



Wollongong Coal Limited

Wongawilli Colliery

Independent Audit

Action Plan

February 2020

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Document Author:	Ron Bush Group Environment and Approvals Manager Wollongong Coal Limited

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1 INTRODUCTION

Wongawilli Colliery (WWC) is an underground coal mine located approximately 14 km south west of Wollongong in New South Wales, Australia. Wongawilli Colliery is operated by Wongawilli Coal Pty Ltd (WWCPL), which is an entity of Wollongong Coal Limited (WCL).

WWCPL hold mining leases CCL 766, ML 1565 and ML 1596 for the WWC, with a total area of 14,767 hectares. WWCPL also hold Environment Protection Licences (EPL) 1087 and 12442.

A locality map showing the mining lease area extent is outlined on **Figure 1**.

Wongawilli Colliery mining operations are governed by the “NRE Wongawilli Colliery – Nebo Project Area” (MP09_0161), approval for which was granted on 2 November 2011 and has been modified once.

Longwall and pillar extraction within the Nebo Project Area has been completed in early 2019 and currently WWC is on care and maintenance operational mode.

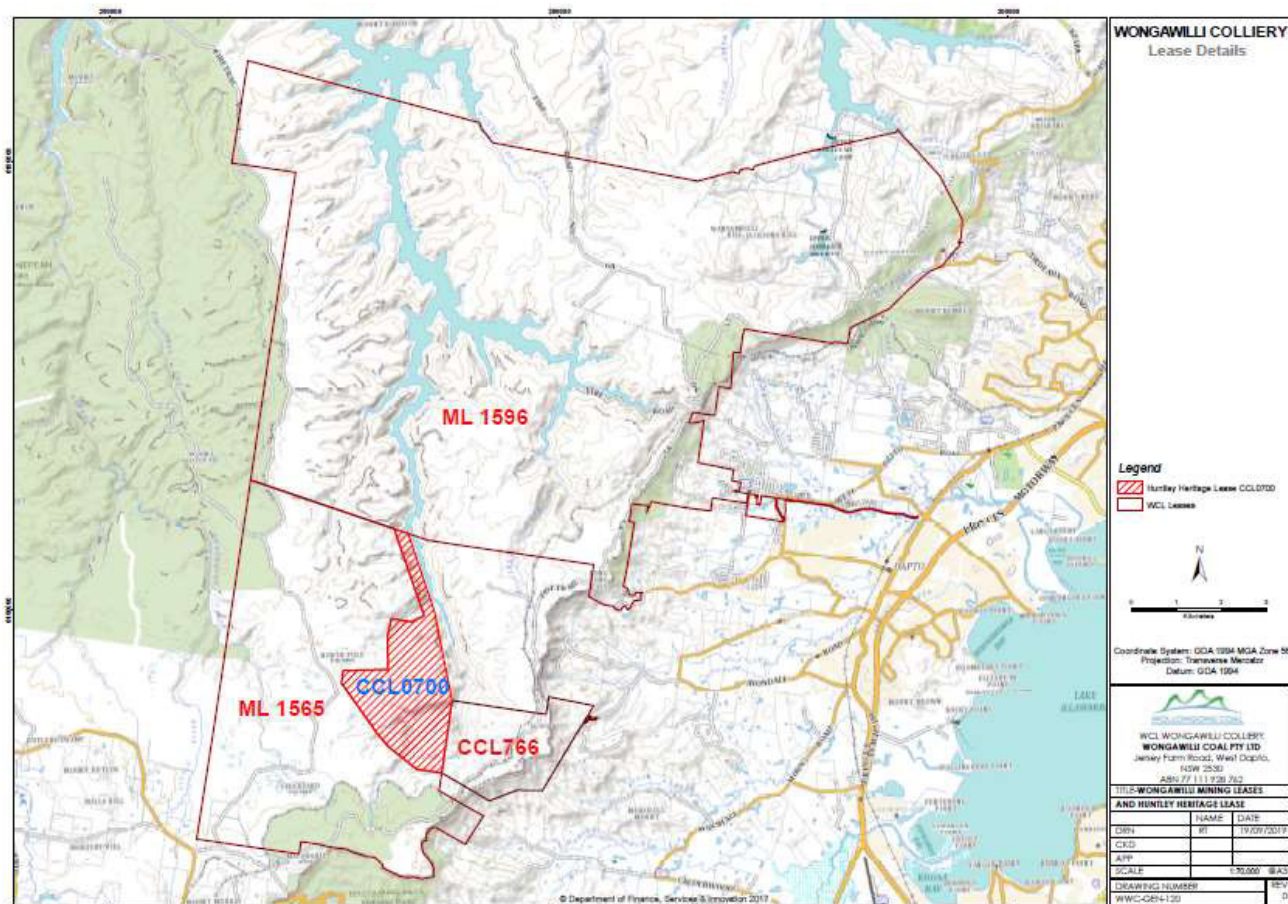


Figure 1: Wongawilli Colliery Mining Leases

2 INDEPENDENT AUDIT

2.1 Background

Wolfpeak we engaged by WCL to undertake an Independent Audit for the period from 1 July 2016 to 30 June 2019.

