

2021 INDEPENDENT ENVIRONMENTAL AUDIT

Ravensworth Complex



PR149031

1

24 January 2022

REPORT

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Approval for issue

Ian Richardson



24 January 2022

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INDEPENDENT AUDIT REPORT DECLARATION FORM

Independent Audit Report Declaration Form


Project Name	Ravensworth Complex – 2021 Independent Environmental Audit
Consent Number	Project Approval 09_0176 / Development Consent 104/96
Description of Project	Competition of an Independent Environment Compliance, required every 3 years, in accordance with Condition 8, Schedule 5 of Project Approval 09_0176, and Condition 7, Schedule 4 of Development Consent 104/96.
Project Address	Ravensworth Complex – 560 Lemington Road, Ravensworth NSW 2330
Proponent	Ravensworth Operations Pty Limited ABN 12 098 937 761
Title of Audit	2021 Independent Environmental Audit – Ravensworth Complex
Date	24 January 2022

I declare that I have undertaken the Independent Audit and prepared the contents of the attached 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	Ian Richardson
Signature	
Qualification	Bachelor of Environmental Science

Independent Audit Report Declaration Form	
	Exemplar Global Certified Lead Auditor – Environmental Management Systems (ISO 14001)
Company	RPS Australia East Pty Ltd
Company Address	RPS Newcastle – Unit 2A, 45 Fitzroy Street, Carrington NSW 2294

EXECUTIVE SUMMARY

RPS Australia East Pty Ltd (RPS) was engaged by Ravensworth Operations Pty Ltd to conduct an Independent Environmental Audit (IEA) of the Ravensworth Complex located in the Hunter Valley, New South Wales.

The audit was conducted in accordance with Condition 8, Schedule 5 of Project Approval (PA) 09_0176, and Condition 7, Schedule 4 of Development Consent (DA) 104/96 as issued by the Department of Planning, Industry and Environment (the Department) and RPS proposal dated 9 March 2021.

The last IEA carried out at the site under PA 09_0176 and DA 104/96 was conducted for the period of 31 March 2015 to 2 May 2018. The audit period to which this audit applies is inclusive of the period from 3 May 2018 to 17 June 2021 (date of last day of audit site inspection). This report presents the findings of this audit.

The IEA was undertaken in general accordance with:

- The Department's Post-approval requirements for State Significant Developments Independent Audit Guideline, May 2020 (Independent Audit Guideline, 2020).
- AS/NZS ISO 19011:2014 Guidelines for auditing management systems.
- RPS's proposal (dated 9 March 2021).

The RPS audit team was approved by the Department on 30 March 2021. A copy of the approval letter is located in **Appendix A**. A two (2) day site inspection was conducted at Ravensworth Complex between 16 to 17 June 2021.

The IEA identified a total of four (4) non-compliances against PA 09_0176, DA 104/96, and reviewed coal/mining leases. As summary of the compliance of the project approvals and coal/mining leases is outlined in **Table 1** below.

Table 1 Summary of Audit Findings

Approval	Total No. of Conditions	Compliant	Non-Compliant	Not Triggered
PA 09_0176	85	49	4	32
DA 104/96	49	28	0	21
CCL723 (1973)	37	15	0	22
CCL739 (1973)	25	15	0	10
CL378 (1973)	36	20	0	16
CL380 (1973)	13	10	0	3
CL580 (1973)	26	9	0	17
ML1325 (1992)	14	9	0	5
ML1348 (1992)	13	11	0	2
ML1349 (1992)	78	22	0	56
ML1357 (1992)	14	11	0	3
ML1393 (1992)	24	12	0	12
ML1416 (1992)	14	10	0	4
ML1477 (1992)	23	8	0	15
ML1485 (1992)	16	11	0	5
ML1495 (1992)	23	8	0	15
ML1502 (1992)	23	9	0	14
ML1506 (1992)	33	14	0	19
ML1576 (1992)	32	18	0	14
ML1580 (1992)	26	14	0	12
ML1581 (1992)	21	12	0	9
ML1591 (1992)	19	11	0	8

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Approval	Total No. of Conditions	Compliant	Non-Compliant	Not Triggered
ML1595 (1992)	20	12	0	8
ML1625 (1992)	25	16	0	9
ML1667 (1992)	20	15	0	5
ML1668 (1992)	21	12	0	9
ML1669 (1992)	23	15	0	8
ML1683 (1992)	23	14	0	9

GLOSSARY OF TERMS

Abbreviation	Description
AHMP	Aboriginal Heritage Management Plan
AQGGMP	Air Quality Greenhouse Gas Management Plan
BMP	Biodiversity Management Plan
CCC	Community Consultative Committee
CHPP	Coal Handling Preparation Plant
CL	Coal Lease
CMO	CMO Compliance Management Software
Council	Singleton Council
CTMP	Construction Traffic Management Plan
the Department	Department of Planning, Industry and Environment
Dol Water	Department of Industry, Water
DRG	Division of Resources and Geoscience, a division of the Department
EA	Environmental Assessment
EAMSIMP	Exploration Activities and Minor Surface Infrastructure Management Plan
EC	Electrical Conductivity
E&C	Environment and Community
EMS	Environmental Management System
EP	Extraction Plan
EPA	NSW Environmental Protection Authority
EPL	Environmental Protection Licence
ESCP	Erosion and Sediment Control Plan
GCAA	Glencore Coal Assets Australia
GDE	Groundwater Dependent Ecosystem
GDP	Ground Disturbance Permit
GWMP	Groundwater Monitoring Program
Ha	Hectare
HHMP	Historic Heritage Management Plan
HMA	Habitat Management Area
HVCC	HV Coking Coal Pty Ltd
ICAM	Incident Cause Analysis Method
IEA	Independent Environmental Audit
Ravensworth	Ravensworth Complex
LW	Longwall
INP	Industry Noise Policy
ML	Mining Lease
MOD	Modification
MOP	Mining Operations Plan
Mtpa	Mega Tonnes Per Annum
NMP	Noise Management Plan
NRAR	Natural Resources Access Regulator
NSW	New South Wales
OEH	Office of Environment and Heritage
OFI	Opportunity for Improvement

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Abbreviation	Description
OSMS	On-site Sewage Management System
OWS	Oil Water Separator
PA	Project Approval
RAP	Registered Aboriginal Party
ROM	Run of Mine
RPS	RPS Australia East Pty Ltd
RR	Resource Regulator
SANSW	Subsidence Advisory New South Wales
Secretary	Secretary of the Department of Planning, Industry and Environment or delegate
SWB	Site Water Balance
SWMP	Surface Water Monitoring Program
TARP	Trigger Action Response Plan
WAL	Water Access Licence
WMP	Water Management Plan

1 INTRODUCTION

RPS Australia East Pty Ltd (RPS) was engaged by Ravensworth Operations Pty Ltd to conduct an Independent Environmental Audit (IEA) of the Ravensworth Complex located in the Hunter Valley, New South Wales.

The audit was conducted in accordance with Condition 8, Schedule 5 of Project Approval (PA) 09_0176, and Condition 7, Schedule 4 of Development Consent (DA) 104/96 as issued by the Department of Planning, Industry and Environment (the Department) and RPS proposal dated 9 March 2021.

The last IEA carried out at the site under PA 09_0176 and DA 104/96 was conducted for the period of 31 March 2015 to 2 May 2018. The audit period to which this audit applies is inclusive of the period from 3 May 2018 to 17 June 2021 (date of last day of audit site inspection). This report presents the findings of the audit.

1.1 Background of the Project

1.1.1 Ravensworth Complex

Ravensworth Complex is located in the Upper Hunter Valley region of NSW, approximately 25 km northwest of Singleton. The complex is comprised of the Ravensworth Open Cut (ROC), the Ravensworth Underground Mine (RUM) and the Ravensworth Coal Handling Preparation Plant (RCHPP). Production began at the Complex in the 1970s to supply domestic power generators and has evolved into a large-scale export operation. The complex employs approximately 547 full time staff and produced 13.3 million tonnes (Mt) of Run of Mine (ROM) coal during 2020 within the annual limit.

1.1.2 Ravensworth Open Cut (ROC)

ROC is owned and operated by Ravensworth Operations Pty Limited, which is managed by Glencore. An Environmental Assessment (EA) was submitted for the Ravensworth Operations Project in February 2010. The EA was approved by the Department of Planning, Infrastructure and Environment (DPIE) on 11 February 2011 (PA 09_0176).

The approval granted the expansion of existing approved mining operations at ROC and enabled the consolidation of existing approvals for open cut mining and infrastructure within the Ravensworth Complex. The single project approval has enabled the amalgamation of operational aspects of the mining operations, which has facilitated a consistent and integrated approach to environmental management and mine planning.

Details of modifications to PA 09_0176 are outlined in Section 1.1.5 below.

1.1.3 Ravensworth Underground Mine (RUM)

RUM has been managed by Glencore since February 2008.

The area of land within the approved RUM development consent boundaries is owned by RUM, AGL Macquarie, Daracon, Ravensworth Operations Pty Limited, Glendell, and I. Bowman Pty Ltd. Where necessary, RUM undertakes consultation with these relevant parties.

RUM operates under development consent DA 104/96 dated 20 November 1996. A ninth modification (MOD 9) was submitted during 2012, primarily relating to changes in the longwall (LW) layout of the Liddell Seam (Liddell Seam Project). MOD 9 was approved by the DPIE on 20 June 2013. Details of modifications to DA 104/96 are outlined in Section 1.1.5 below.

The original 1996 development application was supported by an EA for the construction and operation of an underground coal mine. Through subsequent EA modifications, RUM has an approved maximum production of 7 Mtpa of ROM coal.

RUM's existing approved surface facilities include workshops, stores, employee amenities, access roads, offices, car parks, open air storage areas, sewage treatment facilities, water management infrastructure, ventilation infrastructure, and diesel and oil storage. ROM coal is transferred to the RCHPP for processing.

RUM was placed in Care and Maintenance in October 2014.

In accordance with provisions of Schedule 1B Clause 14 of the Mining Act 1992, the Minister suspended the labour and expenditure conditions of RUM, effective from 14 July 2017, until 12 July 2018. An application to extend the suspension until 2021 was approved on the 15 March 2019. The suspension takes effect from 7 March 2019 for a period until 12 July 2021. RUM is scheduled for closure on 31 July 2024.

1.1.4 Ravensworth Coal Handling and Preparation Plant (RCHPP)

The RCHPP is located adjacent to the RUM pit top. Once the coal from ROC or RUM reaches the ROM stockpile it is required to be managed by RCHPP. The RCHPP is managed under PA 09_0176.

The RCHPP also receives product coal from Muswellbrook Coal Company. After processing at the RCHPP, coal is transported via train to the Port of Newcastle where it is shipped overseas to be used in the production of electricity and steel.

1.1.5 Approval history

Approval for PA09_0176 was issued on 11 February 2011 for Ravensworth Operations. PA09_0176 has been modified on three (3) occasions, as summarised below:

- Modification 1 – Narama West Modification (approved 16 August 2013).
- Modification 2 – Final Landform Modification (approved 19 December 2014).
- Modification 3 – Greater Ravensworth Water and Tailings Strategy (approved 23 March 2016).

Approval for DA 104/96 was issued on 20 November 1999 for Ravensworth Underground Mine. DA 104/96 has been modified on nine (9) occasions, as summarised below:

- Modification 1 – Modification to Road Haulage Conditions (approved 6 January 1998).
- Modification 2 – Reject Emplacement and Water Management Systems (approved 5 March 2001).
- Modification 3 – Installation of Substation (approved 11 February 2007).
- Modification 4 – Solcenic Borehole and Storage Tanks (approved 11 February 2007).
- Modification 5 – Ventilation Shaft, Electricity Supply and Underground Workings (issued 4 July 2007).
- Modification 6 – Tailings Water Recovery Dam (approved 21 May 2008).
- Modification 7 – Mining Method, Water and Waste Management (approved 3 July 2009).
- Modification 8 – Extension to LWs 6 to 10, Additional Gas Management Infrastructure (approved 5 January 2011).
- Modification 9 – Liddell Seam Project (approved 20 June 2013).

1.1.6 Mining within the Audit Period

During the audit period the following mining activities occurred:

- **2018** – A total of 65,160 million bank cubic metres (Mbcm) of overburden was mined in Ravensworth North, Narama and Narama West to allow the extraction of 13.3 Mt of ROM coal. No mining was undertaken at RUM during the reporting period.
- **2019** – A total of 68,409 Mbcm of overburden was mined in Ravensworth North Pit to allow the extraction of 14.9 Mt of ROM coal. No mining was undertaken at Narama, Narama West pit and RUM during the reporting period.
- **2020** – A total of 61,779 Mbcm of overburden was mined in Ravensworth North Pit to allow the extraction of 13.3 Mt of ROM coal. No mining was undertaken at Narama, Narama West pit and RUM during the reporting period.

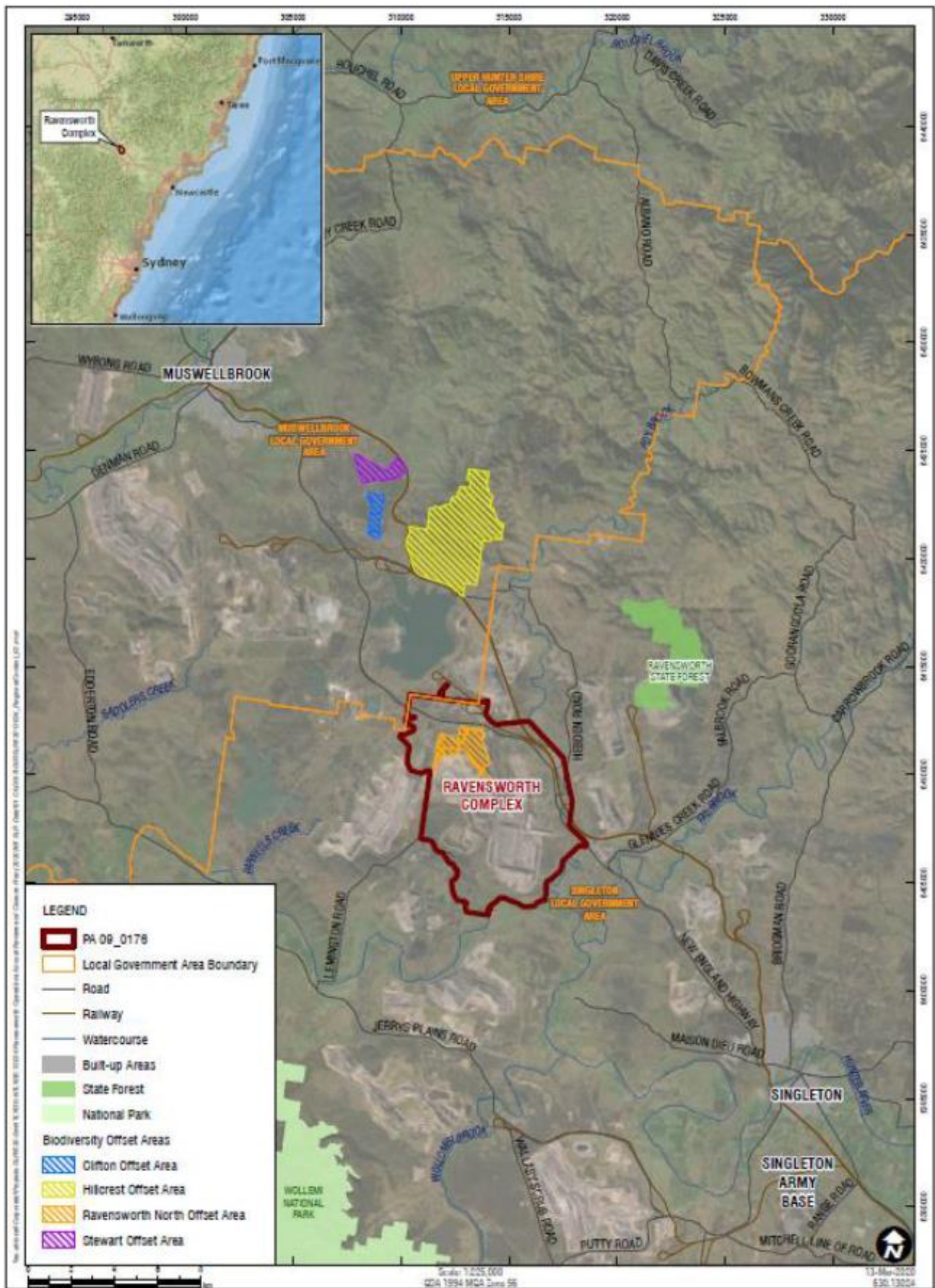


Figure 1 Ravensworth Complex Regional Context

(Source: Ravensworth Operation Annual Review 2020)

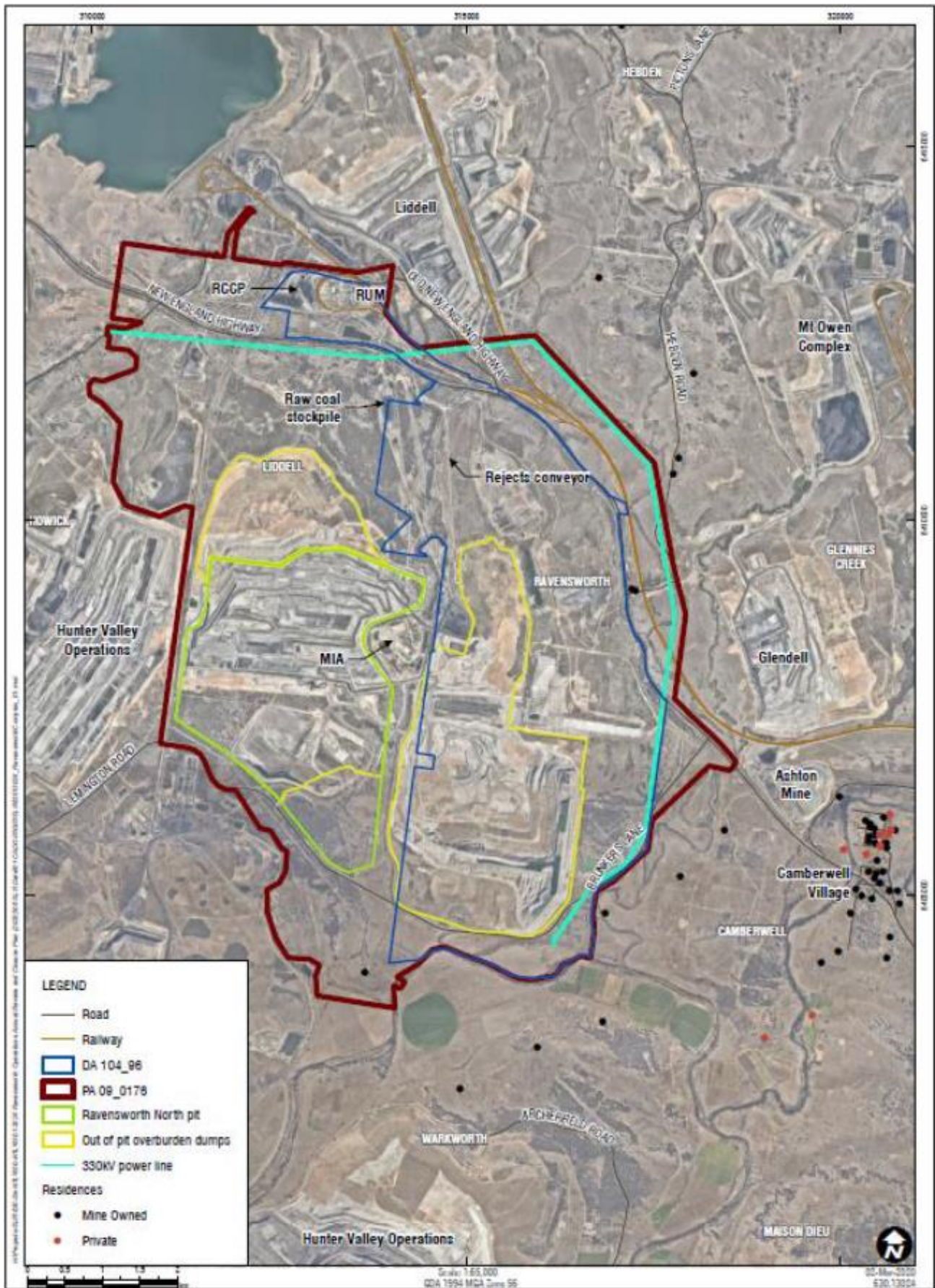


Figure 2 Ravensworth Complex Layout

(Source: Ravensworth Operation Annual Review 2020)

1.2 Approvals, Licences and Leases

The current approvals, licences and leases held for Ravensworth Complex that were reviewed as part of this IEA are summarised in **Table 2** below.

