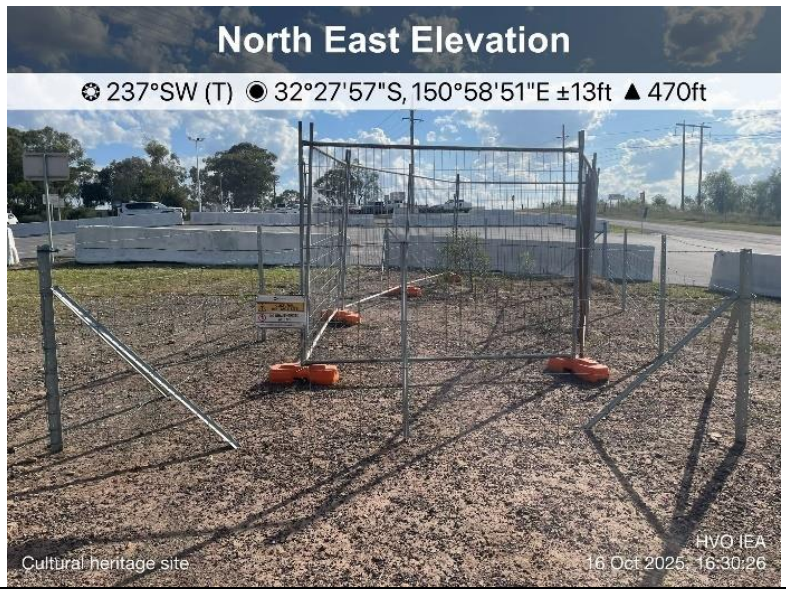
Photo #	Comment	Photo
P - 65	Topic – Heritage CMCD1 Heritage Site, fencing in place.	
P - 66	Topic – Heritage Scarred tree 37-2-2080 (C3) sighted to be located at the front of the HVO North Administration Building.	
P - 67	Topic – Heritage AHIMS 37-2-6621. Discovered in 2024. Located in HVO North proposed car park extension area. Signposted, and fenced.	

Photo #	Comment	Photo
P - 70	Topic – Site General HVCHPP	
P - 71	Topic – Site General Truck dumping, water sprays activated.	
P - 72	Topic – Site General Newdell load point (NLP).	

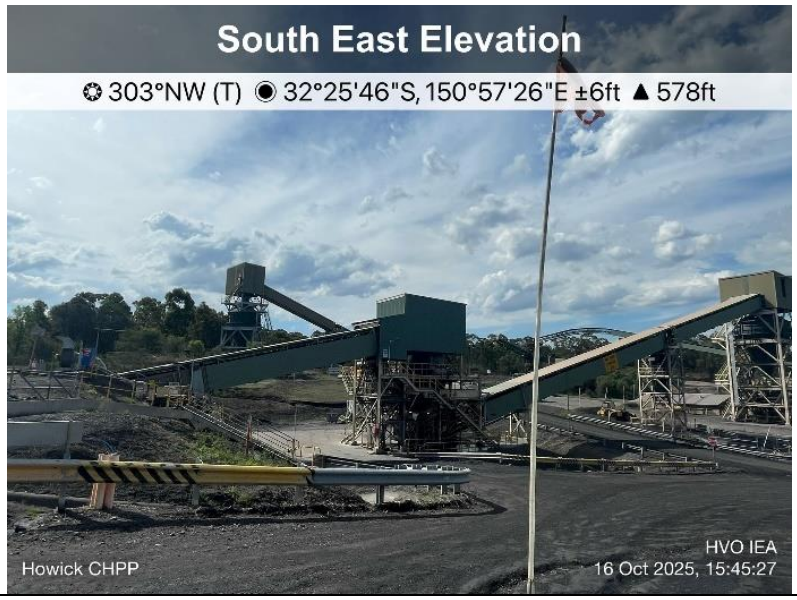
Photo #	Comment	Photo
P - 73	Topic – Site General Howick CHPP.	
P - 74	Topic – Site General Howick CHPP.	
P - 75	Topic – Site General Dragline due for decommissioning.	