The objective of the Independent Audit was to satisfy MP09_0161 Schedule 6, Condition 8.

This condition requires that an Independent Audit be carried out within 12 months of the approval, and every three years thereafter. This IEA seeks to verify compliance with the relevant Conditions of Approval (CoAs), EPLs, and Mining Leases. The Independent Audit is also required to assess the effectiveness of environmental management.

This Audit Report presents the findings from the third Independent Audit for the MP09_0161, and covers the period from 1 July 2016 to 30 June 2019.

2.2 Independent Audit Findings

The Independent Audit reviewed 66 CoAs and 74 EPL conditions.

The findings were as follows:

- There was 53 conditions that were identified as being complied with;
- There was 26 non-compliances identified;
- There was 3 administrative non-compliances identified;
- There was 11 conditions not able to be verified;
- There was 47 conditions identified as not being triggered; and
- There were 10 actions identified from the previous audit that had been closed. There were 15 actions remaining open.

A summary of the findings of the Independent Audit are outlined within **Table 1**.

Table 1: Summary of Independent Audit Findings

	Project Approval MP09_0161	EPL1087	EPL12242
Compliant	25	24	3
Not Verified	8	3	0
Not Triggered	16	9	22
	49 (75%)	36 (72%)	25 (100%)
Not Compliant	14	12	0
Administrative Not Compliant	2	2	0
	16 (25%)	14 (28%)	0 (0%)
Total	65	50	25

2.3 Independent Audit Recommendations

The Independent Audit made 3 recommendations of a more strategic nature, which are:

- Recommendation that WCL prepares an Annual Subsidence Impact Performance Report that provides a statement of compliance against all of the Subsidence Performance Measures in Tables 1 and 2 of the Approval and references to supporting evidence, analysis and conclusions by relevant experts.
- Recommendation that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to implementing this system.
- Recommendation that the published reports clearly indicate what the relevant limit criteria are, or clearly state where these do not apply.

3 ACTION PLAN

3.1 Non-Compliances

WCL Action Plan related to the Independent Audit non-compliance findings are outlined within **Table 2**.

3.2 Recommendations

WCL Action Plan related to the Independent Audit Recommendations are outlined within **Table 3**.

Table 3: Independent Audit Recommendations Action Plan

Audit Recommendations	WCL Action Plan	Timeframe
Preparation of an Annual Subsidence Impact Performance Report that provides a statement of compliance against all of the Subsidence Performance Measures	WCL will include with Annual Review/AEMR as an Appendix	2019/2020 Annual Review/AEMR (30 June 2020)
WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. Also recommend that a dedicated resource be assigned to implementing this system	As interim step, WCL is implementing a Compliance Database developed by SMEC Engineering for project approval conditions WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360 or Intelix WCL proposes to review the Environment team resources once Russell Vale UEP approval commenced	30 June 2020 30 December 2020 30 December 2020
That the published reports clearly indicate what the relevant limit criteria are, or clearly state where these do not apply.	WCL will communicate with consultants to ensure that reports indicate relevant limit criteria wherever possible	2019/2020 Annual Review/AEMR (30 June 2020)

Table 2: Independent Audit Non-Compliance Findings Action Plan

Condition	Compliance Status	Non-Compliance Findings	WCL Action Plan	Timeframe
MP09_0161 Schedule 2 Condition 1	Non-compliant	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 2 Condition 2	Non-compliant	It is recommended that regulatory actions be included within the Compliance Management System for tracking and expeditious close out	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 2 Condition 4	Non-compliant	It is recommended that regulatory actions be included within the Compliance Management System for tracking and expeditious close out	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 2 Condition 7	Non-compliant	It is recommended that regulatory actions be included within the Compliance Management System for tracking and expeditious close out	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 2 Condition 12	Non-compliant	The recommendations from the Independent Environmental Risk Assessment Wollongong Coal Limited Russell Vale & Wongawilli Collieries, WolfPeak, May 2019 address these issues.	Noted	Timing as per Action Plan for the Independent Environmental Risk Assessment
MP09_0161 Schedule 3 Condition 1	Not verified	We recommend that WCL prepares an Annual Subsidence Impact Performance Report or Statement that provides a statement of compliance against all of the Subsidence Performance Measures in Tables 1 and 2 of the Approval, and includes references to the supporting evidence, analysis and statements by the relevant technical experts in support of compliance (or otherwise) with all of the measures.	WCL will include with Annual Review/AEMR as an Appendix	2019/2020 Annual Review/AEMR (30 June 2020)
		We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 3 Condition 2	Not verified	We recommend that WCL prepares an Annual Subsidence Impact Performance Report or Statement that provides a statement of compliance against all of the Subsidence Performance Measures in Tables 1 and 2 of the Approval, and includes references to the supporting evidence, analysis and statements by the relevant technical experts in support of compliance (or otherwise) with all of the measures.	WCL will include with Annual Review/AEMR as an Appendix	2019/2020 Annual Review/AEMR (30 June 2020)
		We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 3 Condition 3	Not verified	We recommend that WCL prepares an Annual Subsidence Impact Performance Report or Statement that provides a statement of compliance	WCL will include with Annual Review/AEMR as an Appendix	2019/2020 Annual Review/AEMR (30 June