Table 2 Summary of Existing Major Approvals and Licences

Title	Agency	Expiry
PA 09_0176	Department of Planning, Industry and Environment	31 December 2039
DA 104/96	Department of Planning, Industry and Environment	31 July 2024
EPL 2652	NSW Environment Protection Authority (EPA)	Review required 23 October 2024
CCL723 (1973)	NSW Resources Regulator	31 January 2024
CCL739 (1973)	NSW Resources Regulator	10 March 2029
CL378 (1973)	NSW Resources Regulator	10 March 2027
CL380 (1973)	NSW Resources Regulator	23 September 2033
CL580 (1973)	NSW Resources Regulator	31 December 2023
ML1325 (1992)	NSW Resources Regulator	-
ML1348 (1992)	NSW Resources Regulator	-
ML1349 (1992)	NSW Resources Regulator	31 December 2023
ML1357 (1992)	NSW Resources Regulator	17 August 2036
ML1393 (1992)	NSW Resources Regulator	10 February 2027
ML1416 (1992)	NSW Resources Regulator	-
ML1477 (1992)	NSW Resources Regulator	30 November 2021
ML1485 (1992)	NSW Resources Regulator	10 October 2022
ML1495 (1992)	NSW Resources Regulator	2 October 2022
ML1502 (1992)	NSW Resources Regulator	3 January 2023
ML1506 (1992)	NSW Resources Regulator	-
ML1576 (1992)	NSW Resources Regulator	24 February 2027
ML1580 (1992)	NSW Resources Regulator	30 December 2023
ML1581 (1992)	NSW Resources Regulator	22 May 2027
ML1591 (1992)	NSW Resources Regulator	8 March 2028
ML1595 (1992)	NSW Resources Regulator	4 May 2028
ML1625 (1992)	NSW Resources Regulator	7 November 2029
ML1667 (1992)	NSW Resources Regulator	31 December 2023
ML1668 (1992)	NSW Resources Regulator	31 December 2023
ML1669 (1992)	NSW Resources Regulator	8 February 2033
ML1683 (1992)	NSW Resources Regulator	7 February 2034

1.3 Audit Team

The RPS 2021 IEA team, inclusive of the required technical specialists, included personnel outlined in **Table 3** below. The audit team, inclusive of specialists, was approved by the Department to conduct the audit. Refer to the letter from the Department provided in **Appendix A**.

Table 3 2021 IEA Audit Team

Personnel	Audit Team Role
Ian Richardson	Lead Auditor – RPS Group
Sam Mitchell	Auditors Assistant – RPS Group
Clayton Richards	Rehabilitation Specialist – Minesoils
John Wassermann / Nic Hall	Noise and Air Quality Specialist – RWDI

1.4 Audit Scope

The requirements for the IEA under PA 09_0176 and DA 104/96 are detailed in **Table 4** and

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Table 5 below.

Table 4 PA 09_0176 IEA Requirements

Project Approval Conditions	Requirement	IEA Report Section
Schedule 5, Condition 8	By the end of June 2012, and every 3 years thereafter, unless the Secretary directs otherwise, the Proponent shall commission and pay the full cost of an Independent Environmental Audit of the project. This audit must:	IEA Report (this report)
Schedule 5, Condition 8(a)	be conducted by a suitably qualified, experienced and independent team of experts whose appointment has been endorsed by the Secretary;	Section 2.5 and Appendix A
Schedule 5, Condition 8(b)	include consultation with the relevant agencies;	Section 2.7 and Appendix C
Schedule 5, Condition 8(c)	assess the environmental performance of the project and whether it is complying with the relevant requirements in this approval and any relevant EPL or Mining Lease (including any assessment, plan or program required under these approvals);	Section 4
Schedule 5, Condition 8(d)	review the adequacy of any approved strategies, plans or programs required under these approvals; and, if appropriate	Section 3
Schedule 5, Condition 8(e)	recommend measures or actions to improve the environmental performance of the project, and/or any strategy, plan or program required under these approvals.	Section 6
Schedule 5, Condition 9	Within 6 weeks of the completion of this audit, or as otherwise agreed by the Secretary, the Proponent shall submit a copy of the audit report to the Secretary, together with its response to any recommendations contained in the audit report.	Ravensworth Complex is required to submit this report along with responses to recommendations made in this report to the Department.

Table 5 DA 104/96 IEA Requirements

Project Approval Conditions	Requirement	IEA Report Section
Schedule 4, Condition 7	By the end of June 2015, and every 3 years thereafter, unless the Director-General directs otherwise, the Applicant shall commission and pay the full cost of an Independent Environmental Audit of the development. This audit must:	IEA Report (this report)
Schedule 4, Condition 7(a)	be conducted by a suitably qualified, experienced and independent team of experts whose appointment has been endorsed by the Director-General;	Section 2.5 and Appendix A
Schedule 4, Condition 7(b)	include consultation with the relevant agencies;	Section 2.7 and Appendix C
Schedule 4, Condition 7(c)	assess the environmental performance of the development and assess whether it is complying with the requirements in this consent and any relevant EPL or Mining Lease (including any assessment, plan or program required under these approvals);	Section 4
Schedule 4, Condition 7(d)	review the adequacy of strategies, plans or programs required under the abovementioned approvals; and, if appropriate	Section 3
Schedule 4, Condition 7(e)	recommend measures or actions to improve the environmental performance of the development, and/or any strategy, plan or program required under these approvals.	Section 6
Schedule 4, Condition 8	Within 6 weeks of the completion of this audit, or as otherwise agreed by the Director-General, the Applicant shall submit a copy of the audit report to the Director-General, together with its response to any recommendations contained in the audit report.	Ravensworth Complex is required to submit this report along with responses to recommendations made in this report to the Department.

1.5 Audit Period

The last IEA carried out at the site under PA 09_0176 and DA 104/96 was conducted for the period of 31 March 2015 to 2 May 2018. The audit period to which this audit applies is inclusive of the period from 3 May 2018 to 17 June 2021 (date of last day of audit site inspection). This report presents the findings of the audit.

2 AUDIT METHODOLOGY

RPS undertook the IEA in accordance with the following methodology:

- Task 1: Audit preparation
- Task 2: Site visit and interviews
- Task 3: Preparation of a draft IEA report for review by Ravensworth
- Task 4: Finalisation of the IEA report.

2.1 Task 1 Audit Preparation

2.1.1 Pre-Audit Meeting and Documentation Requests

RPS undertook initial discussions with Ravensworth Complex to organise the audit, including the provision of documentation through requests for information (RFI) and provided an Audit Agenda for the site visit and timing.

Review of documentation provided by Ravensworth Complex and their representatives and preparation of compliance assessment checklists that included a list of conditions of key regulatory approvals to be assessed for compliance.

2.1.2 Approval and Regulator Consultation

Following DPIE approval of the RPS Audit Team, RPS consulted via email with relevant regulators with respect to the audit scope in accordance with the DPIE *Independent Audit Post Approval Requirements, 2020*.

Relevant comments and requests from these regulators were included in the Audit Report and investigated as part of the audit as required.

2.2 Task 2 Site Inspection and Interviews

The Audit Team conducted the audit site visit over a two (2) day period on 16 and 17 June 2021, comprising of:

- Document reviews.
- Interviews with relevant personnel.
- Site inspection.

Opening and closing meetings were held to ensure open communication with Ravensworth Complex and provide preliminary Audit findings. The audit was conducted as per the Audit Agenda, which was prepared and sent to Ravensworth Complex on 14 May 2021, prior to the site visit.

2.2.1 Opening Meeting

An opening meeting was held upon commencement of the audit at the site. The purpose of this meeting was to confirm the objectives of the audit, the scope of the audit, the resources required and methodology to be applied.

2.2.2 Site Inspection and Interviews

The Lead Auditor, Auditors Assistant, and rehabilitation specialist undertook a site inspection, which involved physical validations and collection of a photographic record. The auditor's observations used to supplement information gathered during the review of documents and records. It is noted that due to potential COVID - 19 restrictions, and in order to minimise personnel on site, the specialist audit of air quality and noise, consisted of a desktop review of documentation, management plans, monitoring results and other evidence

as available. Site observations were made by the lead auditor and audit assistant during the site inspection in regard to air quality.

During the site inspection, interviews were conducted to verify compliance with the Project Approval, Development Consent, and associated documents.

2.2.3 Close-out Meeting

At the completion of the audit site visit, a brief close-out meeting was held with relevant Ravensworth Complex personnel. The purpose of the close-out meeting was to provide and receive feedback on the audit process and present the summary of preliminary findings, recommendations, and any post-audit actions. It should be noted that additional findings based on a detailed document reviews as part of the audit process were required following the completion of the site inspection. As such, the summary of preliminary findings detailed in the closeout meeting did not cover all findings associated with the audit.

2.3 Task 3 Draft IEA Report

During the site visit, and as required following the site visit, the audit team conducted a review of the key documentation provided. Each requirement within the audit compliance tables were reviewed and evidence gathered to support an assessment of compliance. Whilst personal communication does provide valuable input into this process it was not be relied upon as verification of compliance.

An assessment of environmental performance was undertaken and reported in the audit report where issues were identified. A review of the Environmental Management Strategy and Environmental Monitoring Program were undertaken, and a summary provided in the audit report.

A single consolidated report was prepared (this report), with separate audit tables appended to address each of the approval instruments.

2.4 Task 4 Finalise IEA Report

Following receipt of consolidated comments from Ravensworth Complex, RPS updated and finalised the IEA Report and reissued for Ravensworth Complex to submit to the Department via the Major Project website.

2.5 Audit Team Approval

The Department reviewed the nominations and information provided in accordance with the requirements of the consents and the Department's Post-approval requirements for State Significant Developments Independent Audit Guideline, October 2015 (IEA Guideline) and was satisfied that the RPS audit team was suitably qualified and experienced.

The audit team was approved by the Department on 30 March 2021. A copy of the approval letter is located in **Appendix A**.

The Department noted that as per Schedule 5 condition 9 of AP 09_0176 and Schedule 5 condition 8 of DA 104/96, within six weeks of completing this audit (i.e., from the date of the first day of the site inspection), or as otherwise agreed with the Secretary, the IEA report and the response to audit recommendations (RAR) are to be submitted to the Department via the Major Project website.

2.6 Scope Development

The IEA was undertaken in general accordance with:

- The Department's Post-approval requirements for State Significant Developments Independent Audit Guideline, May 2020 (Independent Audit Guideline, 2020).
- AS/NZS ISO 19011:2014 Guidelines for auditing management systems.
- RPS's proposal (dated 9 March 2021).

The Project Approval does not require Ravensworth Complex to follow the 2020 Independent Audit Post Approval Requirements (PAR). Projects approved prior to the release of the Independent Audit PAR (December 2018) that have existing conditions requiring independent auditing will not have to undertake independent audits in line with either the revised Independent Audit Post-Approval Requirements (PAR) (2018 or 2020 versions).

This IEA elected to voluntarily comply with the revised Independent Audit Guideline, 2020.

2.7 Consultation

Schedule 5, Condition 8(b) of PA 09_0176 and Schedule 4, Condition 7(b) of DA 104/96 requires the IEA to include consultation with relevant agencies. A summary is provided in **Table 6** of the regulatory agencies which were sent requests for comment on 14 May 2021 as well as the status of any responses received.

Table 6 Regulator Response Summary

Regulatory Agency	Response Received	Date Received
Department of Planning, Industry and Environment	Yes	1 June 2021
NSW Environmental Protection Agency	Yes	1 June 2021
Subsidence Advisory NSW	Yes	31 May 2021
Natural Resources Access Regulator	No	N/A
Singleton Council	Yes	15 June 2021
Community Consultative Committee	No	N/A
NSW Resource Regulator	Yes	14 May 2021

A summary of comments received from the regulatory agencies as well as responses to regulator consultation is provided in **Appendix C**.

2.8 Site Inspection

A two (2) day site inspection was conducted at Ravensworth Complex on 16 and 17 June 2021. During the site inspection the weather conditions were generally fine, partially cloudy with the daytime temperature ranging from approx. 6°C in the morning to 18°C in the afternoons. Rain events occurred prior to the site inspection on 16 June, with a rainfall event occurring overnight prior to the second day of the site inspection. Windy conditions were noted on 17 June 2021 during the site inspection.

Photographs from the audit site inspection supporting audit findings are provided in **Appendix D**.

2.8.1 Opening and Closing Meetings

In accordance with ISO 19011:2014 Guidelines for auditing management systems an opening and closing meeting was held during the Site inspection. Details of attendees at both meetings are included in the sign on sheets included in **Appendix F**.

2.9 Compliance Status

The compliance status was determined using the relevant descriptors in accordance with the Independent Audit Post Approval Requirements (the Department, May 2020) provided in **Table 7** below.

Table 7 Compliance Status Descriptors

Status	Description
Compliant	The auditor has collected sufficient verifiable evidence to demonstrate that all elements of the requirement have been complied with within the scope of the audit.
Non-compliant	The auditor has determined that one or more specific elements of the conditions or requirements have not been complied with within the scope of the audit.
Not triggered	A requirement has an activation or timing trigger that has not been met during the temporal scope of the audit being undertaken (may be a retrospective or future requirement), therefore an assessment of compliance is not relevant.

Previous audit descriptors of partial compliance, partial non-compliance, not verified or administrative non-compliance or other similar terms must not be used in accordance with the above requirements.

As part of the Audit evaluation, the auditor may make observations, including identifying any opportunities for improvement in relation to any compliance requirement or any other aspect of the project. Any observations or notes are in addition to the compliance status descriptor assigned to each compliance requirement, limited to the descriptors listed in **Table 7**.

2.10 Evidence Validation

The audit team 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 in electronic and/or hard copy 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 majority of information was assessed off-site prior to the site inspection. 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 two (2) days.

2.11 Technical Specialists Input

The Department requested on 13 January 2021 that the IEA team include technical specialists in the following fields:

- Rehabilitation – including subsidence management, landform establishment, and revegetation.
- Air Quality
- Noise.

The technical specialists provided technical advice to the IEA Lead Auditor during the audit site inspection and reporting periods. Specific findings from the technical specialists have been incorporated into the Audit Checklists and recommendations where applicable.

3 ENVIRONMENTAL MANAGEMENT

A detailed implementation review was conducted against each management plan condition in PA 09_0176 and DA 104/96 and can be found in the Project Approval audit checklist in **Appendix B**. The approved strategies, plans or programs required under PA 09_0176 and DA 104/96 including a brief summary of the implementation review conducted against each plan are summarised **Table 8**. This section satisfies the IEA requirement to review the adequacy of any approved strategies, plans or programs required under Schedule 5, Condition 8(d) of PA 09_0176 and Schedule 4, Condition 7(d) of DA 104/96.

Table 8 Management Plan Adequacy Review

Document	Findings from Review
Ravensworth Complex Environmental Management Strategy (EMS)	EMS (RAVCX-307024981-6393) Effective: 10/09/2018 to 10/09/2021 Approved by Howard Reed Director of Resource Assessment as nominee of the Secretary on 10 September 2018. In general, the EMS was sufficient in addressing the requirements of PA 09_0176 Schedule 5, Condition 1.
Pollution Incident Response Management Plan (PIRMP)	PIRMP (RAVOC-1007099517-67) Effective: 1/03/2021 to 1/03/2022 The PIRMP was observed to be sufficient in meeting the requirements of the Protection of the Environment Operations (POEO) Act 1979 and was reviewed annually or as a result of any reportable environmental incident to the EPA or DOPI.
Ravensworth Complex Noise Management Plan (NMP)	NMP (RAV SD PLN 0062) Effective: 10/09/2018 to 10/09/2021 Approved by Howard Reed Director of Resource Assessment as nominee of the Secretary on 10 September 2018. The NSW EPA was forwarded the NMP for reference, however, they declined to review. In general, the NMP was sufficient in addressing the requirements of PA 09_0176 Schedule 3 Condition 9.
Ravensworth Complex Blast Management Plan (BMP)	BMP (RAVCX-307024981-4092) Effective: 7/05/2020 to 7/04/2023 Approved by Mathew Sprott Director of Resource Assessment as nominee of the Secretary on 5 February 2020. In general, the BMP was sufficient in addressing the requirements of PA 09_0176 Schedule 3 Condition 17.
Ravensworth Complex Air Quality and Greenhouse Gas Management Plan (AQGGMP)	AQGGMP (RAV SD PLN 0067) Effective: 10/09/2018 to 10/09/2021 Approved by Howard Reed Director of Resource Assessment as nominee of the Secretary on 10 September 2018. The NSW EPA was forwarded the NMP for reference, however, they declined to review. In general, the AQGGMP was sufficient in addressing the requirements of PA 09_0176 Schedule 3 Condition 24. It is recommended that Appendix A of the AQ and GHG Management Plan is updated to make cross referencing of the requirements possible. The AQ and GHG Management Plan should be revised to include the correct location of the meteorological station.
Ravensworth Complex Water Management Plan (WMP)	WMP (RAVCX-307024981-4592) Effective: 30/03/2020 to 30/03/2023 Approved by Mathew Sprott Director of Resource Assessment as nominee of the Secretary on 30 March 2020. In general, the WMP was sufficient in addressing the requirements of PA 09_0176 Schedule 3 Condition 31. It is recommended that the WMP cover page be updated with the status of the plan as "Approved" with the document effective date and review date also included.
Ravensworth Complex Biodiversity Offset Management Plan (BOMP)	BOMP (RAVOC-1007099517-20) Effective: 10/09/2018 to 10/09/2021

Document	Findings from Review
	<p>Approved by Howard Reed Director of Resource Assessment as nominee of the Secretary on 10 September 2018.</p> <p>In general, the BOMP was sufficient in addressing the requirements of PA 09_0176 Schedule 5, Condition 38.</p>
Offset Area Management Plan (OAMP)	<p>OAMP (RAVOC-1007099517-20)</p> <p>Effective: 1/08/2019 to 1/08/2022</p> <p>This OAMP details how the commitments made in the EA, BMP and OMP documents will be carried out on the ground and monitoring conducted.</p> <p>In general, the OAMP was sufficient in addressing the requirements of sections of PA 09_0176 Schedule 3 Condition 32, 33, 35, and 38.</p>
Ravensworth Complex Mining Operation Plan (MOP/RMP)	<p>MOP/RMP (RAVCX-1962359660-15)</p> <p>Effective: 1 January 2021 – 31 December 2023</p> <p>The MOP/RMP was approved by Peter Ainsworth, Mining Act Inspectorate Resource Regulator on 4 November 2020.</p> <p>In general, the MOP/RMP was sufficient in addressing the requirements of PA 09_0176 Schedule 3 Condition 41.</p> <p>It is recommended that the MOP cover page be updated with the status of the plan as "Approved" and the latest Resource Regulator approval letter included as an appendix. It is also recommended that evidence of consultation with the Department, OEH, EPA, DPI – Water, Council and the CCC in preparation of the MOP/RMP is appended to the MOP.</p>
Ravensworth Complex Heritage Management Plan (HMP)	<p>HMP (RAV SD PLN 0030)</p> <p>Effective: 10/09/2018 to 10/09/2021</p> <p>Approved by Howard Reed Director of Resource Assessment as nominee of the Secretary on 10 September 2018.</p> <p>In general, the HMP combined with the ACHMP was sufficient in addressing the requirements of PA 09_0176 Schedule 5, Condition 42.</p>
Aboriginal Cultural Heritage Management Plan (ACHMP)	<p>ACHMP (RAVCX-1962359669-1510)</p> <p>Effective: 19/02/2021 to 19/02/2024</p> <p>Approved by Matthew Sprott Director of Resource Assessment as nominee of the Secretary on 19 February 2021.</p> <p>In general, the ACHMP combined with the HMP was sufficient in addressing the requirements of PA 09_0176 Schedule 5, Condition 42.</p> <p>The Aboriginal and Cultural Management Plan has minor cross reference errors throughout the document that should be amended.</p>
RUM Mining Operations Plan (RUM MOP) – Care and Maintenance	<p>RUM MOP (RAVUG-27619932-35)</p> <p>Effective: 1 January 2021 – 31 December 2022</p> <p>The RUM MOP has been prepared to cover the continued period of Care and Maintenance for RUM, and describes the:</p> <ul style="list-style-type: none"> • Details of the Pre – Feasibility Closure Assessment for RUM; • Mine Closure preparation activities; and • Scope of the Care and Maintenance activities to be undertaken between 1 January 2021 – 31 December 2022. <p>The RUM MOP was approved by Peter Ainsworth, Mining Act Inspectorate Resource Regulator on 15 December 2020.</p> <p>In general, the RUM MOP was sufficient in addressing the requirements of DA 104/96.</p>

4 ENVIRONMENTAL PERFORMANCE

This section assesses the requirement of Schedule 5, Condition 8(c) of PA 09_0176 and Schedule 4, Condition 7(c) of DA 104/96 to assess the environmental performance of the project and whether it is complying with the relevant requirements in this approval and any relevant EPL or Mining Lease (including any assessment, plan or program required under these approvals). RPS based the assessment of the environmental performance of the site on the following:

- Section 3 provides an assessment of the effectiveness and adequacy of the environmental management plans and programs required under the PA 09_0176 and DA 104/96.
- An assessment of compliance with the conditions of PA 09_0176 and DA 104/96, EPL 2652 and authorised leases. The findings of this assessment are provided in the compliance checklists presented in **Appendix B** with the identified non-compliances and associated recommendations summarised in the Audit Findings in Section 6.
- Section 4.1 provides a review of compliance management practices in place at Ravensworth Complex.
- Section 4.2 provides a review of incidents reported during the audit period
- Section 4.3 provides a review of complaints received during the audit period
- Section 4.4 addresses community consultation during the audit period
- Section 4.5 addresses the performance of key environmental aspects during the audit period.

4.1 Compliance Management

4.1.1 Compliance Monitoring

Glencore Coal Assets Australia (GCAA) utilise CMO Compliance Management Software (CMO) as a management tool across all of its sites. The CMO Compliance Management database system is used to store and track compliance with development consents, leases, licences, and other approvals and their associated conditions. CMO is updated regularly as triggered by actions or the addition of new or modified approvals. CMO is also utilised to assign and complete inspections and to track complaints, actions arising from internal or external consultation practices or actions following an audit.

During the audit site inspection, Ravensworth Complex demonstrated its use of CMO to the auditors. The CMO database included the requirements of the Project Approval, Development Consent, EPL, Mining Leases, Sewage Treatment Plant approvals and the key commitments / requirements for each management plan. The Ravensworth Complex Environment and Community (E&C) department used CMO to access evidence to demonstrate compliance with specific conditions of consent.

4.1.2 Internal Assurance

GCAA implements an internal audit program which is conducted in accordance with the Glencore corporate procedure for internal and external auditing. The audit program involves internal compliance audits conducted every three years prior to an IEA. The internal compliance audit assesses compliance against the site's Project Approval conditions and associated approval conditions which have been entered into CMO. Ravensworth Complex is required to enter evidence into CMO against each relevant condition to assist with the compliance review process.