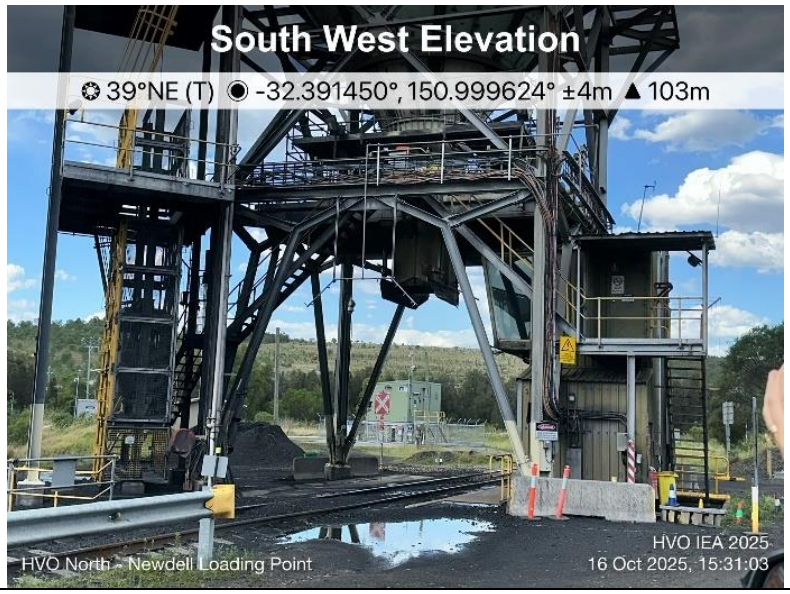
Photo #	Comment	Photo
P - 76	Topic – Site General HVO North, CHPP.	
P - 77	Topic – Site General HVO North, NLP.	
P - 78	Topic – Site General HVO North, NLP	

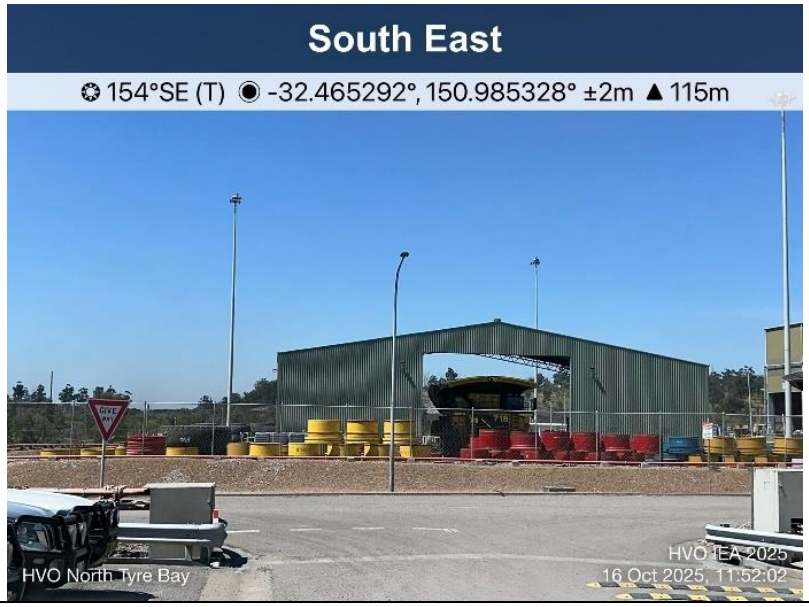
Photo #	Comment	Photo
P - 79	Topic – Site General HVO North Mine Infrastructure Area (MIA), Tyre Bay.	
P - 80	Topic – Site General HVO North MIA, North Workshop.	
P - 81	Topic – Site General HVO North MIA, inside North Workshop.	