		against all of the Subsidence Performance Measures in Tables 1 and 2 of the Approval, and includes references to the supporting evidence, analysis and statements by the relevant technical experts in support of compliance (or otherwise) with all of the measures. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	2020) 30 December 2020
MP09_0161 Schedule 3 Condition 7	Not verified	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 4 Condition 4	Administrative non-compliance	We recommend WCL either expedite resolution of this issue or seek a modification to this condition to reflect intended train lengths.	WCL propose to resolve with new SSD project for NW Domain	2021/2022
MP09_0161 Schedule 4 Condition 11	Non-compliant	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 4 Condition 13	Not verified	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 4 Condition 14	Not verified	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020

		We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).		
MP09_0161 Schedule 4 Condition 15	Not verified	We recommend WCL verify the monitoring stations capability and implement a system that meets the requirements of this condition.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
MP09_0161 Schedule 4 Condition 19	Non-compliant	We recommend that WCL implement controls on site to prevent reoccurrence of the water quality incidents. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
MP09_0161 Schedule 4 Condition 20	Non-compliant	We recommend that WCL implement controls on site to prevent reoccurrence of the water quality incidents. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
MP09_0161 Schedule 4 Condition 24	Non-compliant	We note that WCL have committed to a site wide clean up and recommend that this be programmed (with target completion dates) and implemented in full.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
MP09_0161 Schedule 4 Condition 28	Administrative non-compliance	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 5 Condition 1	Non-compliant	We recommend WCL ensure appropriate consultation be carried out with the stakeholders identified.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
MP09_0161 Schedule 6 Condition 1	Not verified	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020

		system.		
MP09_0161 Schedule 6 Condition 5	Non-compliant	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
MP09_0161 Schedule 6 Condition 6	Non-compliant	We recommend that WCL incident investigation and reporting procedures be reviewed, and that personnel are trained in reporting requirements and that records relating to incidents and their reporting be retained in an orderly fashion.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
MP09_0161 Schedule 6 Condition 7	Non-compliant	We recommend the website be periodically reviewed with current documents uploaded on a regular basis.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 P1.3	Non-compliant	We recommend that the monitoring points be verified and aligned with the EPL.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 L1.1	Non-compliant	We recommend that WCL implement controls on site to prevent reoccurrence of the water quality incidents. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 L2.1	Non-compliant	We recommend that WCL implement controls on site to prevent reoccurrence of the water quality incidents. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 L2.2	Not verified	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
EPL1087 L2.3	Non-compliant	We recommend that WCL develops and implements a Compliance	WCL is investigating purchase and implementation of a commercially	30 December 2020

		Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	available Compliance software, such as Global 360	
EPL1087 L2.4	Non-compliant	We recommend that WCL implement controls on site to prevent reoccurrence of the water quality incidents. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 O1.1	Non-compliant	We note that WCL have committed to a site wide clean up and recommend that this be programmed (with target completion dates) and implemented in full.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 O2.1	Non-compliant	The recommendations from the Independent Environmental Risk Assessment Wollongong Coal Limited Russell Vale & Wongawilli Collieries, WolfPeak, May 2019 address these issues	Noted	Timing as per Action Plan for the Independent Environmental Risk Assessment
EPL1087 O3.1	Non-compliant	We recommend that WCL implement controls on site to prevent reoccurrence of the dust incidents. We recommend that any non-conformances with the criteria set out in the Project management plans are responded to in accordance with the requirements of those plans (in addition to any statutory requirements).	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 M2.3	Non-compliant	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
EPL1087 M5.2	Administrative non-compliance	We recommend that WCL implement a complaints management system that records this information.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 M6.1	Non-compliant	We recommend that WCL implement a complaints management system that records this information.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)

EPL1087 M6.2	Non-compliant	We recommend that the website be updated to clearly state that the telephone line is for complaints.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 M6.3	Non-compliant	We recommend WCL initiate improvements to the BAM monitoring system to ensure the required up-times are achieved.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 R1.5	Non-compliant	We recommend that WCL develops and implements a Compliance Management System as soon as possible. Ideally, such a system would enable coverage of the next 3 yearly audit period from July 2019 to June 2022. We also recommend that a dedicated resource (e.g. Environmental Compliance Coordinator or similar role) be assigned to managing such a system.	WCL is investigating purchase and implementation of a commercially available Compliance software, such as Global 360	30 December 2020
EPL1087 R2.1	Not verified	We recommend that WCL incident investigation and reporting procedures be reviewed, and that personnel are trained in reporting requirements and that records relating to incidents and their reporting be retained in an orderly fashion.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)
EPL1087 R2.2	Not verified	We recommend that WCL incident investigation and reporting procedures be reviewed, and that personnel are trained in reporting requirements and that records relating to incidents and their reporting be retained in an orderly fashion.	WCL will complete and report within Annual Review/AEMR	2019/2020 Annual Review/AEMR (30 June 2020)