4.1.3 Monthly Inspections

The Ravensworth Complex E&C department conducts monthly environmental inspections of the site. The monthly inspections are conducted to:

- Identify any potential non-conformances or environmental incidents that have not been previously identified/reported;
- Maintain a visual presence around the site to promote environmental awareness to mine personnel and contractors; and

- Maintain site familiarity by ensuring E&C personnel are aware of any physical changes to operations or processes at the site.

The monthly environmental inspections include a description of general environmental conditions as well as checks of specific areas. The inspections include identified actions, an action category, due date and status and include photos and attachments where relevant. Depending on the category of the action, it may be entered into CMO and tracked.

The auditors sighted examples of completed inspections conducted by the Ravensworth Complex E&C department. Inspections were observed to be undertaken monthly. The reports were considered to be sufficiently detailed and well completed with appropriate actions identified for issues raised.

In addition to the monthly environmental inspections, the auditors sighted evidence that Ravensworth Complex was undertaking weekly subsidence inspections and pre and post rainfall inspections.

4.2 Incidents

Environmental incidents are recorded in CMO, the compliance management tool used by GCAA (discussed further in Section 6.1.1) and determines the appropriate corrective or preventative action using the Incident Cause Analysis Method (ICAM) where required.

An incident is defined by the project approval PA 09_0176 and DA 104/96 as a set of circumstances that causes or threatens to cause material harm to the environment, and/or breaches or exceeds the limits or performance measures/criteria in this approval.

The auditors reviewed the site's incident database, external consultant's investigation reports as well as results presented in the Annual Reviews during the audit period. Eighty-eight (88) reportable incidents occurred during the audit period which required reporting under Schedule 5, Condition 6 of PA 09_0176 and Schedule 5, Condition 6 of DA 104/96. Of note, eighty-five (85) of these reportable incidents were related to air quality exceedances as described below.

Table 9 Environmental Incidents during the Audit Period

Year	Condition	Details of Incident	Comments
2018	PA 09_0176 S3 C20	32 exceedances of the PM ₁₀ short term criteria.	Incident reports were provided to the DPIE on each occasion. 9 of these 32 exceedances were on days declared as extraordinary events by DPIE.
2019	PA 09_0176 S3 C20	31 exceedances of the PM ₁₀ short term criteria.	Incident reports were provided to the DPIE on each occasion. It was noted that some exceedances were on days declared as extraordinary events by the DPIE.
2020	PA 09_0176 S3 C20	22 exceedances of the PM ₁₀ short term criteria.	Incident reports were provided to the DPIE on each occasion. 18 of these 22 exceedances were on days declared as extraordinary events by DPIE.
	PA 09_0176 S3 C51(c)	Sewage treatment plant quality sample results for August 2020 were outside of the acceptable limits imposed by Singleton Council.	A CHPP shutdown prior to monitoring resulted in increased short-term usage. There was also a possible pump failure/incorrect float switch level causing system to be flooded.
	PA 09_0176 S3 C32	Discrepancies in the overall size of the Ravensworth Biodiversity Offset Areas following detailed ground surveys. The surveys identified that three (3) of the four (4) Biodiversity Offset Areas are smaller than the minimum areas required. These include Hillcrest, Clifton, and Stewart.	Ravensworth has notified the DPIE of the discrepancy and is seeking further advice on resolving the issue.
2021	PA 09_0176 S3 C20	One (1) exceedance of the PM ₁₀ short term criteria.	None.

S = Schedule C = Condition

4.3 Complaints

Ravensworth Complex has established a Community and Stakeholder Engagement Plan (RAVOC-1007099517-67) which aligns with the GCAA complaint response protocol, to respond to community complaints. Ravensworth Complex operates a free Environment and Community Enquiry Hotline which operates 24 hours per day, 7 days per week. The number is 1800 620 553. In addition to this hotline, potentially impacted stakeholders also have the contact details of the Ravensworth Complex Environment and Community Manager.

A total of eight (8) complaints were received during the audit period.

4.3.1 10 May 2018

The Environment and Community Manager received a phone call from a resident at Glennies Creek on the 10 May 2018. The resident complained of dust from a blast.

The Environment and Community Manager confirmed that Ravensworth did blast at this time and that the blast was managed to minimise any external impacts.

One blast had been fired at Ravensworth at 9:20am. The wind direction at the time was from the North West (280 degrees) at a speed of 2.3m/s. Ravensworth immediately investigated the complaint and recorded the complaint. The complainant did not request information regarding the outcome of the investigation.

4.3.2 17 July 2018

An anonymous complainant contacted the Ravensworth environment and community hotline to inform the site that employees were not giving way when turning onto Lemington Road and were not stopping at the Lemington Road – New England Highway intersection.

All employees were notified of the complaint and reminded of NSW road rule requirements throughout pre-start communications.

4.3.3 12 September 2018

The DPE received a complaint from a resident at Camberwell Village regarding dust from a blast in the Ravensworth direction at approximately 1:23pm on the 12 September 2018. The DPE requested preparation of a report outlining the planning, execution and monitoring of the blast as it related to the requirements of the Ravensworth Blast Management Plan and conditions of approval.

Immediate actions included reviewing trends in real time PM10 data at the sites downstream monitoring location as well as PM10 levels at the EPA's Camberwell Upper Hunter Air Quality Monitoring Network.

A report was provided to the DPE.

4.3.4 8 May 2019

An anonymous complaint was received via email to the DPIE on the 8 May 2019. The complaint was received from the Camberwell area regarding a loud blast from a nearby coal mine at approximately 9.08am.

The Environment and Community Manager confirmed that Ravensworth did blast that day at 9.11am. Real time data was checked and reported a blast overpressure of 105.3 dB and vibration of 0.08 m/s. This is below compliance levels.

The wind direction at the time was from the North West (267 degrees) at a speed of 0.7m/s. Ravensworth immediately investigated the complaint and recorded the complaint. The complainant did not request information regarding the outcome of the investigation.

4.3.5 28 August 2019

The Environment and Community Manager received an email from the NSW EPA regarding an anonymous complaint received via phone from a resident at Camberwell Village. The complaint was in regard to dust from a blast in the Ravensworth direction at approximately 1:10pm on the 28 August 2019.

The EPA requested results of dust monitoring, confirmation of wind direction and the predicted and actual blast trajectory as well as any other information to demonstrate the blast did not impact Camberwell.

Immediate actions undertaken included review of real time data, confirmed blast was within meteorological restrictions, review of dust levels at Camberwell, camera footage and dust plume modelling.

A response to the complaint was provided to the EPA on the 11 September 2019 followed by a written response to the EPA on the 12 September 2019.

4.3.6 12 August 2020

The Environment and Community Manager was contacted directly by a local resident at 4.26pm on 12 August 2020 to complain about a blast that shook the house and windows. The complainant resides near the Camberwell Village on the New England Highway.

The Environment and Community Manager confirmed that Ravensworth did blast that day at 4.19 pm. A blast overpressure of 109.9 dB and vibration of 0.03 m/s were recorded at the nearest monitor at Camberwell Village, which are within compliance levels.

The wind direction at the time was from the south south-east (156 degrees) at a speed of 2.9m/s. Ravensworth immediately investigated the complaint and recorded the complaint. A follow up call was made to the complainant on 13 August 2020, and a face-to-face meeting was organised to discuss the complaint on 17 August 2020.

4.3.7 30 November 2020

The Environment and Community Manager was emailed by a local resident at 1.28 pm on 30 November 2020 to ask if a blast had taken place at Ravensworth at 1.19 pm. The complainant resides near the Camberwell Village on the New England Highway.

The complainant was called on 30 November 2020 to confirm that Ravensworth had blasted twice at 1.19pm and 1.20 pm and confirmed that both vibration and overpressure results recorded at Camberwell Village were within compliance limits.

The wind direction at the time was from the east south-east (107 degrees) at a speed of 7.2m/s. Ravensworth immediately investigated the complaint and recorded the complaint.

The blast at 1.19pm recorded an overpressure of 98.0 dB and vibration of 0.38 m/s, and the blast at 1.20pm recorded an overpressure of overpressure of 102.9 dB and vibration of 0.05 m/s.

4.3.8 25 February 2021

At 13:24 on 25 February 2021, a complaint was made to Hunter Valley Operations (HVO) from a resident in Maison Dieu in regards to "noise and movement" from a blast. HVO contacted nearby sites to identify who had blasted at this time as HVO had not blasted. Ravensworth confirmed to HVO that a blast was initiated at 13:20. The Ravensworth Environment and Community Coordinator contacted the Complainant via phone to discuss the blast. A review of compliance was undertaken with the monitor closest to the resident (Bowman Monitor) recording 111.3 dB overpressure and 0.08 mm/s vibration. All other Ravensworth monitors were within compliance levels.

4.4 Community Consultation

Ravensworth Complex has a range of communication methods in place which enables it to share information with the local community. These methods include:

- The Community Consultative Committee (CCC).
- Direct engagement with nearby landholders.
- The Ravensworth Complex Public Website (<https://www.glencore.com.au/operations-and-projects/coal/current-operations/ravensworth-operations>).
- Distribution of Community Newsletters.

Ravensworth Complex utilise the established Community Consultative Committee (CCC) which meets quarterly to satisfy the requirements of Schedule 5, Condition 5 of PA 09_0176 and Schedule 4, Condition 4 of DA 104/96.

4.5 Performance the Key Environmental Aspects

The performance of key environmental aspects were considered when reviewing documentation and during the audit site inspections. The environmental performance is addressed against the specific conditions of PA 09_0176 and DA 104/96 as documented in the audit checklists in Appendix B, and a summary for the key aspects is provided below.

4.5.1 Subsidence

RUM was placed in Care and Maintenance in October 2014 with no mining occurring since then or during the audit period. Following closure surveyors onsite completed subsidence monitoring monthly over the old workings until the area stabilised (+/-5mm). Once stabilisation occurred monitoring was reduced to a visual inspection on a quarterly basis.

No subsidence impacts have been recorded during the audit period.

4.5.2 Air quality

Air quality performance was considered during the audit against the specific conditions under PA 09_0176 and DA 104/96.

There were no complaints during the auditing period that were attributed to odour.

With respect to the management of airborne particulate concentrations, Ravensworth operates in accordance with the approved *Air Quality and Greenhouse Gas Management Plan (AQGGMP)*, which outlines air quality management and monitoring requirements associated with mining operations. During the audit, site observations, interviews with dispatch operators and other personnel on site indicated that there was awareness of these control measures, and general compliance with the AQGGMP.

The Ravensworth Complex air quality monitoring network consists of the following:

- Two (2) Tapered Element Oscillating Microbalance (TEOM) units, located to the south east of Narama on private property (TEOM SX45 D1) and to the north-west on Ravensworth owned land (TEOM SX45 D2).
- Eight (8) depositional dust gauges (depositional dust), four of which are required for compliance and four for internal management purposes.
- Four (4) High Volume Air Samplers (HVAS) (TSP and PM₁₀), three of which are used for compliance and one for internal management purposes.

During the audit period, the long-term criteria for particulate matter (TSP (annual) - 90 µg/m³) and (PM₁₀ (annual) - 30 µg/m³) were compliant with consent conditions and licence requirements. The long-term criteria for dust deposition were also complied with through this period.

The short-term criterion for particulate matter (PM₁₀ 24-hour criterion of 50 µg/m³) was exceeded on numerous occasions throughout the audit period, with the majority of these exceedances related to extraordinary events (as declared by DPIE). A summary of the PM₁₀ dust exceedances are outlined below:

- One (1) exceedance of the PM₁₀ short term criteria occurred in 2021
- Twenty-two (22) exceedances of the PM₁₀ short term criteria occurred in 2020
- Thirty-one (31) exceedances of the PM₁₀ short term criteria occurred in 2019
- Thirty-two (32) exceedances of the PM₁₀ short term criteria occurred in 2018.

These exceedances typically represent regional conditions over the audit period, consisting of extended drought or bushfire conditions during this time. Ravensworth operates a real time monitoring network including the use of cameras and meteorological stations across the site to enable dispatch to identify adverse weather conditions or dust generating activities and implement appropriate response with OCE and operators. Review of these practices on site indicated good awareness of these responses and management by dispatch and other relevant personnel on site.

The AQGGMP (Compliance Assessment Protocol and Incidence Reporting) states the process to inform relevant government authorities and affected landowners. Letters documenting the exceedances and informing the relevant government authorities and landowners were viewed as part of this audit.

Two (2) complaints with respect to dust from blasting were received on 12 September 2018 and 28 August 2019 (anonymous) from Camberwell area. Responses were responded to as requested by DPIE, EPA and the AQGGMP.

An audit recommendation was made (refer to PA 09_0176 Schedule 3, Condition 20) with respect to the required triennial review and update of the AQGGMP and consideration of controls with respect to dumping and pushing overburden in high dumps during adverse weather conditions and reviewing the effectiveness of the dust suppression system for the dump hopper. If such changes are made, it is important that these changes are communicated and incorporated into training for dispatch, plant operators and other relevant personnel.

4.5.3 Noise

Performance with respect to acoustic impacts was considered during the audit against the specific conditions under PA 09_0176 and DA 104/96.

Attended noise monitoring is completed monthly to verify compliance with the project approval noise criteria. Within the auditing period there have been no exceedances of the noise criteria at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.

In addition to conducting attended noise monitoring, Ravensworth continues to implement a number of mitigation strategies to minimise potential noise impact on nearby receivers, and to comply with the conditions of the Project Approval. The following key noise controls are adopted:

- Noise modelling is used to predict the areas likely to be adversely affected by noise impacts and to develop strategies to mitigate potential noise impacts at those properties likely to be adversely affected
- Real time noise monitors incorporating automatic alarms, which enable mine operators to take a proactive approach to minimising noise impacts by modifying operations when monitoring indicates potential impacts may occur
- Mining equipment is maintained to high standards in order to meet noise emission criteria
- Controlling mine noise at the source through the use of equipment that has appropriate sound attenuation fitted
- Limiting coal transport to a maximum average of 18 train movements per day
- Limiting trains to 0.8 km/h while loading. The rest of the track is under ARTC control and is signposted with speed limits.

There was one (1) complaint (8 May 2018) received during the audit period relating to noise. An anonymous complaint was received via email to the DPIE on the 8 May 2019. The complaint was received from the Camberwell area regarding a loud blast from a nearby coal mine at approximately 9.08am. The Environment

and Community Manager confirmed that Ravensworth did blast that day at 9.11am. Real time data was checked and reported a blast overpressure of 105.3 dB and vibration of 0.08 m/s. This is below compliance levels. The wind direction at the time was from the North West (267 degrees) at a speed of 0.7m/s. Ravensworth immediately investigated the complaint and recorded the complaint. The complainant did not request information regarding the outcome of the investigation.

Key personnel at the Ravensworth Complex use a forecasting tool (Jacobs Forecast) daily to help predict potential impacts to sensitive receptors. The Jacobs forecasting tool interprets daily weather patterns and provides predictions on whether local sensitive receptors will experience exceedances of the project approvals. The use of real-time monitoring and the forecasting system assists with the management of noise levels during periods of noise-enhancing meteorological conditions. The monitoring system is able to measure noise contributions from the ROC and cumulative noise levels from all local noise sources.

The ROC maintain channels of communication with nearby mines to enable coordinated response in the event of cumulative noise exceedances. ROC are implementing reasonable and feasible measures on site to ensure cumulative noise complies with relevant criteria.

4.5.4 Blasting

Blasting at Ravensworth is undertaken in accordance with the Ravensworth Complex Blast Management Plan, developed in accordance with Schedule 3, Condition 17 of PA 09_0176.

A range of measures are implemented at Ravensworth in order to manage and monitor the effect of blasting impacts, including:

- An inversion impact assessment is undertaken based on a full day predictive model for the Hunter Valley. The model is a tool utilised to predict blast overpressure, based on actual and forecast meteorological data. The model takes into account the potential for overpressure enhancement due to either temperature inversion or wind shear effects that could result in an overpressure exceedance at specific monitoring and community locations.
- A dust and fume plume assessment is undertaken using a predictive model. The model utilises forecast meteorological data to simulate the trajectory of potential dust and or fume from blasting, with this data potential impacts on sensitive receivers are assessed
- Pre-blast checks are completed prior to every blast by four key personnel onsite, which includes the Environmental Team. These checks include consideration of the assessments and predictive models above, and other factors including weather conditions.
- Real time monitoring of onsite weather conditions is conducted to minimise dust generated from blasting when wind conditions (speed and direction) could result in impacts at community locations.
- Monitoring after certain blast events using a drone with a NOx monitor attached also occurs. This monitoring enables Ravensworth Complex to monitor NOx directly over any plumes created from the blast.
- Notification of all blasts to neighbouring mines, the Council, and community members prior to any blasts.

During the audit period one blast exceeded the 115 dB limit however this was below allowance of 5% of events.

Two extraordinary vibration events occurred in 2019, consisting of the following:

- High vibration result recorded at the Ravensworth West monitor (closest monitor to conveyor) on 5 March 2019. The monitor which recorded the high vibration result was not representative of the conveyor location. The results were investigated by 3rd party, and a revised vibration result was produced; and
- High vibration result recorded at the Ravensworth West monitor (closest monitor to conveyor) on 13 March 2019.

These extraordinary events were considered not to be representative of the conveyor location, and consequently these were omitted from the vibration results for 2019. Subsequently Ravensworth installed portable monitors closer to the conveyor to produce more representative vibration results at the Ravensworth West monitor. Subsequently during the audit period there were no exceedances of blasting criteria and blast vibration, and overpressure were generally consistent with EA patterns

4.5.5 Water

The Ravensworth Complex Water Management Plan outlines the interactions of the water management system across the sites that form part of the Ravensworth Complex. This plan has been developed and approved by the DPIE in accordance with Schedule 3, Condition 31 of PA 09_0176.

4.5.5.1 Surface Water

The surface water monitoring program includes observation of the following elements of the Ravensworth Complex water management system and surrounding creeks:

- Surface water quality;
- On-site water management; and
- Discharge to the Hunter River via Bowmans Creek under the HRSTS.

The Ravensworth Complex maintains a network of surface water monitoring locations, including computer controlled mine water dams, sedimentation dams and local watercourses. As a minimum, each of these monitoring points is tested monthly for pH, Electrical Conductivity (EC), Total Dissolved Solids (TDS) and Total Suspended Solids (TSS). The watercourse locations are also monitored for flow. Water quality sampling is undertaken monthly in Bowmans Creek, Bayswater Creek and Emu Creek. Water quality monitoring is undertaken in Davis Creek and Pikes Creek every second month.

Impact assessment criteria (IAC) or 'trigger values', for pH, EC, TSS and TDS have been determined for specific receiving water monitoring locations as part of the Ravensworth Complex Water Management Plan. All surface water quality data collected as part of the monitoring program were assessed against the IAC in order to identify deviations from the baseline water quality conditions. There were exceedances of IAC values during the audit period, which were investigated in accordance with the Water Management Plan. The majority were related to samples being unable to be taken during extended dry periods or being taken from pooled water which are unrepresentative of typical water quality. No further mitigation measures were required.

During the audit period, the monitoring program indicated poor stream health conditions across both monitoring and control sites. In regard to stream stability, the streams have remained relatively stable over the audit period with any changes being related to seasonal increase/decrease of vegetation in the streams or the prolonged dry periods which occurred during this time. Despite seasonal and annual fluctuations in water availability, monitoring sites and control sites overall have remained in a relatively stable but poor condition. A decline in stream health conditions across control and monitoring sites was observed during 2018, a result of the extremely dry conditions preceding and during that sampling period. A continuation of this trend was observed in 2019, with the majority of sites dry in spring. Subsequent monitoring events through 2020 and 2021 concluded that all sites have remained relatively stable compared to previous results, despite the prolonged drought conditions up to 2020.

One (1) discharge occurred in March 2021 from the Narama In-Pit Storage Dam during the audit period as noted in the Annual Returns. Discharge limits (both volume and quality) were within the limits set under EPL_2652:

- Point 2 refers to the Discharge distilling basin, this point was sampled daily (grab sample) during discharge and sent for lab analysis, in field measurements also collected.
- pH and TSS were obtained via grab sampling under the EPL - all results were within compliance.

All discharges from 20/03/2021 to 23/03/2021 did not exceed the volume/ mass limit of 400 ML/day, specified for discharge Point 2.

4.5.5.2 Groundwater

The groundwater management strategies and practices employed by the Ravensworth Complex include:

- Groundwater quality monitoring program and network

- Groundwater level monitoring program and network
- Site water balance including water usage metering to determine groundwater interception volumes
- Established groundwater impact criteria and assessment of impacts on other users
- Documented Groundwater Impact Contingency Plans if other groundwater users are impacted by ROC activities.

4.5.5.2.1 Groundwater Quality

There were a number of parameters that exceeded the adopted IAC/trigger values in 2018. Concentrations of these parameters were however typically higher upstream of the Ravensworth Complex than downstream, and comparison with long term monitoring data indicates the trends in these parameters were consistent with the historical range in data. Groundwater quality results in 2019 for pH were generally within the impact assessment criteria (IAC) adopted across the site. This was with the exception of a result in the Lemington Seam (NPZ1 Tall) where three of the four results were marginally above (7.4) the adopted IAC pH range of 7.0 to 7.3. The four results in the Coffey Dam Borehole were below the adopted pH IAC range of 9.2 to 10.0. The mean pH was 8.0 which follows the downward trend in pH since 2014 result of pH 9.9. The majority of groundwater quality results for the remainder of the audit period were within historical ranges and the adopted IAC. Exceedances of IAC in 2020 were minor in nature and consistent with historical trends.