Photo #	Comment	Photo
P - 82	Topic – Site General HVO North MIA, Fuel Farm fill point.	
P - 83	Topic – Site General HVO North MIA, Fuel Farm.	
P - 84	Topic – Site General HVO North MIA, Fuel Farm.	

Photo #	Comment	Photo
P - 85	Topic – Site General HVO North MIA, Workshop Laydown area.	
P - 86	Topic – Site General HVO North MIA, North STP.	
P - 87	Topic – Site General HVO North MIA, North STP. Observing pump out from JR Richards.	

Photo #	Comment	Photo
P - 88	Topic – Site General HVO South MIA	
P - 89	Topic – Site General HVO South MIA), Wash Bay.	
P - 90	Topic – Site General HVO South MIA, spill response trailer.	

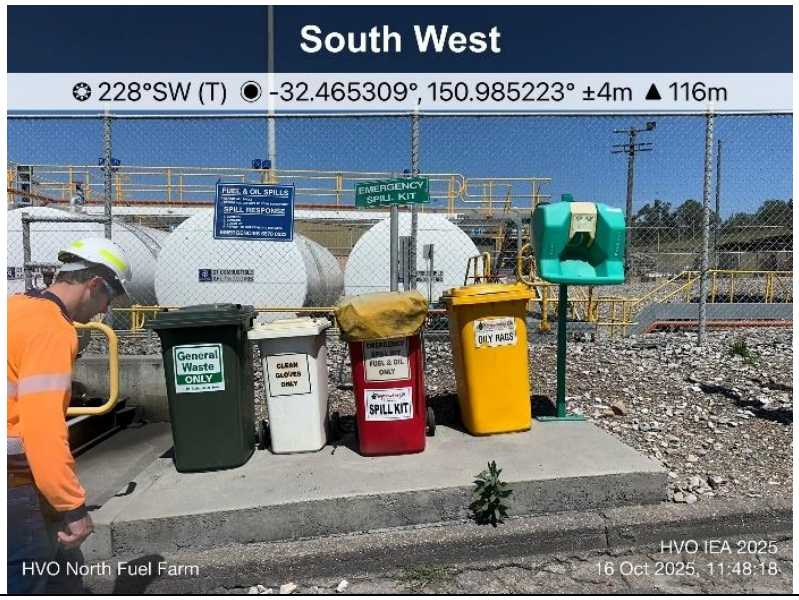
Photo #	Comment	Photo
P - 91	Topic – Site General HVO South MIA Workshop.	
P - 92	Topic – Site General HVO South MIA Fuel Farm.	
P - 93	Topic – Site General HVO South MIA Fuel Farm.	

Photo #	Comment	Photo
P - 94	Topic – Site General HVO South MIA, Fuel Farm.	
P - 95	Topic – Site General HVO South MIA, South STP.	
P - 96	Topic – Site General HVO South MIA, South STP.	

Photo #	Comment	Photo
P - 97	Topic – Site General HVO South MIA, Trade Waste Area.	
P - 98	Topic – Site General HVO South MIA, Trade Waste area.	
P - 99	Topic – Pit West Pit, operational area.	

Photo #	Comment	Photo
P - 100	Topic – Pit West Pit, operational area.	
P - 101	Topic – Pit West Pit, operational area.	
P - 102	Topic – Pit West Pit, operational area.	

Photo #	Comment	Photo
P - 103	Topic – Waste Howick CHPP, waste storage area.	
P - 104	Topic – Waste HVO North, heavy vehicle wash bay and waste bin.	
P - 105	Topic – Waste HVO North, tyre reuse.	

Photo #	Comment	Photo
P - 106	Topic – Waste HVO North, chemical storage.	
P - 107	Topic – Waste HVO North Fuel Farm, Waste segregation.	
P - 108	Topic – Waste HVO North, temporary storage of lubricants, on bunding.	