Monitoring results for all seams showed elevated EC levels consistent with the elevated levels of salinity within the Hunter Coal Measures.

Several bores were not monitored throughout 2018 and 2019 due to being either blocked, dry or being mined through. These bores included: NPZ1 Mid, NPZ5B P2, CS454B MID, CS4545, CS4545B Small, CS4545B Tall, NPZ6 Tall and NPZ 7 Mid.

Recommendations were made in recent monitoring reports, that IAC trigger values be reviewed, and that bores be cleared of any sediment that may be impacting water quality results.

4.5.5.2.2 Groundwater Levels

Following a period of declining groundwater levels from early 2018, believed to be a consequence of extended drought conditions, recorded levels at NPZ7 Small (Hunter River Alluvium) showed an increase from 2020 over the remainder of the audit period. It is considered that increased rainfall over this period has resulted in increased surface water recharge to the alluvial aquifer.

Recorded water levels at CS4641C (Pikes Gully seam) were relatively stable from 2020 following a steady decline in level since 2015. Water levels in SDH16 and Borehole P also stabilised from 2020 which is reflective of reduced Cumnock Underground dewatering rates from April 2020 onward. The rate of decline in the Coffey Dam Borehole (Liddell seam) water level slowed from 2020 which may also reflect reduced Cumnock Underground dewatering rates.

NPZ7 Tall (Bayswater seam) and NPZ1 Tall (Lemington seam) both exhibited rising water levels from 2020 period with increases of 2.38 m and 1.74 m respectively. This may reflect an increase in surface water recharge to the aquifers as a result of higher rainfall from 2020.

NPZ6 Tall (Broonies Seam) exhibited a steady decline in water level during the 2020 period with a decrease of 1.3 m, however, NPZ5B P1 which also targets the Broonies seam was stable over 2020. The decrease in NPZ6 Tall water level may be a consequence of the progression of mining in the North Pit, however, it is unclear why a corresponding decrease in NPZ5B P2 did not accompany these results.

MW1, MW2, MW3, MW5, MW6, MW9, MW10 and MW12 all exhibited a decline in water levels with decreases ranging from -0.09 m (MW9) to -1.62 m (MW12). The cause of these decreases is likely to be a consequence of the progression of mining in the North Pit and appear to be consistent with the groundwater model predictions for the Ravensworth Project. MW4 showed a slight increase in water level (0.06 m), however, the cause for this increase was not apparent.

4.5.6 Biodiversity

Biodiversity is managed in accordance with the Ravensworth Complex Biodiversity Management Plan which has been developed and approved in accordance with Schedule 3, Condition 24 of PA09_0176. The Biodiversity Management Plan covers the management of biodiversity at the Ravensworth Complex and biodiversity offset areas (BOAs) and is available on the website.

Bird census monitoring by Biodiversity Australia Pty Ltd in 2020 recorded a total of 79 bird species. Grassland sites continued to record fewer bird species than woodland sites however this is anticipated to be the case until a developed canopy forms within the grassland areas. A total of three threatened bird species were recorded during the 2020 monitoring surveys (Varied Sittella, Speckled Warbler, Grey-crowned Babbler) although the targeted threatened birds, the Regent Honeyeater and Swift Parrot, were not recorded in 2020.

Fauna monitoring detected three threatened fauna species during the most recent monitoring period (Grey-headed Flying Fox, Brush-tailed Phascogale, Eastern Coastal Free-tailed Bat). One of these, the Brush-tailed Phascogale, marks the first record of this species in the BOAs since monitoring began.

Although only required every second year, fauna monitoring was conducted within in the Ravensworth North Offset Area in 2020 to utilise additional monitoring techniques. The use of ground and arboreal PIR camera surveys resulted in the detection of two fauna species which were previously unrecorded within the offset area, the Long-nosed Bandicoot and the threatened, Brush-tailed Phascogale. An additional nine fauna species, previously unrecorded within this offset area, were recorded during other monitoring activities by Biodiversity Australia Pty Ltd.

An increase in habitat suitability for the Green and Golden Bell Frog was recorded, with the increased rainfall throughout the year and evident emplacement of microhabitats. A total of eight dams across Hillcrest and RNOA were suitable to support this species at the time of survey, however targeted surveys for the Green and Golden Bell Frog did not record this species.

The monitoring surveys by Biodiversity Australia Pty Ltd indicated a general increase in floral species richness across the BOAs during the audit period. It is expected that this is indicative of a higher annual rainfall in recent years which followed the extreme drought conditions that were experienced in the region since 2017. Species compositions remained relatively consistent during the audit period with grassland sites continuing to contain a higher richness of exotic species than woodland sites. The highest number of exotics were observed in grassland sites, which remains a general trend across all BOAs since monitoring commenced. There is an infestation of some grassland areas by various thistles.

Ravensworth finalised its Conservation Agreements (CA) with the NSW Office of Environment and Heritage (OEH) on 31 January 2019 for four biodiversity offset areas associated with the Ravensworth Operations Project in the upper Hunter Valley NSW, being the Ravensworth North, Hillcrest, Clifton and Stewart offset areas.

The CAs were registered on the relevant land titles in accordance with Condition 35, Schedule 3 of Project Approval 09_0176 for the Ravensworth Operations Project to provide for the long-term security of these four offset areas. Detailed ground surveys were completed for the four offset areas for the Ravensworth Operations Project by a qualified surveyor, in accordance with survey guidelines ~~published~~ by OEH for CAs. During a review of the survey results, Ravensworth has become aware that three of the offset areas are smaller than the areas described in Table 16 within Condition 32 of the Project Approval. Most of the discrepancy relates to the Hillcrest Offset Area, which comprises the entire Hillcrest property. The total size of the Hillcrest Offset Area has been calculated by way of survey as being 1383.4 hectares, smaller than the area of 1,402 hectares included in Table 16, Condition 32 of the Project Approval. Ravensworth has notified the DPIE of the discrepancy and is seeking further advice on resolving the issue. This has been noted in the audit compliance findings.

No incidents occurred in the BOAs during the audit period. Improvement methods such as direct seeding, brush-matting, planting of fast-growing pioneer species and soil amelioration will be undertaken (where possible) to speed up the recovery of vegetation communities within the BOAs and enhance regeneration success of grassland areas.

4.5.7 Heritage

4.5.7.1 Aboriginal Heritage

Aboriginal heritage at the Ravensworth Complex is managed in accordance with the *Aboriginal Cultural Heritage Management Plan* (ACHMP). A monitoring program is undertaken for Aboriginal heritage sites that are not directly impacted by approved mining activities, in accordance with the ACHMP. Monitoring is conducted on an annual basis. Results from the monitoring program are discussed below.

The Aboriginal monitoring program for 2020 was undertaken by OzArk Environment and Heritage (OzArk) in November 2020. An archaeologist inspected a number of heritage sites within the Project Approval boundary but outside of the impact area for the purpose of ensuring site management objectives were being met. Registered Aboriginal Parties (RAPs) were unable to be present during the 2020 monitoring due to Covid 19 restrictions. Both site condition monitoring and photographic monitoring was undertaken during 2020 as the last photographic monitoring across all sites was undertaken in 2017. In total 30 sites were monitored, as well as the grinding groove site REA86 (where photographic monitoring is undertaken annually).

The Aboriginal monitoring program in 2019 involved Aboriginal stakeholders and an archaeologist, inspecting a number of heritage sites within the Project Approval boundary but outside of the impact area for the purpose of ensuring site management objectives were being met. During the 2019 Aboriginal heritage survey, seven additional sites were recorded. These included two isolated finds and five artefact scatters.

The archaeological landscape surviving at ROC is generally in poor condition due to the long history of impacts including vegetation clearing, soil loss and the impacts of agricultural, residential, and mining activities. Aboriginal sites are fenced and sign posted. No impacts other than natural deterioration were recorded at any of the monitored sites and it is noted that the fencing program has aided the lack of inadvertent impacts to sites. During the audit period there was no salvage of Aboriginal heritage items. There were no complaints or incidents involving Aboriginal heritage sites.

Following the installation of hay bales at several sites in 2019, these measures appear to be contributing to reduce erosion of sites, and is an effective, non-invasive method to control worsening erosion. The Ravensworth Complex will continue to replace these hay bales periodically as required.

During the audit period the following measures were implemented to improve heritage management at the site:

- Removal of rubbish at artefact sites REA86 and REA144
- Completed fencing repairs at sites RUM-OS1, REA144, REA232 and REA394;
- Installed signage at REA 232 and REA 394
- Fenced sites REA88 and REA250
- Placed erosion controls (hay bales) at sites RW32, CUM-30, REA148, CUM-43, NARD2, REA32, REA68, REA188, REA228
- Undertook a gap analysis and review of the Ravensworth Complex Aboriginal Heritage Information Management System (AHIMS) and the Ravensworth Complex Aboriginal Heritage Geospatial database.

4.5.7.2 European Heritage

The Ravensworth Complex has committed to managing blasting practices to meet relevant blast impact assessment criteria at listed heritage sites/items within the vicinity of the Project Area as documented in the Heritage Management Plan.

A structural assessment inspection of the Oaklands homestead site was undertaken on the 27 November 2019. Dilapidation, weed, and pest inspections on the Oaklands homestead were undertaken in both June and November 2020. Weed spraying has been completed and rabbit control at the site is ongoing.

During the audit period the Ravensworth School was destroyed due to fire. The fire was reported to DPIE, the Environment, Energy and Science (EES) Group (formerly OEH), Singleton Council and the NSW Police. The site has been fenced off.

5 STATUS OF 2018 IEA RECOMMENDATIONS

The IEA conducted a reviewed against the recommendations made in the 2018 IEA conducted by EMM. The findings from this review have been provided in **Appendix E**.

6 AUDIT FINDINGS

The findings of the IEA compliance assessment are presented in this section.

A summary of compliance against the sites Project Approvals and Mining Leases is provided in **Table 10** below. The non-compliances and corresponding recommendations are summarised in Section 6.1 and detailed in **Appendix B**.

Table 10 Summary of Audit Findings

Approval	Total No. of Conditions	Compliant	Non-Compliant	Not Triggered
PA 09_0176	85	49	4	32
DA 104/96	49	28	0	21
CCL723 (1973)	37	15	0	22
CCL739 (1973)	25	15	0	10
CL378 (1973)	36	20	0	16
CL380 (1973)	13	10	0	3
CL580 (1973)	26	9	0	17
ML1325 (1992)	14	9	0	5
ML1348 (1992)	13	11	0	2
ML1349 (1992)	78	22	0	56
ML1357 (1992)	14	11	0	3
ML1393 (1992)	24	12	0	12
ML1416 (1992)	14	10	0	4
ML1477 (1992)	23	8	0	15
ML1485 (1992)	16	11	0	5
ML1495 (1992)	23	8	0	15
ML1502 (1992)	23	9	0	14
ML1506 (1992)	33	14	0	19
ML1576 (1992)	32	18	0	14
ML1580 (1992)	26	14	0	12
ML1581 (1992)	21	12	0	9
ML1591 (1992)	19	11	0	8
ML1595 (1992)	20	12	0	8
ML1625 (1992)	25	16	0	9

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Approval	Total No. of Conditions	Compliant	Non-Compliant	Not Triggered
ML1667 (1992)	20	15	0	5
ML1668 (1992)	21	12	0	9
ML1669 (1992)	23	15	0	8
ML1683 (1992)	23	14	0	9

6.1 Identified Non-Compliances and Recommendations

6.1.1 Project Approval (PA 09_0176)

Non-Compliances identified against PA 09_0176 have been summarised in **Table 11** below. Further audit commentary and evidence is provided against each condition in the PA 09_0176 Audit Checklist provided in **Appendix B**.

Table 11 Non-Compliances against PA 09_0179

Ref No.	Condition Ref	Requirement	Independent Audit Finding	Recommendation																							
PA02	S2 C2	<p>The Proponent shall:</p> <p>(a) carry out the development generally in accordance with the EA, MOD 1 EA, MOD 2 EA and MOD 3 EA; and</p> <p>(b) comply with the conditions of this approval, the statement of commitments and the Project Layout Plans.</p> <p>Notes:</p> <ul style="list-style-type: none">• The Project Layout Plans are shown in Appendix 2.• The statement of commitments is reproduced in Appendix 3 (excluding the commitments which are inconsistent with the conditions of this approval).	<p>a) Ravensworth Complex was observed to be carrying out the development generally in accordance with the EA, MOD 1 EA, MOD 2 EA and MOD 3 EA with no evidence to the contrary.</p> <p>b) Non-compliances were identified from the sample results from the sewage treatment, dust exceedances, and insufficient biodiversity offset areas.</p>	Recommendation not required, refer to individual non-compliances in this checklist																							
PA35	S3 C20	<p>Air Quality Criteria</p> <p>Except for the air quality-affected land referred to in Table 1, the Proponent shall ensure that all reasonable and feasible avoidance and mitigation measures are employed so that particulate matter emissions generated by the Ravensworth mine complex do not exceed the criteria listed in Tables 9, 10 or 11 at any residence on privately-owned land or on more than 25 percent of any privately-owned land.</p> <p><i>Table 9: Long term criteria for particulate matter</i></p> <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 (PM₁₀)</td><td>Annual</td><td>^a 30 µg/m³</td></tr></table> <p><i>Table 10: Short term criterion for particulate matter</i></p> <table><tr><th>Pollutant</th><th>Averaging period</th><th>^d Criterion</th></tr><tr><td>Particulate matter < 10 µm (PM₁₀)</td><td>24 hour</td><td>^a 50 µg/m³</td></tr></table> <p><i>Table 11: Long term criteria for deposited dust</i></p> <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>	Pollutant	Averaging period	^d Criterion	Total suspended particulate (TSP) matter	Annual	^a 90 µg/m ³	Particulate matter < 10 µm (PM ₁₀)	Annual	^a 30 µg/m ³	Pollutant	Averaging period	^d Criterion	Particulate matter < 10 µm (PM ₁₀)	24 hour	^a 50 µg/m ³	Pollutant	Averaging period	Maximum increase in deposited dust level	Maximum total deposited dust level	^c Deposited dust	Annual	^b 2 g/m ² /month	^a 4 g/m ² /month		Undertake the required triennial review and update of the Air Quality and Greenhouse Gas Management Plan. Consideration for review may include the dumping and pushing of overburden in high dumps during adverse weather events and effectiveness of the dust suppression system for the dump hopper. Where changes are made this should be incorporated into training for dispatch, operators and other relevant personnel to ensure awareness.
Pollutant	Averaging period	^d Criterion																									
Total suspended particulate (TSP) matter	Annual	^a 90 µg/m ³																									
Particulate matter < 10 µm (PM ₁₀)	Annual	^a 30 µg/m ³																									
Pollutant	Averaging period	^d Criterion																									
Particulate matter < 10 µm (PM ₁₀)	24 hour	^a 50 µg/m ³																									
Pollutant	Averaging period	Maximum increase in deposited dust level	Maximum total deposited dust level																								
^c Deposited dust	Annual	^b 2 g/m ² /month	^a 4 g/m ² /month																								

Notes to Tables 9-11:

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Ref No.	Condition Ref	Requirement	Independent Audit Finding	Recommendation																					
		<p>a Total impact (i.e., incremental increase in concentrations due to the Ravensworth mine complex plus background concentrations due to all other sources);</p> <p>b Incremental impact (i.e., incremental increase in concentrations due to the Ravensworth mine complex on its own);</p> <p>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;</p> <p>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 in consultation with EPA.</p>																							
PA47	S3 C32	<p>Biodiversity Offsets</p> <p>The Proponent shall implement the biodiversity offset strategy as outlined in Table 16 and as generally described in the EA (and shown conceptually in Appendix 7), to the satisfaction of the Secretary.</p> <p><i>Table 16: Biodiversity Offset Strategy</i></p> <table><tr><th>Area</th><th>Offset Type</th><th>Minimum Size (hectares)</th></tr><tr><td>Ravensworth North Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>284</td></tr><tr><td>Hillcrest Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>1,402</td></tr><tr><td>Clifton Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>107</td></tr><tr><td>Stewart Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>165</td></tr><tr><td>Rehabilitation Area</td><td>Woodland vegetation to be established</td><td>1,767</td></tr><tr><td>Total</td><td></td><td>3,725</td></tr></table>	Area	Offset Type	Minimum Size (hectares)	Ravensworth North Offset Area	Existing vegetation and vegetation to be established	284	Hillcrest Offset Area	Existing vegetation and vegetation to be established	1,402	Clifton Offset Area	Existing vegetation and vegetation to be established	107	Stewart Offset Area	Existing vegetation and vegetation to be established	165	Rehabilitation Area	Woodland vegetation to be established	1,767	Total		3,725	<p>The biodiversity offset requirements are managed through the Offset Area Management Programme dated 2019 (RAVOC-1007099517-20).</p> <p>Annual biodiversity monitoring is completed by qualified and accredited ecologists to determine compliance with project approvals and Offset Area Management Programme.</p> <p>Results from the biodiversity monitoring are reported in the Annual Reviews.</p> <p>Discrepancies in the overall size of the Ravensworth Biodiversity Offset Areas were identified in 2020 following detailed ground surveys. The surveys identified that three (3) of the four (4) Biodiversity Offset Areas are smaller than the minimum areas required. These include Hillcrest, Clifton, and Stewart.</p> <p>The Department was notified on 6 January 2021 of the discrepancy. Ravensworth Complex are currently</p>	<p>It is recommended a review of crown roads status in Offset Areas be undertaken and either close roads or seek modification to Project Approval. 09_0176.</p>
Area	Offset Type	Minimum Size (hectares)																							
Ravensworth North Offset Area	Existing vegetation and vegetation to be established	284																							
Hillcrest Offset Area	Existing vegetation and vegetation to be established	1,402																							
Clifton Offset Area	Existing vegetation and vegetation to be established	107																							
Stewart Offset Area	Existing vegetation and vegetation to be established	165																							
Rehabilitation Area	Woodland vegetation to be established	1,767																							
Total		3,725																							

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Ref No.	Condition Ref	Requirement	Independent Audit Finding	Recommendation
			investigating options to increase their biodiversity offsets to meet the minimum sizes outlined in the condition. Offset Area Management Programme (2019 – 2022) sited and reviewed. Evidence of implementation of this plan was presented including maintenance (weed spraying).	
PA67	S3 C51	The Proponent shall: (a) minimise and monitor the waste generated by the project; (b) ensure that the waste generated by the project is appropriately stored, handled and disposed of; (c) manage on-site sewage treatment and disposal in accordance with the requirements of Council; and (d) report on waste management and minimisation in the Annual Review, to the satisfaction of the Secretary.	a) Waste is monitored by the Ravensworth Environmental Team and by the waste contractor (Cleanaway) on a monthly basis. Materials are recycled where possible. b) The requirements on how to store, handle and segregate waste is outlined in the site's Waste Management Plan and as part of site inductions and communications. Waste bins are located throughout the site and generally allow for segregation of waste into recycling streams. Reviewed storage, handling and disposal records for bioremediation cells on site. Sighted "Waste Management – Bioremediation Area" internal procedure and records of analysis for waste cells. Workshop and wash bay sumps and pits –loading with sediment etc. c) Review of the on-site sewage treatment and disposal are completed by	Reinforce correct waste segregation methodology for workshop staff through scheduled training and pre-start meetings. Reduce load on systems by ensuring appropriate additional sewage facilities are available during periods where increased contractors are on site e.g., during maintenance shutdowns.

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Ref No.	Condition Ref	Requirement	Independent Audit Finding	Recommendation
			Singleton Council. Sewage treatment plant quality results for August 2020 were outside of the acceptable limits imposed by Singleton Council.	Waste management and minimisation is reported in the Annual Review's for the audit period.

6.1.2 Development Consent (DA 104/96)

There were no non-Compliances identified against DA 104/96 during the audit period.

6.1.3 Mining Leases

There were no non-Compliances identified against the relevant Mining Leases during the audit period.

6.2 Summary of Opportunities for Improvement

Table 12 below outlines the opportunities for improvement (OFI) identified during the audit. The OFIs detailed below are based around continuous improvement opportunities identified during the audit and do not represent immediate non-compliance issues.

Table 12 Summary of Opportunities for Improvement

OFI Ref	Condition Ref	Context	Opportunities for Improvement
OFI 01	PA 09_0176 S3 C20	Potential dust mitigation measures	Undertake the required triennial review and update of the Air Quality and Greenhouse Gas Management Plan. Consideration for review may include the dumping and pushing of overburden in high dumps during adverse weather events and effectiveness of the dust suppression system for the dump hopper. Where changes are made this should be incorporated into training for dispatch, operators and other relevant personnel to ensure awareness.

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OFI Ref	Condition Ref	Context	Opportunities for Improvement
OFI 02	PA 09_0176 S3 C25	Figure update	The AQ and GHG Management Plan should be revised to include the correct location of the meteorological station.
OFI 03	PA 09_0176 S3 C31	Document control	It is recommended that the WMP cover page be updated with the status of the plan as "Approved" with the document effective date and review date also included.
OFI 04	PA 09_0176 S3 C32	Biodiversity Offset Surveys	It is recommended a review of crown roads status in Offset Areas be undertaken and either close roads or seek modification to Project Approval. 09_0176.
OFI 05	PA 09_0176 S3 C41	Document control	It is recommended that the MOP cover page be updated with the status of the plan as "Approved" and the latest Resource Regulator approval letter included as an Appendix. In addition, consultation as undertaken with relevant departments to be included in an Appendix.
OFI 06	PA 09_0176 S3 C42	Document formatting	The Aboriginal and Cultural Management Plan has cross reference errors throughout the document that should be amended.
OFI 07	PA 09_0176 S3 C51	Waste management	Reinforce correct waste segregation methodology for workshop staff through scheduled training and pre-start meetings. Reduce load on systems by ensuring appropriate additional sewage facilities are available during periods where increased contractors are on site e.g., during maintenance shutdowns.
OFI 08	PA 09_0176 6.13.1	Document review	Document scheduled to be reviewed and updated where required.
OFI 09	PA 09_0176 S3 C51	Water Management	It was noted that drains and sumps in external apron areas around the workshop, and in the vicinity of the wash down bays were full of accumulated sediment. It is recommended that these areas are regularly inspected and maintained to ensure that the capacity of these systems to capture and manage sediment is maintained. Further to this, the potential for diversion of "clean" water from these areas (such as stormwater from the workshop roof) should be considered to reduce the volume of water that requires management from these systems.

Appendix A

Planning Secretary Audit Team Approval

Klay Marchant
Environment and Community Manager
Ravensworth Complex

Sent by email only: klay.marchant@glencore.com.au

30/03/2021

Dear Mr Marchant

**Ravensworth Coal (MP09_0176 and DA 104/96)
2021 Independent Environmental Audit Proposal**

I refer to your request (MP09_0176-PA-93) for the Secretary's approval of a suitably qualified, experienced and independent audit team to undertake the 2021 Independent Environmental Audit (IEA) for the Ravensworth Mine Complex Schedule 5 Condition 8 of MP09_0176 as modified and Schedule 5 Condition 7 of DA 104/96 as modified (the consents).

The Department has reviewed the nominations and information you have provided in accordance with the requirements of the consents and the Department's *Post-approval requirements for State Significant Developments Independent Audit Guideline, October 2015* (IEA Guideline) and is satisfied that these experts are suitably qualified and experienced. Consequently, I can advise that the Secretary approves the appointment of the following audit team:

- Ian Richardson, RPS Group (Lead Auditor)
- Sam Mitchell, RPS Group
- John Wassermann, RDWI Consulting Engineers and Scientists (acoustic and air quality specialist)
- Nic Hall, RDWI Consulting Engineers and Scientists (acoustics and air quality specialist)
- Clayton Richards, MineSoils (rehabilitation specialist)

Please ensure this correspondence is appended to the IEA Report.

The IEA must be prepared, undertaken and finalised in accordance with the requirements of the consents and the IEA Guideline. Failure to meet these requirements will require revision and resubmission.

The Department reserves the right to request an alternate auditor or audit team for future audits.

As per Schedule 5 condition 9 of MP09_0176 and Schedule 5 condition 8 of DA 104/96, within six weeks of completing this audit (i.e. from the date of the first day of the site inspection), or as otherwise agreed with the Secretary, the IEA report and the response to audit recommendations (RAR) are to be submitted to the Department via the Major Project website.

If you wish to discuss the matter further, please contact Jennifer Sage, Compliance Officer on 0400 245 170.

Yours sincerely



Heidi Watters
Team Leader Northern
Compliance

As nominee of the Planning Secretary

Appendix B

Audit Checklists

AUDIT CHECKLIST – PROJECT APPROVAL 09_0176

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Table 1 PROJECT APPROVAL 09_0176

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
SCHEDULE 2 - ADMINISTRATIVE CONDITIONS					
OBLIGATION TO MINIMISE HARM TO THE ENVIRONMENT					
PA01	S2 C1	The Proponent shall implement all reasonable and feasible measures to prevent and/or minimise any material harm to the environment that may result from the construction, operation, or rehabilitation of the project.	Following the site inspection, it was observed that Ravensworth Complex are implementing all reasonable and feasible measures to prevent and/or minimise any material harm to the environment that may result from the construction, operation, or rehabilitation of the project.	Compliant	
TERMS OF APPROVAL					
PA02	S2 C2	The Proponent shall: (a) carry out the development generally in accordance with the EA, MOD 1 EA, MOD 2 EA and MOD 3 EA; and (b) comply with the conditions of this approval, the statement of commitments and the Project Layout Plans. Notes: • The Project Layout Plans are shown in Appendix 2. • The statement of commitments is reproduced in Appendix 3 (excluding the commitments which are inconsistent with the conditions of this approval).	a) Ravensworth Complex was observed to be carrying out the development generally in accordance with the EA, MOD 1 EA, MOD 2 EA and MOD 3 EA with no evidence to the contrary. b) Non compliances were identified from the sample results from the sewage treatment, dust exceedances, and insufficient biodiversity offset areas.	Non-compliant	Recommendation not required.
PA03	S2 C3	If there is any inconsistency between the documents in condition 2(a), the most recent documents shall prevail to the extent of the inconsistency. The conditions of this approval shall prevail over documents in condition 2(a) to the extent of any inconsistency.	No evidence of inconsistency between documents was identified during the audit period with MOD 3 of the project approval taking precedence.	Compliant	
PA04	S2 C4	The Proponent shall comply with any reasonable requirement/s of the Secretary arising from the Department's assessment of: (a) any reports, strategies, plans, programs, reviews, audits or correspondence that are submitted by the Proponent in accordance with this approval; and	Glencore has provided reports, strategies, plans, programs, audits and correspondence to the Secretary for their assessment during the audit period. Multiple management plans were updated by Ravensworth Complex and reviewed/approved by the Secretary during the audit period.	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		(b) the implementation of any actions or measures contained in these documents.	Implementation of all actions and measures contained in the documents assessed occurred during the audit period.		
LIMITS ON APPROVAL					
PA05	S2 C5	Mining operations for the project may take place until 31 December 2039. Note: Under this approval, the Proponent is required to rehabilitate the site and perform additional undertakings to the satisfaction of the Secretary and DRE. Consequently, this approval will continue to apply in all other respects other than the right to conduct mining operations until the site has been properly rehabilitated.	Glencore confirmed that they are planning to stop operation of the Ravensworth Complex and complete mining by 31 December 2039.	Compliant	
PA06	S2 C6	The Proponent shall not extract more than: (a) 16 million tonnes of ROM coal from the open cut mining operations in a calendar year; and (b) 21 million tonnes of ROM coal from the combined Ravensworth mine complex in a calendar year.	The annual reviews for the audit period outlined the ROM coal extracted. a) Ravensworth Operations and Complex produced: - 13.9 Mt of ROM coal during 2018 - 14.9 Mt of ROM coal during 2019 - 13.3 Mt of ROM coal during 2020 The volume of ROM coal extracted was below the limits specified in the condition.	Compliant	
PA07	S2 C7	The Proponent shall: (a) not transport coal from the site by road (except in an emergency situation and with the prior approval of the Secretary in consultation with Council); and (b) restrict product coal transport to/from the RCHPP/RCT to a maximum of: • 20 million tonnes of product coal in a calendar year; and • 18 train movements (average) a day, for the combined Ravensworth mine complex, including any product coal transported for third parties. Note: For the purposes of this condition, each train entering and exiting the site is classified as 2 train movements; a day refers to the 24 hours from midnight to midnight the next day; and train movements do not	a) There was no coal transported by road during the audit period. During this period coal was only transported using trains. b) The annual returns for the audit period were reviewed and indicated the proponent restricted product coal transport to/from the RCHPP/RCT below the maximum values set by the condition. Actual values as summarised below: Total product coal loaded from RCHPP: - 7,746,035 tonnes (2018) - 6,448,015 tonnes (2019) - 5,673,140 tonnes (2020)	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		include transfer of coal reject between parts of the Ravensworth mine complex.	Annual Average Daily Train Movements: - 2.4 movements per day (2018) - 2.2 movements per day (2019) - 1.7 movements per day (2020)		
SURRENDER OF CONSENTS					
PA08	S2 C8	<p>By the end of December 2011, or as otherwise agreed by the Secretary, the Proponent shall surrender all existing development consents/approvals for the project in accordance with sections 75YA and 104A of the EP&A Act, and to the satisfaction of the Secretary.</p> <p>Prior to surrendering any development consents for the RCHPP/RCT, the Proponent shall demonstrate that it has:</p> <p>(a) the legal ability to surrender such consents; and</p> <p>(b) used its best endeavours to reach agreements with the joint venture partners of the RCHPP/RCT in relation to the joint venture partners' rights over the RCHPP/RCT.</p> <p>Notes:</p> <ul style="list-style-type: none"> • This approval will apply to all components of the Ravensworth mine complex's open cut operations, as well as the surface components of the RUM, from the date of approval. The existing management and monitoring plans/strategies/programs/protocols/committees for the project will continue to apply until the approval of the comparable plan/strategy/program/ protocol/committee under this approval; • The existing approvals are identified in Appendix 4. 	This condition has an activation or timing trigger that has not been met during the temporal scope of this audit, therefore an assessment of compliance is not relevant.	Not triggered	
STRUCTURAL ADEQUACY					
PA09	S2 C9	<p>The Proponent shall 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 MSB.</p> <p>Notes:</p>	There were no new buildings and structures, and/or any alterations or additions to existing buildings and structures during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> Under Part 4A of the EP&A Act, the Proponent 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 project; The project is located in the Patrick Plains Mine Subsidence District. Under Section 15 of the Mine Subsidence Compensation Act 1961, the Proponent is required to obtain the MSB's approval before constructing any improvements on the site. 			
DEMOLITION					
PA10	S2 C10	The Proponent shall ensure that all demolition work is carried out in accordance with AS 2601-2001: The Demolition of Structures, or its latest version.	No demolition work occurred during the audit period.	Not triggered	
PROTECTION OF PUBLIC INFRASTRUCTURE					
PA11	S2 C11	<p>Unless the Proponent and the applicable authority agree otherwise, the Proponent shall:</p> <p>(a) repair, or pay the full costs associated with repairing, any public infrastructure that is damaged by the project; and</p> <p>(b) relocate, or pay the full costs associated with relocating, any public infrastructure that needs to be relocated as a result of the project, except where such works have been compensated through the Mining Act 1992 or the planning agreement referred to in condition 14 below.</p>	<p>a) No damage was recorded to any public infrastructure during the audit period.</p> <p>b) No infrastructure was required to be relocated as result of the project during the audit period.</p>	Not triggered	
OPERATION OF PLANT AND EQUIPMENT					
PA12	S2 C12	<p>The Proponent shall ensure that all plant and equipment used at the site is:</p> <p>(a) maintained in a proper and efficient condition; and</p> <p>(b) operated in a proper and efficient manner.</p>	a) Ravensworth Complex utilises a Systems Applications and Products (SAP) tool to track and create work orders for regular maintenance of plant and equipment on site. A sample of maintenance records were provided and sighted on site during	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>the audit. Records indicated that a regular maintenance program is conducted for plant and equipment on site. Noise monitoring results for the audit period were below the specified limits indicating that plant and equipment are not attributed to any elevated levels at any sensitive receptors.</p> <p>b) Employees required to operate any plant or equipment are required to complete specific training programs for each individual piece of equipment. Plant and equipment are not permitted to be operated until training is completed and a competency assessment has been completed and verified by an approved trainer. Ravensworth Training and Competency Management Plan (RAVOC-258458278-2834) was sighted along with the TNA and Competency Records.</p>		
STAGED SUBMISSION OF STRATEGIES, PLANS AND PROGRAMS					
PA13	S2 C13	<p>With the approval of the Secretary, the Proponent may:</p> <p>(a) submit any strategy, plan or program required by this approval on a progressive basis; and</p> <p>(b) combine any strategy, plan or program required by this approval (including the CCC) with any similar strategy, plan or program for the RUM.</p> <p>Note: For the avoidance of doubt, existing approved management plans, strategies or monitoring programs for the open cut operations of the Ravensworth mine complex will continue to apply until the approval of a similar plan, strategy or program under this approval, or until the surrender of existing approvals (see condition 8 above).</p>	<p>a) All management plans following changes and scheduled reviews have been submitted to the Department for review and approval during the audit period.</p> <p>b) Where required strategies, plans, and programs for RUM have been complained with ROC.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations												
PLANNING AGREEMENT																	
PA14	S2 C14	<p>By the end of June 2011, unless otherwise agreed by the Secretary, the Proponent shall use its best endeavours to enter into a planning agreement with Council to provide development contributions to Council for the project, in accordance with Division 6 of Part 4 of the EP&A Act.</p> <p>If the Proponent and Council cannot agree on the level or composition of the development contributions, then either party may refer the matter to the Secretary for resolution.</p>	<p>This condition has an activation or timing trigger that has not been met during the temporal scope of this audit, therefore an assessment of compliance is not relevant.</p> <p>The Voluntary Planning Agreement executed on 9 July 2012 was sighted during the audit.</p>	Not triggered													
SCHEDULE 3 - ENVIRONMENTAL PERFORMANCE CONDITIONS																	
ACQUISITION UPON REQUEST																	
PA15	S3 C1	<p>Acquisition Upon Request</p> <p>Upon receiving a written request for acquisition from an owner of the land listed in Table 1, the Proponent shall acquire the land in accordance with the procedures in conditions 6-7 of schedule 4.</p> <p><i>Table 1: Land subject to acquisition upon request</i></p> <table><tr><th>Receiver No.</th><th>Receiver</th><th>Acquisition Basis</th></tr><tr><td>3</td><td>A Bowman</td><td>Air quality</td></tr><tr><td>6A, 6B</td><td>Moxey</td><td>Air quality</td></tr><tr><td>34</td><td>Stapleton</td><td>Air quality and Noise</td></tr></table> <p><i>Note: To interpret the locations referred to in Table 1, see the applicable figure in Appendix 5.</i></p>	Receiver No.	Receiver	Acquisition Basis	3	A Bowman	Air quality	6A, 6B	Moxey	Air quality	34	Stapleton	Air quality and Noise	<p>No acquisition requests were received or occurred during the audit period.</p>	Not triggered	
Receiver No.	Receiver	Acquisition Basis															
3	A Bowman	Air quality															
6A, 6B	Moxey	Air quality															
34	Stapleton	Air quality and Noise															
NOISE																	
PA16	S3 C2	<p>Noise Criteria</p> <p>The Proponent shall ensure that the noise generated by mining operations at the Ravensworth mine complex does not exceed the criteria in Table 2 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.</p>	<p>Attended noise monitoring is completed monthly to verify compliance with the project approval noise criteria. Within the auditing period there have been no exceedances of the noise criteria in Table 2 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land. According to monthly reports, all measurements were conducted in accordance with the relevant requirements and exemptions of NSW Industrial Noise Policy.</p>	Compliant													

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																																																			
<p><i>Table 2: Noise Criteria dB(A)</i></p> <table> <tr> <th>Receiver Location</th><th>Receiver</th><th>Day (<i>L_{Aeq}</i> (16min))</th><th>Evening (<i>L_{Aeq}</i> (16min))</th><th>Night (<i>L_{Aeq}</i> (16min))</th><th>Night (<i>L_{A1}</i> (1 min))</th></tr> <tr> <td>R1</td><td>34 – Stapleton</td><td>48</td><td>48</td><td>48</td><td>49</td></tr> <tr> <td rowspan="2">R2</td><td>3 – A Bowman</td><td>35</td><td>35</td><td>35</td><td>45</td></tr> <tr> <td>13 – A Bowman</td><td>38</td><td>38</td><td>38</td><td>45</td></tr> <tr> <td rowspan="3">R3</td><td><i>Camdenwell Village Central:</i> 12 – Yates, 21 – Miller, 27 – Chisholm</td><td>37</td><td>37</td><td>37</td><td>45</td></tr> <tr> <td>38 – Ninness</td><td>36</td><td>36</td><td>36</td><td>45</td></tr> <tr> <td>All other privately-owned land</td><td>35</td><td>35</td><td>35</td><td>45</td></tr> <tr> <td>R4</td><td><i>Camdenwell Village North:</i> All privately-owned land</td><td>35</td><td>35</td><td>35</td><td>45</td></tr> <tr> <td>-</td><td>All other privately-owned land</td><td>35</td><td>35</td><td>35</td><td>45</td></tr> </table> <p>Notes:</p> <ul style="list-style-type: none"> • To interpret the locations referred to Table 2, see the applicable figure in Appendix 5. • Noise generated by the project is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy. <p>However, these noise criteria do not apply if the Proponent has an agreement with the relevant owner/s of these residences/land to generate higher noise levels, and the Proponent has advised the Department in writing of the terms of this agreement.</p>						Receiver Location	Receiver	Day (<i>L_{Aeq}</i> (16min))	Evening (<i>L_{Aeq}</i> (16min))	Night (<i>L_{Aeq}</i> (16min))	Night (<i>L_{A1}</i> (1 min))	R1	34 – Stapleton	48	48	48	49	R2	3 – A Bowman	35	35	35	45	13 – A Bowman	38	38	38	45	R3	<i>Camdenwell Village Central:</i> 12 – Yates, 21 – Miller, 27 – Chisholm	37	37	37	45	38 – Ninness	36	36	36	45	All other privately-owned land	35	35	35	45	R4	<i>Camdenwell Village North:</i> All privately-owned land	35	35	35	45	-	All other privately-owned land	35	35	35	45
Receiver Location	Receiver	Day (<i>L_{Aeq}</i> (16min))	Evening (<i>L_{Aeq}</i> (16min))	Night (<i>L_{Aeq}</i> (16min))	Night (<i>L_{A1}</i> (1 min))																																																			
R1	34 – Stapleton	48	48	48	49																																																			
R2	3 – A Bowman	35	35	35	45																																																			
	13 – A Bowman	38	38	38	45																																																			
R3	<i>Camdenwell Village Central:</i> 12 – Yates, 21 – Miller, 27 – Chisholm	37	37	37	45																																																			
	38 – Ninness	36	36	36	45																																																			
	All other privately-owned land	35	35	35	45																																																			
R4	<i>Camdenwell Village North:</i> All privately-owned land	35	35	35	45																																																			
-	All other privately-owned land	35	35	35	45																																																			
PA17	S3 C3	<p>Noise Acquisition Criteria</p> <p>If the noise generated by the Ravensworth mine complex exceeds the criteria in Table 3 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land, then upon receiving a written request for acquisition from the landowner, the Proponent shall acquire the land in accordance with the procedures in conditions 6-7 of schedule 4.</p>	There have not been any requests for acquisition during the auditing period. All operational noise levels were found to comply throughout auditing period.	Not triggered																																																				

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																									
		<p>Table 3: Noise acquisition criteria dB(A) L_{Aeq} (15min)</p> <table><tr><th>Receiver Location</th><th>Receiver</th><th>Day (L_{Aeq} (15min))</th><th>Evening (L_{Aeq} (15min))</th><th>Night (L_{Aeq} (15min))</th></tr><tr><td>R2</td><td>All privately-owned land</td><td>40</td><td>40</td><td>40</td></tr><tr><td>R3</td><td>All privately-owned land</td><td>54</td><td>54</td><td>49</td></tr><tr><td>R4</td><td>All privately-owned land</td><td>47</td><td>47</td><td>47</td></tr><tr><td>-</td><td>All other privately-owned land</td><td>40</td><td>40</td><td>40</td></tr></table> <p>Notes:</p> <ul style="list-style-type: none">• To interpret the locations referred to Table 3, see the applicable figure in Appendix 5.• Noise generated by the project is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy.• For this condition to apply, the exceedance of the criteria must be systemic.	Receiver Location	Receiver	Day (L _{Aeq} (15min))	Evening (L _{Aeq} (15min))	Night (L _{Aeq} (15min))	R2	All privately-owned land	40	40	40	R3	All privately-owned land	54	54	49	R4	All privately-owned land	47	47	47	-	All other privately-owned land	40	40	40			
Receiver Location	Receiver	Day (L _{Aeq} (15min))	Evening (L _{Aeq} (15min))	Night (L _{Aeq} (15min))																										
R2	All privately-owned land	40	40	40																										
R3	All privately-owned land	54	54	49																										
R4	All privately-owned land	47	47	47																										
-	All other privately-owned land	40	40	40																										
PA18	S3 C4	<p>Cumulative Noise Criteria</p> <p>Except for the noise-affected land in Table 1, the Proponent shall implement all reasonable and feasible measures to ensure that the noise generated by the Ravensworth mine complex combined with the noise generated by other mines does not exceed the criteria in Table 4 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.</p> <p>Table 4: Cumulative noise criteria dB(A) L_{Aeq} (period)</p> <table><tr><th>Location</th><th>Day</th><th>Evening</th><th>Night</th></tr><tr><td>R3 and R4 – Camberwell Village</td><td>55</td><td>45</td><td>40</td></tr><tr><td>All other privately-owned land</td><td>50</td><td>45</td><td>40</td></tr></table> <p>Notes:</p> <ul style="list-style-type: none">• To interpret the locations referred to Table 4, see the applicable figure in Appendix 5.• Cumulative noise is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy.	Location	Day	Evening	Night	R3 and R4 – Camberwell Village	55	45	40	All other privately-owned land	50	45	40	<p>Attended noise monitoring is completed monthly to verify compliance with the project approval noise criteria. Within the auditing period there have been no exceedances of the noise criteria in Table 4 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.</p> <p>There was one (1) complaint (8 May 2018) received during the audit period relating to noise.</p> <p>An anonymous complaint was received via email to the DPIE on the 8 May 2019. The complaint was received from the Camberwell area regarding a loud blast from a nearby coal mine at approximately 9.08am.</p> <p>The Environment and Community Manager confirmed that Ravensworth did blast that day at 9.11am. Real time data was checked and reported a blast overpressure of 105.3 dB and vibration of 0.08 m/s. This is below compliance levels.</p>	Compliant														
Location	Day	Evening	Night																											
R3 and R4 – Camberwell Village	55	45	40																											
All other privately-owned land	50	45	40																											

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>The wind direction at the time was from the North West (267 degrees) at a speed of 0.7m/s. Ravensworth immediately investigated the complaint and recorded the complaint. The complainant did not request information regarding the outcome of the investigation.</p> <p>Key personnel at the Ravensworth Complex use a forecasting tool (Jacobs Forecast) daily to help predict potential impacts to sensitive receptors. The Jacobs forecasting tool interprets daily weather patterns and provides predictions on whether local sensitive receptors will experience exceedances of the project approvals.</p> <p>Key personnel at the ROC implement a real-time monitoring and forecasting system to assist with the management of noise levels during periods of noise-enhancing meteorological conditions. The monitoring system is able to measure noise contributions from the ROC and cumulative noise levels from all local noise sources.</p> <p>The ROC maintain channels of communication with nearby mines to enable coordinated response in the event of cumulative noise exceedances.</p> <p>ROC are implementing all reasonable and feasible measures on site to ensure cumulative noise complies with relevant criteria.</p>		
PA19	S3 C5	<p>Cumulative Noise Acquisition Criteria</p> <p>If the cumulative noise generated by the Ravensworth mine complex combined with the noise generated by other mines exceeds the criteria in Table 5 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land, then upon receiving a written request from the landowner, the Proponent shall acquire the land on as equitable basis as possible with</p>	There have not been any written requests for acquisition during the auditing period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations												
		<p>the relevant mines, in accordance with the procedures in conditions 6-7 of schedule 4.</p> <p><i>Table 5: Cumulative noise acquisition criteria dB(A) L_{Aeq} (period)</i></p> <table><tr><th>Location</th><th>Day</th><th>Evening</th><th>Night</th></tr><tr><td>R3 and R4 – Camberwell Village</td><td>60</td><td>50</td><td>45</td></tr><tr><td>All other privately-owned land</td><td>55</td><td>50</td><td>45</td></tr></table> <p>Notes:</p> <ul style="list-style-type: none">• To interpret the locations referred to Table 5, see the applicable figure in Appendix 5.• Cumulative noise is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy.• For this condition to apply, the exceedance of the criteria must be systemic.	Location	Day	Evening	Night	R3 and R4 – Camberwell Village	60	50	45	All other privately-owned land	55	50	45			
Location	Day	Evening	Night														
R3 and R4 – Camberwell Village	60	50	45														
All other privately-owned land	55	50	45														
PA20	S3 C6	<p>Additional Noise Mitigation Measures</p> <p>Upon receiving a written request from the owner of:</p> <p>(a) Residence 34 – Stapleton;</p> <p>(b) Residence 13 – A Bowman; or</p> <p>(c) any other residence on privately-owned land where subsequent operational noise monitoring shows the noise generated by the Ravensworth mine complex exceeds the noise limits in Table 6,</p> <p>the Proponent shall implement additional reasonable and feasible noise mitigation measures (such as double glazing, insulation, and/or air conditioning) at the residence in consultation with the owner.</p> <p>If within 3 months of receiving this request from the landowner, the Proponent 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.</p>	<p>There have not been any written requests for acquisition during the auditing period.</p>	<p>Not triggered</p>													

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																									
<div>Table 6: Additional noise mitigation criteria dB(A) L_{Aeq} (15min)</div> <table><tr><th>Receiver Location</th><th>Receiver</th><th>Day (L_{Aeq} (15min))</th><th>Evening (L_{Aeq} (15min))</th><th>Night (L_{Aeq} (15min))</th></tr><tr><td>R2</td><td>All privately-owned land</td><td>37</td><td>37</td><td>37</td></tr><tr><td>R3</td><td>All privately-owned land</td><td>51</td><td>51</td><td>46</td></tr><tr><td>R4</td><td>All privately-owned land</td><td>44</td><td>44</td><td>44</td></tr><tr><td>-</td><td>All other privately-owned land</td><td>37</td><td>37</td><td>37</td></tr></table> <div>Notes:<ul style="list-style-type: none">To interpret the locations referred to Table 6, see the applicable figure in Appendix 5.Noise generated by the project is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy.For this condition to apply, the exceedance of the criteria must be systemic.</div>						Receiver Location	Receiver	Day (L_{Aeq} (15min))	Evening (L_{Aeq} (15min))	Night (L_{Aeq} (15min))	R2	All privately-owned land	37	37	37	R3	All privately-owned land	51	51	46	R4	All privately-owned land	44	44	44	-	All other privately-owned land	37	37	37
Receiver Location	Receiver	Day (L_{Aeq} (15min))	Evening (L_{Aeq} (15min))	Night (L_{Aeq} (15min))																										
R2	All privately-owned land	37	37	37																										
R3	All privately-owned land	51	51	46																										
R4	All privately-owned land	44	44	44																										
-	All other privately-owned land	37	37	37																										
PA21	S3 C7	<p>If the cumulative noise generated by the Ravensworth mine complex combined with the noise generated by other mines exceeds the criteria at any residence on the land referred to in Table 7, then upon receiving a written request from the owner, the Proponent shall implement additional reasonable and feasible noise mitigation measures (such as double glazing, insulation, and/or air conditioning) at the residence in consultation with the owner. The Proponent shall share the costs associated with implementing these measures on an equitable basis as possible with the relevant mines.</p> <p>If within 3 months of receiving this request from the owner, the Proponent and the owner 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.</p> <div>Table 7: Cumulative noise mitigation criteria dB(A) L_{Aeq} (period)</div> <table><tr><th>Location</th><th>Day</th><th>Evening</th><th>Night</th></tr><tr><td>R3 and R4 – Camberwell Village</td><td>57</td><td>47</td><td>42</td></tr><tr><td>All other privately-owned land</td><td>52</td><td>47</td><td>42</td></tr></table> <div>Notes:<ul style="list-style-type: none">To interpret the locations referred to Table 7, see the applicable figure in Appendix 5.</div>	Location	Day	Evening	Night	R3 and R4 – Camberwell Village	57	47	42	All other privately-owned land	52	47	42	<p>Attended noise monitoring is completed monthly to verify compliance with the project approval noise criteria. Within the auditing period there have been no exceedances of the noise criteria in Table 7 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.</p> <p>There was one (1) complaint (8 May 2018) received during the audit period relating to noise.</p> <p>An anonymous complaint was received via email to the DPIE on the 8 May 2019. The complaint was received from the Camberwell area regarding a loud blast from a nearby coal mine at approximately 9.08am.</p> <p>The Environment and Community Manager confirmed that Ravensworth did blast that day at 9.11am. Real time data was checked and reported a blast overpressure of 105.3 dB and vibration of 0.08 m/s. This is below compliance levels.</p> <p>The wind direction at the time was from the North West (267 degrees) at a speed of 0.7m/s. Ravensworth immediately investigated</p>	Not triggered														
Location	Day	Evening	Night																											
R3 and R4 – Camberwell Village	57	47	42																											
All other privately-owned land	52	47	42																											

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> Cumulative noise is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy. For this condition to apply, the exceedance of the criteria must be systemic. 	the complaint and recorded the complaint. The complainant did not request information regarding the outcome of the investigation.		
PA22	S3 C8	<p>Operating Conditions</p> <p>The Proponent shall:</p> <p>(a) implement best practice noise management, including all reasonable and feasible noise mitigation measures to minimise the operational, low frequency and rail noise generated by the Ravensworth mine complex;</p> <p>(b) regularly assess the real-time noise monitoring and meteorological forecasting data and relocate, modify and/or suspend operations to ensure compliance with the relevant conditions of this approval; and</p> <p>(c) co-ordinate the noise management on site with the noise management at nearby mines to minimise the cumulative noise impacts of the mines, to the satisfaction of the Secretary.</p>	<p>a) Noise monitoring is completed at the closest noise-sensitive receiver to the ROC's rail spur, rail loop and loading point (Monitoring Site 7). There have been no exceedances of the noise monitoring levels with the auditing period.</p> <p>Controls implemented to control rail noise within the Ravensworth Complex and includes:</p> <ul style="list-style-type: none"> Limiting coal transport to a maximum average of 18 train movements per day; Limiting trains to 0.8 km/h while loading. The rest of the track is under ARTC control and is signposted with speed limits. <p>b) Key personnel at the ROC implement a real-time monitoring and forecasting system to assist with the management of noise levels during periods of noise-enhancing meteorological conditions.</p> <p>In the event the real-time monitoring and forecasting system predicts elevated noise levels at some receivers, the operator would prepare and possibly adjust operations to minimise noise impacts during predicted noise-enhancing meteorological conditions to ensure compliance with the relevant conditions of the project approval. These operational</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>changes can be achieved within a maximum timeframe of 75 minutes.</p> <p>The real-time directional noise monitor that is installed at the A. Bowman property (receiver ID 13), is programmed to send an SMS to key operational personnel when a trigger noise level is reached. An SMS alert is triggered based on a measured noise level, which is set at a level based on the relevant criteria or predicted noise levels at the nearby sensitive receivers. There have been no noise alerts due to noise contribution from the ROC during the auditing period.</p> <p>It was noted that the trigger noise level for the A. Bowman property (rec ID 13) is conservative as it is set to an $L_{Aeq,15min}$ of 34 dBA (i.e. 4 dB below the $L_{Aeq,15min}$ noise impact assessment criterion of 38 dBA for that receiver).</p> <p>c) If required, the surrounding mines have an existing agreement in place that they will contact the surrounding mines to co-ordinate the noise management on site to deal with cumulative noise impacts, to the satisfaction of the Secretary.</p>		
PA23	S3 C9	<p>Noise Management Plan</p> <p>The Proponent shall prepare a Noise Management Plan for the Ravensworth mine complex to the satisfaction of the Secretary. This plan must:</p> <p>(a) be prepared in consultation with EPA, and be submitted to the Secretary for approval by the end of June 2011;</p> <p>(b) describe the noise mitigation measures that would be implemented to ensure compliance with the relevant conditions of this approval, including a real-time noise</p>	<p>a) Appendix B of the management plan includes details of consultation that was undertaken with the EPA during the 2014 revision. There are letters of approval from both the EPA and Planning and Environment in Appendix B of the management plan and records of their correspondence.</p> <p>b) Section 5 of the noise management plan includes noise management controls for the open cut mine. The section includes</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>management system that employs both reactive and proactive mitigation measures; and</p> <p>(c) include a noise monitoring program that:</p> <ul style="list-style-type: none"> • uses a combination of real-time and supplementary attended monitoring measures to evaluate the performance of the Ravensworth mine complex; and • includes a protocol for determining exceedances of the relevant conditions of this approval; and <p>(d) include a protocol that has been prepared in consultation with the owners of nearby mines to minimise the cumulative noise impacts of the mines.</p> <p>The Proponent shall implement the approved management plan as approved from time to time by the Secretary.</p>	<p>design, operational and proactive noise controls.</p> <p>c) The noise monitoring program is described in section 6. This section includes the details of the monitoring sites, details of real time and attended noise monitoring. This section also includes details on how weather data will be collected. Section 6.2 includes the compliance assessment protocol. The section includes details on the steps that will be taken in the event of an exceedance of the noise levels. Section 4 also includes the allowable noise levels from mining activities at the ROC at each of the respective monitoring locations.</p> <p>Key personnel at the ROC implement a real-time monitoring and forecasting system to assist with the management of noise levels during periods of noise-enhancing meteorological conditions. In the event the real-time monitoring and forecasting system predicts elevated noise levels at some receivers, the operator would prepare and possibly adjust operations to minimise noise impacts during predicted noise-enhancing meteorological conditions to ensure compliance with the relevant conditions of the project approval. These operational changes can be achieved within a maximum timeframe of 75 minutes.</p> <p>The real-time directional noise monitor that is installed at the A. Bowman property, is programmed to send an SMS to key operational personnel when a trigger noise level is reached. An SMS alert is triggered based on a measured</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>noise level, which is set at a level based on the relevant criteria or predicted noise levels at the nearby sensitive receivers.</p> <p>d) Cumulative noise impacts are addressed in section 5.2.1. The ROC and surrounding mines will act in good faith when informed by neighbouring mines of any noise alarms at relevant locations. If required, the surrounding mines have an existing agreement in place that they will contact the surrounding mines to co-ordinate the noise management on site to deal with cumulative noise impacts, to the satisfaction of the Secretary.</p>		

BLASTING

PA24 S3 C10

Blasting Criteria

The Proponent shall ensure that blasts on site do not cause exceedances of the criteria in Table 8.

Table 8: Blasting criteria

Location	Airblast overpressure (dB(Lin Peak))	Ground vibration (mm/s)	Allowable exceedance
Residence ^a on privately owned land and Camberwell church	120	10	0%
	115	5	5% of the total number of blasts over a period of 12 months
Ravensworth Public School and Chain of Ponds Hotel	133	10	0%
Ravensworth Homestead	126	10	0%
Aboriginal axe grinding groove site (REA86)	-	^c 175	0%
1,000ML dam wall and proposed dam wall	-	^b 25	0%
Conveyors, including the Hunter Valley Operations conveyor	-	^b 100	0%
Main Northern Railway culverts and bridges	-	^b 25	0%
Transmission lines	-	^b 50	0%
Ashton underground mine	-	^b 6	0%

a) Unless otherwise agreed with the relevant owner/s of the residence, and the Proponent has advised the Department in writing of the terms of this agreement.

During 2018, all blasts were within the blasting criteria set in Table 8.

In 2019, all blasts were compliant with the blasting criteria set in Table 8.

One blast was measured at 115.3 dBL. However, it complied with 120 dBL and was below the 5% allowance. During 2019, two blasts exceeded the 100 mm/s vibration limit for conveyors:

- High vibration result recorded at the Ravensworth West monitor (closest monitor to conveyor) on 5 March 2019. The monitor which recorded the high vibration result was not representative of the conveyor location. The results were investigated by 3rd party, and a revised vibration result was produced; an
- High vibration result recorded at the Ravensworth West monitor (closest monitor to conveyor) on 13 March 2019.

Compliant

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>b) Unless otherwise agreed with the relevant infrastructure provider, owner or the regulator (in relation to the dams), and the Proponent has advised the Department in writing of the terms of this agreement.</p> <p>c) Subject to meeting incremental limits under condition 10A.</p>	<p>These extraordinary events have been omitted from the vibration results for the 2019 reporting year.</p> <p>During 2020 and the first quarter of 2021, all blasts were within the blasting criteria stipulated in Table 8.</p> <p>The current blast monitoring locations at nearby infrastructure are determined based on the blast distances to individual infrastructure and historical blast results</p> <p>Pre-blast checks are completed prior to every blast by four key personnel onsite, which includes the Environmental Team. The pre-blast check involves amongst other things reviewing weather data relevant to blast overpressure levels.</p>		
PA25	S3 C10A	<p>The Proponent shall ensure that blasts on site do not cause any exceedance of the following incremental ground vibration limits at the Aboriginal axe grinding groove site (REA86):</p> <p>(a) 60 mm/s;</p> <p>(b) 120 mm/s; and</p> <p>(c) 175 mm/s;</p> <p>without the prior approval of the Secretary.</p> <p>In seeking the Secretary's approval for an incremental increase in the ground vibration limit from (a) to (b) to (c) above, the Proponent shall provide a report prepared by a suitably qualified expert, in consultation with OEH and relevant Aboriginal groups, demonstrating that blasting at these limits is not having any discernible impact on the Aboriginal axe grinding groove site (REA86).</p>	<p>Monitoring no longer occurs at the Aboriginal axe grinding groove site (REA86) as mining is moving away from the area. Previous monitoring results recorded in 2013 indicated a maximum value of 33mm/s below the specified incremental ground vibration limits for the area.</p>	Compliant	
PA26	S3 C11	<p>Blasting Hours</p> <p>The Proponent shall only carry out blasting on site between 9am and 5pm Monday to Saturday inclusive. No blasting is allowed on Sundays, public holidays, or at any other time without the written approval of the Secretary.</p>	<p>Blasting was only carried out between 0900 hours and 1700 hours, Monday to Saturday during the audit period.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA27	S3 C12	<p>Blasting Frequency</p> <p>The Proponent may carry out a maximum of:</p> <ul style="list-style-type: none"> (d) 2 blasts a day; and (e) 10 blasts a week, <p>averaged over a 12 month period, for all open cut operations at the Ravensworth mine complex.</p> <p>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.</p> <p>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.</p>	Ravensworth was compliant with all blasting criteria and the specified limit of two blasts a day and ten blasts a week averaged over the 12-month periods during the audit period.	Compliant	
PA28	S3 C13	<p>Property Inspections</p> <p>If the Proponent receives a written request for a property inspection from the owner of any privately-owned land within 3 kilometres of any approved blasting operations, the Proponent shall:</p> <ul style="list-style-type: none"> (a) within 2 months of receiving this request commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Secretary, to: <ul style="list-style-type: none"> • establish the baseline condition of any buildings and other structures on the land; and • identify measures that should be implemented to minimise the potential blasting impacts of the project on these buildings or structures; and (b) give the landowner a copy of the property inspection report. 	There have been no written requests for a property inspection from owners of any privately-owned land within 3 kilometres of any approved blasting operations within the auditing period.	Not triggered	
PA29	S3 C14	<p>Property Investigations</p> <p>If any landowner of privately-owned land within 3 kilometres of blasting operations, or any other landowner nominated by the Secretary, claims that buildings and/or structures on his/her land have been damaged as a result</p>	There have been no written requests for a property inspection from owners of any privately-owned land within 3 kilometres of any approved blasting operations within the auditing period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>of blasting at the project, then within 2 months of receiving this request the Proponent shall:</p> <p>(a) commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Secretary, to investigate the claim; and</p> <p>(b) give the landowner a copy of the property investigation report.</p> <p>If this independent property investigation confirms the landowner's claim, and both parties agree with these findings, then the Proponent shall repair the damage to the satisfaction of the Secretary.</p> <p>If the Proponent or landowner disagrees with the findings of the independent property investigation, then either party may refer the matter to the Secretary for resolution.</p>			
PA30	S3 C15	<p>Operating Conditions</p> <p>The Proponent shall:</p> <p>(a) implement best blasting management practice to:</p> <ul style="list-style-type: none"> • protect the safety of people and livestock in the surrounding area; • protect public or private infrastructure/property in the surrounding area; and • minimise the dust and fume emissions from blasting; <p>(b) co-ordinate the blasting on site with the blasting at nearby mines to minimise the cumulative blasting impacts of the mines; and</p> <p>(c) operate a system to enable the public to get up-to-date information on the proposed blasting schedule on site, to the satisfaction of the Secretary.</p>	<p>a) Pre-blast checks are completed prior to every blast by four key personnel onsite, which includes the Environmental Team. The pre-blast check involves reviewing weather data, dust monitoring results from Campbell Village and completing a review of the Upper Hunter Air Quality Monitoring Network – map (online). Key personnel also use a meteorological forecasting tool daily to help predict potential impacts to sensitive receivers. The meteorological forecasting tool interprets daily weather patterns and provides predictions on whether local sensitive receivers will experience exceedances of the project approvals.</p> <p>Monitoring after certain blast events using a drone with a NOx monitor attached also occurs. This monitoring enables Ravensworth Complex to monitor NOx directly over any plumes created from the blast.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<ul style="list-style-type: none"> b) An email is sent to all surrounding mines of Ravensworth Operations informing them of each blast time. c) Public members can call the ROC community hotline and request information in relation to blasting. The public can also access information Ravensworth Operations website. An email is also distributed daily to the surrounding sensitive receivers detailing blast times. 		
PA31	S3 C16	<p>The Proponent shall not undertake blasting within 500 metres of:</p> <ul style="list-style-type: none"> (a) the realigned Lemington Road without the approval of Council; or (b) any land outside the site not owned by the Proponent, unless the Proponent has a written agreement with the relevant landowner to allow blasting to be carried out closer to the land, and the Proponent has advised the Department in writing of the terms of this agreement. 	<ul style="list-style-type: none"> a) Blasting has not been undertaken within 500m of Lemington Road during the audit period. b) An agreement has been in place between Ravensworth Complex and Hunter Valley Operations (HVO) to blast within 500m of their infrastructure. HVO is notified prior to any blasts that are going to be within 500m of their site / infrastructure. 	Compliant	
PA32	S3 C17	<p>Blast Management Plan</p> <p>The Proponent shall prepare a Blast Management Plan for the project to the satisfaction of the Secretary. This plan must:</p> <ul style="list-style-type: none"> (a) be prepared in consultation with EPA, and be submitted to the Secretary for approval by the end of June 2011; and (b) describe the blast mitigation measures that would be implemented to ensure compliance with the relevant conditions of this approval; (c) describe the measures that would be implemented to ensure that the public can get up-to-date information on the blasting schedule; (d) include a road closure management plan, prepared in consultation with Council; (e) include a blast monitoring program for evaluating blast-related impacts (including blast-induced seismic 	<ul style="list-style-type: none"> a) Appendix A.1 of the blast management plan includes the details of the consultation that was undertaken with EPA, Singleton Council, DSC, Ashton Coal Operations, Transgrid and DPE. Appendix A.2 includes the letter of approval from DPIE. b) Section 4 of the blast management plan includes the blast management controls. This section describes the management practices that will be implemented to reduce the risk of an exceedance. c) The public are provided with up to date information regarding the blasting schedule in accordance with the processes outlined in Section 6.2. This section describes how the public are notified prior to blasts and how the blast 	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>activity) on, and demonstrating compliance with the blasting criteria in this approval for:</p> <ul style="list-style-type: none"> • privately-owned residences and structures; • items of Aboriginal (including the REA86 axe grinding grooves) and non-indigenous cultural heritage significance; • private and publicly-owned infrastructure; and • the RUM and the Ashton underground mine; and <p>(f) include a protocol that has been prepared in consultation with the owners of nearby mines for minimising and managing cumulative blasting impacts of the mines.</p> <p>The Proponent shall implement the approved management plan as approved from time to time by the Secretary.</p> <p>Note: The Blast Management Plan should be prepared and implemented in accordance with the agreement between the Proponent and Coal & Allied as detailed in the MOD 1 EA.</p>	<p>monitoring results are made publicly available.</p> <p>d) Section 6.2 of the blast management plan details that when Lemington Road is to be closed due to blasting, it will be advertised in the Singleton Argus. Also, the proposed blasting time will be displayed on road signage in the vicinity of the ROC. There is also an internal Ravensworth RAV MIN PRO 0011 Closing Public Roads for Blasting procedure.</p> <p>e) The blast monitoring program is detailed in section 5.1 of the blast management plan. This section and figures 1 provide the details of the monitoring locations, which include privately-owned residences and structures, items of Aboriginal (including the REA86 axe grinding grooves) and non-indigenous cultural heritage significance, and privately-owned infrastructure. The tables in section 3 also describe the allowed noise and vibration levels. Results are included in monthly and quarterly reports.</p> <p>ROC held discussion and was granted approval by the NSW Dam Safety Committee to remove the blast monitors on the Narama Dam wall in February 2016 due to the proximity of blasting.</p> <p>ROC also held discussions with Transgrid and Ashton Underground Mine in March 2016 and was granted approval to remove the appropriate monitors from the electricity transmission lines and Ashton Underground due to the proximity of blasting. ROC advised DPIE on the 4 April 2016 of the agreements reached with</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			Transgrid, Dam Safety Committee and Ashton Underground. f) Section 4.2 of the blast management plan includes the details of how the ROC minimise the potential for blasting to occur simultaneously with neighbouring mines. Communication between mines is undertaken to notify of intended blast times.		
AIR QUALITY AND GREENHOUSE GAS					
PA33	S3 C18	Odour The Proponent shall ensure that no offensive odours are emitted from the site, as defined under the POEO Act, unless otherwise authorised by an EPL.	There were no complaints during the auditing period that were attributed to odour. The 2018 AQ and GHG Management Plan discusses offensive odours and their management.	Compliant	
PA34	S3 C19	Greenhouse Gas Emissions The Proponent shall implement all reasonable and feasible measures to minimise the release of greenhouse gas emissions from the site to the satisfaction of the Secretary. Note: This condition does not extend to Scope 3 emissions, as defined in the National Greenhouse Energy Reporting Guidelines.	The 2018 AQ and GHG Management Plan includes a detail section (section 4) discussing the GHG, specifically: <ul style="list-style-type: none"> Monitoring systems to assess GHG and energy use performance, Detail all reasonable and feasible measures to minimise GHG emissions, Mechanism to assess monitoring results, and Manage GHG related community complaints. The Ravensworth Complex report their GHG emissions in accordance with legislation and Glencore Coal Assets Australia requirements in their annual review. The 2020 ROC Annual Review for 2020 concludes <i>"The Scope 1 and 2 GHG emissions from the Ravensworth Complex have been estimated at the annual average of 869,681 T"</i>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																							
			CO2 -e. Actual GHG emissions for 2020 were 554,046 TC02-e which is significantly less than predicted levels.”																									
PA35	S3 C20	<p>Air Quality Criteria</p> <p>Except for the air quality-affected land referred to in Table 1, the Proponent shall ensure that all reasonable and feasible avoidance and mitigation measures are employed so that particulate matter emissions generated by the Ravensworth mine complex do not exceed the criteria listed in Tables 9, 10 or 11 at any residence on privately-owned land or on more than 25 percent of any privately-owned land.</p> <p><i>Table 9: Long term criteria for particulate matter</i></p> <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 (PM₁₀)</td><td>Annual</td><td>^a 30 µg/m³</td></tr></table> <p><i>Table 10: Short term criterion for particulate matter</i></p> <table><tr><th>Pollutant</th><th>Averaging period</th><th>^d Criterion</th></tr><tr><td>Particulate matter < 10 µm (PM₁₀)</td><td>24 hour</td><td>^a 50 µg/m³</td></tr></table> <p><i>Table 11: Long term criteria for deposited dust</i></p> <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> <p>Notes to Tables 9-11:</p> <p>a Total impact (ie. incremental increase in concentrations due to the Ravensworth mine complex plus background concentrations due to all other sources);</p> <p>b Incremental impact (ie. incremental increase in concentrations due to the Ravensworth mine complex on its own);</p> <p>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;</p> <p>d Excludes extraordinary events such as bushfires, prescribed burning, dust storms, sea fog, fire incidents,</p>	Pollutant	Averaging period	^d Criterion	Total suspended particulate (TSP) matter	Annual	^a 90 µg/m ³	Particulate matter < 10 µm (PM ₁₀)	Annual	^a 30 µg/m ³	Pollutant	Averaging period	^d Criterion	Particulate matter < 10 µm (PM ₁₀)	24 hour	^a 50 µg/m ³	Pollutant	Averaging period	Maximum increase in deposited dust level	Maximum total deposited dust level	^c Deposited dust	Annual	^b 2 g/m ² /month	^a 4 g/m ² /month	<p>The Ravensworth Complex operates two Tapered Element Oscillating Microbalance (TEOM) units, located to the south east of Narama on private property (TEOM SX45 D1) and to the north-west on Ravensworth owned land (TEOM SX45 D2).</p> <p>Dust monitoring is undertaken at eight depositional dust gauges (depositional dust), four of which are required for compliance and four for internal management purposed. There are four High Volume Air Samplers (HVAS) (TSP and PM10), three of which are used for compliance and one for internal management purposes.</p> <p>For 2020 the long term criteria for particulate matter (TSP (annual) - 90 µg/m3) and (PM10 (annual) - 30 µg/m3) are compliant. The long term criteria for dust deposition was complied with. The short term criterion for particulate matter PM10 24 hour criterion of 50 µg/m3 was exceeded 13 times at TEOM SX45 D1 and nine times at TEOM SX45 D2 during 2020.</p> <p>As summary of the PM10 dust exceedances are outlined below:</p> <p>4 exceedances of the PM10 short term criteria occurred in 2020, with a further 18 deemed extraordinary events.</p> <p>31 exceedances of the PM10 short term criteria occurred in 2019.</p>	Non-compliant	Undertake the required triennial review and update of the Air Quality and Greenhouse Gas Management Plan. Consideration for review may include the dumping and pushing of overburden in high dumps during adverse weather events and effectiveness of the dust suppression system for the dump hopper. Where changes are made this should be incorporated into training for dispatch, operators, and other relevant personnel to ensure awareness.
Pollutant	Averaging period	^d Criterion																										
Total suspended particulate (TSP) matter	Annual	^a 90 µg/m ³																										
Particulate matter < 10 µm (PM ₁₀)	Annual	^a 30 µg/m ³																										
Pollutant	Averaging period	^d Criterion																										
Particulate matter < 10 µm (PM ₁₀)	24 hour	^a 50 µg/m ³																										
Pollutant	Averaging period	Maximum increase in deposited dust level	Maximum total deposited dust level																									
^c Deposited dust	Annual	^b 2 g/m ² /month	^a 4 g/m ² /month																									

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		illegal activities or any other activity agreed by the Secretary in consultation with EPA.	<p>23 exceedances of the PM10 short term criteria occurred in 2018, with a further 9 deemed extraordinary events.</p> <p>AQ and GHG Management Plan (Compliance Assessment Protocol and Incidence Reporting) states the process to inform relevant government authorities and affected landowners. Letters documenting the exceedances and informing the relevant government authorities and landowners have been viewed as part of this audit.</p> <p>Two complaints with respect to dust from blasting were received on the 12 September 2018 and 28 August 2019 (anonymous) from Camberwell area. Responses were responded to as requested by DPIE, EPA and the 2018 AQ and GHG Management Plan.</p>		
PA36	S3 C21	<p>Air Quality Acquisition Criteria</p> <p>If particulate matter emissions generated by the Ravensworth mine complex exceed the criteria in Tables 12, 13, and 14 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 Proponent shall acquire the land in accordance with the procedures in conditions 6-7 of schedule 4.</p>	There have been no written requests during the audit period for acquisition from local landowners that are privately owned in regard to air quality.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																										
<div>Table 12: Long term acquisition criteria for particulate matter</div> <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 (PM₁₀)</td><td>Annual</td><td>^a 30 µg/m³</td></tr></table> <div>Table 13: Short term acquisition criteria for particulate matter</div> <table><tr><th>Pollutant</th><th>Averaging period</th><th>^d Criterion</th></tr><tr><td>Particulate matter < 10 µm (PM₁₀)</td><td>24 hour</td><td>^a 150 µg/m³</td></tr><tr><td>Particulate matter < 10 µm (PM₁₀)</td><td>24 hour</td><td>^b 50 µg/m³</td></tr></table> <div>Table 14: Long term acquisition criteria for deposited dust</div> <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> <p>Notes to Tables 12-14:</p> <p>a Total impact (ie. incremental increase in concentrations due to the Ravensworth mine complex plus background concentrations due to all other sources);</p> <p>b Incremental impact (ie. incremental increase in concentrations due to the Ravensworth mine complex on its own);</p> <p>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;</p> <p>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 in consultation with EPA.</p>						Pollutant	Averaging period	^d Criterion	Total suspended particulate (TSP) matter	Annual	^a 90 µg/m ³	Particulate matter < 10 µm (PM ₁₀)	Annual	^a 30 µg/m ³	Pollutant	Averaging period	^d Criterion	Particulate matter < 10 µm (PM ₁₀)	24 hour	^a 150 µg/m ³	Particulate matter < 10 µm (PM ₁₀)	24 hour	^b 50 µg/m ³	Pollutant	Averaging period	Maximum increase in deposited dust level	Maximum total deposited dust level	^c Deposited dust	Annual	^b 2 g/m ² /month	^a 4 g/m ² /month
Pollutant	Averaging period	^d Criterion																													
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Pollutant	Averaging period	Maximum increase in deposited dust level	Maximum total deposited dust level																												
^c Deposited dust	Annual	^b 2 g/m ² /month	^a 4 g/m ² /month																												
PA37	S3 C22	<p>Additional Air Quality Mitigation Measures</p> <p>Upon receiving a written request from the owner of any residences:</p> <p>(a) on the air quality-affected land listed in Table 1;</p> <p>(b) on the land listed in Table 15; or</p> <p>(c) on any other privately-owned land where subsequent air quality monitoring shows the dust generated by the Ravensworth mine complex exceeds the air quality limits in Tables 9, 10 or 11 on a systemic basis,</p>	No requests made for additional dust mitigation measures made by landowners during the audit period.	Not triggered																											

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations						
		<p>the Proponent shall implement additional reasonable and feasible dust mitigation measures (such as a first-flush roof system, internal or external air filters and/or air conditioning) at the residence in consultation with the owner.</p> <p>If within 3 months of receiving this request from the owner, the Proponent and the owner 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.</p> <p><i>Table 15: Land subject to additional air quality mitigation upon request</i></p> <table><tr><th>Receiver No.</th><th>Receiver</th></tr><tr><td>6C</td><td>Moxey</td></tr><tr><td>13</td><td>A Bowman</td></tr></table> <p>Notes:</p> <ul style="list-style-type: none">• To interpret the locations referred to in Table 15, see the applicable figure in Appendix 5.• For this condition to apply, the exceedance of the criteria must be systemic.	Receiver No.	Receiver	6C	Moxey	13	A Bowman			
Receiver No.	Receiver										
6C	Moxey										
13	A Bowman										
PA38	S3 C23	<p>Operating Conditions</p> <p>The Proponent shall:</p> <p>(a) implement best practice air quality management, including all reasonable and feasible measures to minimise off-site odour, fume and dust emissions generated by the Ravensworth mine complex, including those generated by any spontaneous combustion;</p> <p>(b) minimise any visible off-site air pollution generated by the Ravensworth mine complex;</p> <p>(c) regularly assess the real-time air quality monitoring and meteorological forecasting data and relocate, modify and/or suspend operations to ensure compliance with the relevant conditions of this approval; and</p> <p>(d) co-ordinate air quality management on site with the air quality management at nearby mines to minimise the cumulative air quality impacts of the mines, to the satisfaction of the Secretary.</p>	<p>The approved Air Quality and Greenhouse Gas Management Plan discusses:</p> <ul style="list-style-type: none">• Implementation of best practice air quality management, including all reasonable and feasible measures to minimise off-site odour, fume and dust emissions; (Section 3.3.10 and Section 3.3.11)• minimise any visible off-site air pollution (Section 3.3.12);• real-time air quality monitoring and meteorological forecasting data (Section 3.4, 3.5, 3.6); and• co-ordinate air quality management on site with the air quality management at nearby mines. (The co-ordination of air quality	Compliant							

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			management between mines is done through the Inter-mine Environmental Interaction Meeting. The following mines attended the meetings: Rix Creek, Ashton, Wambo, Integra, Ravensworth and Mt Owen/Glendell.)		
PA39	S3 C24	Air Quality and Greenhouse Gas Management Plan The Proponent shall prepare an Air Quality and Greenhouse Gas Management Plan for the Ravensworth mine complex to the satisfaction of the Secretary. This plan must: (a) be prepared in consultation with EPA, and be submitted to the Secretary for approval by the end of June 2011; (b) describe the measures that would be implemented to ensure compliance with the relevant conditions of this approval, including a real-time air quality management system that employs both reactive and proactive mitigation measures; (c) include an air quality monitoring program that: • uses a combination of real-time monitors, high volume samplers and dust deposition gauges to evaluate the performance of the Ravensworth mine complex; and • includes a protocol for determining exceedances of the relevant conditions of this approval; and (d) include a protocol that has been prepared in consultation with the owners of nearby mines to minimise the cumulative air quality impacts of the mines. The Proponent shall implement the approved management plan as approved from time to time by the Secretary.	The AQ and GHG Management Plan (RAV SD PLN 0067) has been prepared in consultation with the EPA and approved by the Secretary. The other requirements (b and c) are met by the AQ and GHG Management Plan (RAV SD PLN 0067) and the Environmental Trigger Action Response Plan. In relation to (d), (The co-ordination of air quality management between mines is done through the Inter-mine Environmental Interaction Meeting.	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
METEOROLOGICAL MONITORING					
PA40	S3 C25	<p>During the life of the project, the Proponent shall ensure that there is a suitable meteorological station in the vicinity of the site that:</p> <p>(a) complies with the requirements in the Approved Methods for Sampling of Air Pollutants in New South Wales guideline; and</p> <p>(b) is capable of continuous real-time measurement of temperature lapse rate in accordance with the NSW Industrial Noise Policy, or as otherwise approved by EPA.</p>	<p>One meteorological station operated on site during the audit period.</p> <p>The Ravensworth Complex has a weather station onsite to measure atmospheric conditions, including wind speed, wind direction, sigma-theta, humidity, rainfall and temperature in accordance with EPL 2652.</p> <p>The on-site meteorological monitoring station is capable of continuous real-time measurement of wind speed, wind direction and sigma-theta (wind direction) at 10 m above ground. From this, vertical temperature gradient can be determined using the sigma-theta method approved by EPA and DPIE and outlined in the NSW Industrial Noise Policy and the Noise Management Plan.</p> <p>The location presented in the AQ and GHG Management Plan is not consistent with EPL 2652.</p>	Compliant	The AQ and GHG Management Plan should be revised to include the correct location of the meteorological station.
SOIL AND WATER					
PA41	S3 C26	<p>Water Supply</p> <p>The Proponent shall ensure that it has sufficient water for all stages of the project, and if necessary, adjust the scale of mining operations to match its available water supply, to the satisfaction of the Secretary.</p> <p>Note: The Proponent is required to obtain all necessary water licences and approvals for the project under the Water Act 1912 and/or Water Management Act 2000.</p>	<p>A water balance model is used at Ravensworth Complex to determine the water volume requirements over the lifetime of the mine. A number of flow meters installed across the operation, located on both permanent and temporary infrastructure. The data from the flow meters is used to report on water sourced and used onsite using the Water Accounting Framework (WAF) and is reported to GCAA on a monthly basis and is also used in the preparation of the site water balance.</p> <p>Water supply has not been an issue over the audit period with no need for adjustment of the scale of the mining operation.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA42	S3 C27	<p>Baseflow Offsets</p> <p>The Proponent shall offset the loss of any baseflow to the surrounding watercourses and/or associated creeks caused by the project to the satisfaction of the Secretary.</p> <p>Notes:</p> <ul style="list-style-type: none"> • This condition does not apply in the case of losses of baseflow which are negligible. • Offsets should be provided via the retirement of adequate water entitlements to account for the loss attributable to the project. • The Proponent is not required to provide additional baseflow offsets where such offsets have already been provided under previous consents or approvals for the mine complex. These existing offsets are to be described and evaluated in the Surface and Ground Water Response Plan (see below). 	<p>A baseflow assessment of Emu, Davis and Bayswater Creeks was completed by AECOM in 2012. The assessment found that Pre-mining groundwater baseflows for Emu Creek have been assessed as being far lower (<0.01 ML/day) than those in Bayswater Creek (0.33 ML/day). Given that baseflows have previously been estimated at approximately 3% of estimated Bayswater Creek baseflow, groundwater baseflow contribution from Emu Creek to Bayswater Creek could be considered to be negligible.</p> <p>AECOM found through installing loggers in each stream that that offsets for the loss of baseflow in Emu Creek, Davis Creek and Bayswater Creek in the form of retirement of water entitlements should not be required based on the current proposal to allow the residual Emu Creek catchment to drain to the Ravensworth pit.</p>	Compliant	
PA43	S3 C28	<p>Compensatory Water Supply</p> <p>The Proponent shall provide compensatory water supply to any landowner of privately-owned land whose water entitlements are adversely and directly impacted (other than an impact that is negligible) as a result of the project, in consultation with DPI – Water, and to the satisfaction of the Secretary.</p> <p>The compensatory water supply measures must provide an alternative long-term supply of water that is equivalent to the loss attributed to the project. Equivalent water supply should be provided (at least on an interim basis) within 24 hours of the loss being identified.</p> <p>If the Proponent 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.</p>	<p>No impacts to privately-owned land water entitlements have occurred during the audit period. As such the requirement of compensatory water supplies have not been required.</p>	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		If the Proponent is unable to provide an alternative long-term supply of water, then the Proponent shall provide alternative compensation to the satisfaction of the Secretary.			
PA44	S3 C29	Surface Water Discharges The Proponent shall ensure that all surface water discharges from the site comply with the: (a) discharge limits (both volume and quality) set for the project in any EPL; or (b) relevant provisions of the POEO Act or Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002.	One (1) discharge occurred in March 2021 from the Narama In-Pit Storage Dam during the audit period as noted in the Annual Returns. a) Discharge limits (both volume and quality) were within the limits set under EPL_2652: - Point 2 refers to the Discharge distilling basin, this point was sampled daily (grab sample) during discharge and sent for lab analysis, in field measurements also collected. - pH and TSS were obtained via grab sampling under the EPL - all results were within compliance. - All discharges from 20/03/2021 to 23/03/2021 did not exceed the volume/mass limit of 400 ML/day, specified for discharge Point 2.	Compliant	
PA45	S3 C30	Emu Creek and Bayswater Creek Diversions The Proponent shall: (a) carry out the diversion of Emu Creek to the satisfaction of the Secretary; (b) submit an as-executed report to the Secretary and DPI – Water, certified by a practising engineer, confirming that the Emu Creek diversion is sufficiently hydraulically and geomorphologically stable, prior to commissioning the diversion; (c) reinstate Emu Creek generally in accordance with the concept design outlined in the EA (as depicted in the figure in Appendix 7) and minimising net loss of stream length, as soon as practicable following mining and	Emu Creek still subject to mining works. Reinstatement has not yet been triggered.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>rehabilitation in the applicable area, to the satisfaction of the Secretary;</p> <p>(d) rehabilitate and revegetate the Bayswater Creek diversion to provide a hydraulically and geomorphically stable stream as soon as practicable following mining and rehabilitation in the applicable area, to the satisfaction of the Secretary; and</p> <p>(e) submit as-executed reports to the Secretary and DPI – Water, certified by a practising engineer, confirming that the reinstated/rehabilitated Emu Creek and Bayswater Creek are sufficiently hydraulically and geomorphologically stable, prior to commissioning the reinstated/rehabilitated creeks.</p>			
PA46	S3 C31	<p>Water Management Plan</p> <p>The Proponent shall prepare a Water Management Plan for the Ravensworth mine complex to the satisfaction of the Secretary. This plan must be prepared in consultation with EPA, DPI – Water and DRE and be submitted to the Secretary for approval by the end of June 2011. The plan must include:</p> <p>(a) a Site Water Balance, which must:</p> <ul style="list-style-type: none"> include details of: sources and security of water supply; water use on site; water management on site; any off-site water transfers; and investigate and implement all reasonable and feasible measures to minimise water use by the Ravensworth mine complex; <p>(b) a Creek Diversion Management Plan, which must include:</p> <ul style="list-style-type: none"> a vision statement for the Emu Creek and Bayswater Creek diversions; 	<p>The Ravensworth Complex Water Management Plan (RAVCX-307024981-4592) was approved by the Secretary in 2019.</p> <p>The rehabilitation components of this condition are not yet triggered.</p> <p>a) The water balance is located in Section 4 of the WMP and includes details of the sources of water supply, water demands and losses, water efficiency, water transfer and disposal, and future water balance.</p> <p>b) The Creek Diversion Management Plan (CDMP) is located in Appendix B and is outlined in Section 3.9 of the WMP. The CDMP covers the points listed in the condition.</p> <p>c) Erosion and Sediment Control is addressed in Section 5 of the WMP. Section 5.1, 5.2, and 5.3 identify activities that could cause soil erosion, generate sediment, or affect flooding. Section 5.4 and 5.5 outline the measures to minimise soil erosion and the potential for the transport of sediment to downstream</p>	Compliant	It is recommended that the WMP cover page be updated with the status of the plan as “Approved” with the document effective date and review date also included.

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> an assessment of the water quality, ecological, hydrological and geomorphic baseline conditions within each creek; the detailed design specifications for the creek relocations/rehabilitation; a construction program for the creek relocations/rehabilitation, describing how the work would be staged, and integrated with mining operations; a revegetation program for the relocated/rehabilitated creeks using a range of suitable native species; water quality, ecological, hydrological and geomorphic performance and completion criteria for the creek relocations/rehabilitation based on the assessment of baseline conditions; and a program to monitor and maintain the water quality, ecological, hydrological and geomorphic integrity of the creek relocations/rehabilitation; <p>(c) an Erosion and Sediment Control Plan, which must:</p> <ul style="list-style-type: none"> identify activities that could cause soil erosion, generate sediment or affect flooding; describe measures to minimise soil erosion and the potential for the transport of sediment to downstream waters, and manage flood risk; describe the location, function, and capacity of erosion and sediment control structures and flood management structures; and describe what measures would be implemented to maintain the structures over time; <p>(d) a Surface Water Management Plan, which must include:</p> <ul style="list-style-type: none"> detailed baseline data on surface water flows and quality in creeks and other waterbodies that could potentially be affected by the project; 	<p>waters and manage flood risk. Section 5.6 and 5.7 describe the location, function, and capacity of erosion and sediment control structures and flood management structures. Appendix C, D, and E describe the measures implemented to maintain the structures over time.</p> <p>d) Baseline data related to the Surface Water monitoring programs is included in Appendix E. Sections 6.1 and 6.2 include the surface water and stream health impact assessment criteria along with associated monitoring programs.</p> <p>e) Baseline data related to the Groundwater monitoring programs is included in Appendix E. Section 6.5 includes groundwater impact assessment criteria including trigger levels for investigating any potentially adverse groundwater impacts. Section 6.5 outlines the groundwater monitoring program.</p> <p>f) A Surface and Ground Water Response Plan is outlined in the Trigger Action Response Plan (TARP) in Section 7.</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> • surface water and stream health impact assessment criteria including trigger levels for investigating any potentially adverse surface water impacts; • a program to monitor and assess: • surface water flows and quality; • impacts on water users; • stream health; and • channel stability; <p>(e) a Groundwater Management Plan, which must include:</p> <ul style="list-style-type: none"> • detailed baseline data of groundwater levels, yield and quality in the region, and privately-owned groundwater bores, that could be affected by the project; • groundwater impact assessment criteria including trigger levels for investigating any potentially adverse groundwater impacts; • a program to monitor and assess: • groundwater inflows to the mining operations; • impacts on regional aquifers; • impacts on the groundwater supply of potentially affected landowners; • impacts on the Hunter River, Bayswater Creek and Bowmans Creek alluvial aquifers; and • impacts on any groundwater dependent ecosystems and riparian vegetation; <p>(f) a Surface and Ground Water Response Plan, which must include:</p> <ul style="list-style-type: none"> • a response protocol for any exceedances of the surface water and groundwater assessment criteria; • measures to offset the loss of any baseflow to watercourses caused by the project; • measures to prevent, minimise or offset groundwater leakage from alluvial aquifers caused by the project, 			

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																					
		<p>particularly when mining within 150 metres of any such alluvials (see Appendix 6);</p> <ul style="list-style-type: none">measures to compensate landowners of privately-owned land whose water supply is adversely affected by the project; andmeasures to mitigate and/or offset any adverse impacts on groundwater dependent ecosystems or riparian vegetation. <p>The Proponent shall implement the approved management plan as approved from time to time by the Secretary.</p>																								
BIODIVERSITY																										
PA47	S3 C32	<p>Biodiversity Offsets</p> <p>The Proponent shall implement the biodiversity offset strategy as outlined in Table 16 and as generally described in the EA (and shown conceptually in Appendix 7), to the satisfaction of the Secretary.</p> <p><i>Table 16: Biodiversity Offset Strategy</i></p> <table><tr><th>Area</th><th>Offset Type</th><th>Minimum Size (hectares)</th></tr><tr><td>Ravensworth North Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>284</td></tr><tr><td>Hillcrest Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>1,402</td></tr><tr><td>Clifton Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>107</td></tr><tr><td>Stewart Offset Area</td><td>Existing vegetation and vegetation to be established</td><td>165</td></tr><tr><td>Rehabilitation Area</td><td>Woodland vegetation to be established</td><td>1,767</td></tr><tr><td>Total</td><td></td><td>3,725</td></tr></table>	Area	Offset Type	Minimum Size (hectares)	Ravensworth North Offset Area	Existing vegetation and vegetation to be established	284	Hillcrest Offset Area	Existing vegetation and vegetation to be established	1,402	Clifton Offset Area	Existing vegetation and vegetation to be established	107	Stewart Offset Area	Existing vegetation and vegetation to be established	165	Rehabilitation Area	Woodland vegetation to be established	1,767	Total		3,725	<p>The biodiversity offset requirements are managed through the Offset Area Management Programme dated 2019 (RAVOC-1007099517-20).</p> <p>Annual biodiversity monitoring is completed by qualified and accredited ecologists to determine compliance with project approvals and Offset Area Management Programme. Results from the biodiversity monitoring are reported in the Annual Reviews.</p> <p>Discrepancies in the overall size of the Ravensworth Biodiversity Offset Areas were identified in 2020 following detailed ground surveys. The surveys identified that three (3) of the four (4) Biodiversity Offset Areas are smaller than the minimum areas required. These include Hillcrest, Clifton, and Stewart.</p> <p>The Department was notified on 6 January 2021 of the discrepancy. Ravensworth Complex are currently investigating options to increase their biodiversity offsets to meet the minimum sizes outlined in the condition.</p> <p>Offset Area Management Programme (2019 – 2022) sited and reviewed. Evidence of</p>	Non-compliant	<p>It is recommended a review of crown roads status in Offset Areas be undertaken and either close roads or seek modification to Project Approval. 09_0176.</p>
Area	Offset Type	Minimum Size (hectares)																								
Ravensworth North Offset Area	Existing vegetation and vegetation to be established	284																								
Hillcrest Offset Area	Existing vegetation and vegetation to be established	1,402																								
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Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			implementation of this plan was presented including maintenance (weed spraying).		
PA48	S3 C33	<p>The Proponent shall ensure that the offset strategy and/or rehabilitation strategy is focused on the re-establishment of:</p> <p>(a) significant and/or threatened plant communities, including:</p> <ul style="list-style-type: none"> • Central Hunter Grey Box – Ironbark Woodland; • Central Hunter Ironbark – Spotted Gum – Grey Box Forest; • River-flat Eucalypt Forest; • Hunter Floodplain Red Gum Woodland Complex; <p>(b) significant and/or threatened plant species, including:</p> <ul style="list-style-type: none"> • Lobed Blue-grass (<i>Bothriochloa biloba</i>); • Weeping Myall (<i>Acacia pendula</i>); • River Red Gum (<i>Eucalyptus camaldulensis</i>); and <p>(c) habitat for significant and/or threatened animal species, including:</p> <ul style="list-style-type: none"> • Green and Golden Bell Frog (<i>Litoria aurea</i>). 	<p>Offset Area Management Programme dated 2019 (RAVOC-1007099517-20).</p> <p>Annual Monitoring evidence presented: Koru Rehab Monitoring reports 2018 and 2020. Reference site monitoring ERR. Also the overall monitoring program was reviewed by CMLR 23 December 2019. Species list reviewed and include the required list of target species.</p> <p>The Offset and Green and Golden Bell Frog Management Plan for Ravensworth Mine Complex has been developed and is being implemented to address the conditions of this approval.</p> <p>Section 6.3 includes representative communities of each of the offset areas. The biodiversity management plan includes further details on the Central Hunter Grey Box - Ironbark Woodland and Hunter Floodplain Red Gum being used as part of the rehabilitation of the mine complex.</p> <p>Section 6.5 includes the details of how Lobed Blue-grass (<i>Bothriochloa biloba</i>), Weeping Myall (<i>Acacia pendula</i>) and the River Red Gum (<i>Eucalyptus camaldutensis</i>) will be naturally regenerated.</p> <p>Habitats for significant and/or threatened animal species are address throughout the Offset and Green and Golden Bell Frog Management Plan for Ravensworth Mine Complex.</p>	Compliant	
PA49	S3 C34	By the end of December 2025, unless otherwise agreed by the Secretary, the Proponent shall undertake an independent audit of the Central Hunter Grey Box –	Not triggered during the audit period. Likely to be triggered in next audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>Ironbark Woodland EEC revegetation in the rehabilitation area, to the satisfaction of the Secretary. The audit shall:</p> <ul style="list-style-type: none"> (a) be conducted by a suitably qualified, experienced and independent ecologist whose appointment has been endorsed by the Secretary; (b) include consultation with OEH; (c) assess the performance of the Central Hunter Grey Box – Ironbark Woodland EEC revegetation in the rehabilitation area completed to date against the completion criteria in the Rehabilitation Management Plan; (d) identify any measures that should be implemented to improve the performance of the rehabilitation; and (e) if the completion criteria have not been met, or are not adequately trending towards being met, determine the likely ecological value of the rehabilitation once completed, and recommend additional measures to augment the offset strategy to ensure that it adequately offsets the project's impacts on the Central Hunter Grey Box – Ironbark Woodland EEC. <p>If the audit recommends additional measures to augment the offset strategy in accordance with (e) above, then within 6 months of the completion of the audit the Proponent shall revise the offset strategy, in consultation with OEH, and to the satisfaction of the Secretary.</p> <p>Notes:</p> <ul style="list-style-type: none"> • The audit should be combined with the independent environmental audit (see condition 8 of schedule 5). • For the purposes of this condition Central Hunter Grey Box – Ironbark Woodland EEC refers to the community as defined under the Threatened Species Conservation Act 1995 as at the date of the approval. 			
PA50	S3 C35	<p>Long Term Security of Offsets</p> <p>The Proponent shall make suitable arrangements to provide appropriate long term security for the:</p>	Ravensworth Operations now owns and manages the offset areas at Ravensworth North, Hillcrest, Clifton and Stewart. These	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(a) Ravensworth North Offset Area and Hillcrest Offset Area, by the end of December 2011;</p> <p>(b) Clifton Offset Area and Stewart Offset Area, by the end of December 2013; and</p> <p>(c) Woodland vegetation to be established in the Rehabilitation Area, at least 2 years prior to the completion of mining activities associated with the project, to the satisfaction of the Secretary.</p>	<p>were purchased by Ravensworth operations to secure their long-term security.</p> <p>The woodland vegetation condition has not been triggered as part of this audit period, however, it was observed that rehabilitation was observed to be heading towards this target.</p>		
PA51	S3 C36	<p>Hunter Ironbark Research Program</p> <p>The Proponent shall prepare and implement a Hunter Ironbark Research Program for the project to the satisfaction of the Secretary. This program must:</p> <p>(a) be prepared in consultation with OEH, and be submitted to the Secretary for approval by the end of December 2011;</p> <p>(b) be directed at encouraging research into the mapping and recovery of EECs affected by the project, particularly:</p> <ul style="list-style-type: none"> Central Hunter Grey Box – Ironbark Woodland EEC; and Central Hunter Ironbark – Spotted Gum – Grey Box Forest EEC. 	<p>The Hunter Ironbark Research program was completed in 2016 and is outside of audit period.</p>	Not triggered	
PA52	S3 C37	<p>The Proponent shall allocate at least \$200,000 towards the preparation and implementation of the Hunter Ironbark Research Program identified above, and obtain the Secretary's approval for allocation of funding under the program.</p>	<p>The Hunter Ironbark Research program was completed in 2016 and is outside of audit period.</p>	Not triggered	
PA53	S3 C38	<p>Biodiversity Management Plan</p> <p>The Proponent shall prepare a Biodiversity Management Plan for the project to the satisfaction of the Secretary. This plan must:</p> <p>(a) be prepared in consultation with OEH, DPI – Water and Council, and be submitted to the Secretary for approval by the end of December 2011;</p>	<p>a) The Ravensworth Biodiversity Management Plan (RAVOC-1007099517-20) has been approved by the Department and was completed in consultation with NSW Office of Water (NOW), Singleton Council (SC), Environment Protection Authority (EPA) and Office of Environment and Heritage (OEH). Evidence of consultation is outlined in Section 14 of the BMP.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(b) describe how the implementation of the offset strategy would be integrated with the overall rehabilitation of the site (see below);</p> <p>(c) include:</p> <ul style="list-style-type: none"> a description of the short, medium, and long term measures that would be implemented to: <ul style="list-style-type: none"> implement the offset strategy; and manage the remnant vegetation and habitat on the site and in the offset areas; detailed performance and completion criteria for implementation of the offset strategy; a detailed description of the measures that would be implemented over the next 3 years, including the procedures to be implemented for: <ul style="list-style-type: none"> implementing revegetation and regeneration within the disturbance areas and offset areas, including establishment of canopy, sub-canopy (if relevant), understorey and ground strata; maximising salvage and beneficial use of resources in areas that are to be impacted, including vegetative, soil and cultural heritage resources; protecting vegetation and soil outside the disturbance areas; rehabilitating creeks and drainage lines on the site (both inside and outside the disturbance areas), to minimise net loss of stream length and aquatic habitat; managing salinity; conserving and reusing topsoil; undertaking pre-clearance surveys; managing impacts on fauna; landscaping the site and along public roads to minimise visual and lighting impacts, including 	<p>b) Section 7.9 describes how the implementation of the offset strategy would be integrated with the overall rehabilitation of the site. Additional details of rehabilitation are outlined in the Ravensworth Mining Operations Plan (RAVCX-1962359669-15).</p> <p>c) A description of the short, medium, and long term measures that would be implemented is outlined in Section 4, 5, and 7.</p> <p>A program to monitor the effectiveness of these measures, and progress against the performance and completion criteria is outlined in Section 6.</p> <p>A description of the potential risks to successful revegetation, and a description of the contingency measures that would be implemented to mitigate these risks is outlined in Section 8.4.</p> <p>Details of who is responsible for monitoring, reviewing, and implementing the plan is outlined in Section 2.5.</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>along the New England Highway and the realigned Lemington Road;</p> <ul style="list-style-type: none"> o collecting and propagating seed; o salvaging and reusing material from the site for habitat enhancement; o salvaging, transplanting and/or propagating threatened flora and native grassland; o controlling weeds and feral pests; o managing grazing and agriculture on site and in the offset areas; o controlling access; and o bushfire management; <ul style="list-style-type: none"> • a program to monitor the effectiveness of these measures, and progress against the performance and completion criteria; • a description of the potential risks to successful revegetation, and a description of the contingency measures that would be implemented to mitigate these risks; and • details of who would be responsible for monitoring, reviewing, and implementing the plan. <p>The Proponent shall implement the approved management plan as approved from time to time by the Secretary.</p>			
PA54	S3 C38A	<p>Compensatory Planting</p> <p>The Proponent shall plant and maintain, until established, 10 River Oak trees for every established River Oak tree removed during construction of the tailings pipeline under MOD 3.</p> <p>Note: An established River Oak tree is considered to be two metres or greater in height.</p>	This condition was not triggered as the alignment of the tailing pipeline did not require the remove of any River Oak Trees.	Not triggered	
PA55	S3 C39	<p>Conservation Bond</p> <p>Within 6 months of the approval of the Biodiversity Management Plan (see above), the Proponent shall lodge a conservation bond with the Department to ensure that</p>	<p>DPIE requires that the conservation bond be reviewed every 3 years.</p> <p>a) Evidence provided for approval of calculations by DPIE for the lodgement of</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations				
		<p>the offset strategy is implemented in accordance with the performance and completion criteria of the Biodiversity Management Plan.</p> <p>The sum of the bond shall be determined by:</p> <p>(a) calculating the full cost of implementing the offset strategy (other than land acquisition costs); and</p> <p>(b) employing a suitably qualified quantity surveyor to verify the calculated costs.</p> <p>If the offset strategy is completed generally in accordance with the completion criteria in the Biodiversity Management Plan (see condition 38) to the satisfaction of the Secretary, the Secretary will release the bond.</p> <p>If the offset strategy is not completed generally in accordance with the completion criteria in the Biodiversity Management Plan, the Secretary will call in all or part of the conservation bond, and arrange for the satisfactory completion of the relevant works.</p> <p>With the agreement of the Secretary, this bond may be combined with the rehabilitation securities administered by the Minister for Mineral Resources.</p>	<p>Conservation Bond in 2013 for a value of \$2,706,000. Additional calculations were reviewed and approved by DPIE in 2017 for a value of \$2,774,888. Bank guarantees sighted for a total Conservation Bond value of \$5,480.888.</p> <p>b) A suitably qualified quantity surveyor was not required to verify the calculated costs. Eco Logical Australia (ELA) was engaged to undertake an independent review and verification of the Conservation Bond which included the implementation of the Biodiversity Management Plan (BMP) across four offset areas, namely Hillcrest, Ravensworth North, Clifton and Stewart in accordance with the PA. The independent review confirmed that the total estimation of \$5,480,888 satisfactorily covers the implementation of the BMP for the life of mine (2017 to 2039).</p>						
REHABILITATION									
PA56	S3 C40	<p>Rehabilitation Objectives</p> <p>The Proponent shall:</p> <p>(a) carry out rehabilitation progressively, that is, as soon as reasonably practicable following disturbance; and</p> <p>(b) achieve the rehabilitation objectives described in the EA and the MOD 2 EA (depicted conceptually in the figures in Appendix 7), and comply with the objectives in Table 17.</p> <table><thead><tr><th>Feature</th><th>Objective</th></tr></thead><tbody><tr><td>Mine site (as a whole)</td><td><ul style="list-style-type: none">Safe, stable and non-polluting.Final landforms to:<ul style="list-style-type: none">be designed to minimise the visual impacts of the development;be in keeping with the natural terrain features of the area;incorporate micro-relief;be free draining (with the exception of the final void); andavoid straight run drainage drop structures, as far as practical.</td></tr></tbody></table>	Feature	Objective	Mine site (as a whole)	<ul style="list-style-type: none">Safe, stable and non-polluting.Final landforms to:<ul style="list-style-type: none">be designed to minimise the visual impacts of the development;be in keeping with the natural terrain features of the area;incorporate micro-relief;be free draining (with the exception of the final void); andavoid straight run drainage drop structures, as far as practical.	<p>Various areas of rehabilitation were inspected during the site visit. It was noted that rehabilitation was undertaken progressively and in full accordance with the MOP. Whilst the achievement of rehabilitation outcomes condition is considered 'Not Triggered' it was observed through visual inspection and review of rehabilitation monitoring and maintenance reports that rehabilitation is on a trajectory for compliance in the future.</p> <p>Landform design has integrated geomorphic concepts into existing contoured/simple slope designs. These designs appeared stable following significant rain events of the last year and a half. Evidence of erosion was minimal,</p>	Compliant	
Feature	Objective								
Mine site (as a whole)	<ul style="list-style-type: none">Safe, stable and non-polluting.Final landforms to:<ul style="list-style-type: none">be designed to minimise the visual impacts of the development;be in keeping with the natural terrain features of the area;incorporate micro-relief;be free draining (with the exception of the final void); andavoid straight run drainage drop structures, as far as practical.								

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations								
		<table><tr><td>Final void</td><td><ul style="list-style-type: none">Designed as a long term groundwater sink and to maximise groundwater flows across back-filled pits to the final void.Minimise:<ul style="list-style-type: none">the size and depth of final void;the drainage catchment of final void; andany high wall instability risk .</td></tr><tr><td>Revegetation</td><td><ul style="list-style-type: none">Restore self-sustaining ecosystems, including establishing at least 1,767 ha of woodland vegetation in accordance with the biodiversity offset strategy in this approval.</td></tr><tr><td>Surface infrastructure</td><td><ul style="list-style-type: none">To be decommissioned and removed, unless DRE agrees otherwise</td></tr><tr><td>Community</td><td><ul style="list-style-type: none">Ensure public safetyMinimise the adverse socio-economic effects associated with mine closure</td></tr></table>	Final void	<ul style="list-style-type: none">Designed as a long term groundwater sink and to maximise groundwater flows across back-filled pits to the final void.Minimise:<ul style="list-style-type: none">the size and depth of final void;the drainage catchment of final void; andany high wall instability risk .	Revegetation	<ul style="list-style-type: none">Restore self-sustaining ecosystems, including establishing at least 1,767 ha of woodland vegetation in accordance with the biodiversity offset strategy in this approval.	Surface infrastructure	<ul style="list-style-type: none">To be decommissioned and removed, unless DRE agrees otherwise	Community	<ul style="list-style-type: none">Ensure public safetyMinimise the adverse socio-economic effects associated with mine closure	<p>and recent reports indicate most rills/gullies were stabilised. Final slopes were confirmed to be up to 14 degrees. Ground preparation included deep ripping along contours which further assisted in stabilising the surface material. There were no straight line drop structures with existing contours wrapping around to low grade drainage lines at the toe of the dumps.</p> <p>Rehabilitation areas were seen to have minimal weed presence with areas of treatment (spraying) indicating active management.</p> <p>Vegetation establishment appeared successful in the areas inspected. Where patches of vegetation were impacted by erosion, repair of this erosion and re-planting has been undertaken. There was diversity in target tree species with understorey and lower level shrubs to be targeted as rehabilitation develops. Vegetation health was high following above average rainfall this year.</p> <p>Overall soil management was of high standard with pre strip soil mapping and lab testing undertaken well ahead of time to plan for amelioration and stripping depths. Soil stockpiles were <3m and signposted. Rehabilitation of stockpiles were observed to include a cover crop for short term and final rehabilitation species mix for longer term stockpiles, which is considered best practice.</p>		
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PA57	S3 C41	Rehabilitation Management Plan The Proponent shall prepare a Rehabilitation Management Plan for the project to the satisfaction of the DRE. This plan must: (a) be prepared in consultation with the Department, OEH, EPA, DPI – Water, Council and the CCC, and be	The Mining Operations Plan details the requirements of the Rehabilitation Management Plan conditions. The MOP has had several revisions with the latest covering 2021-2023.	Compliant	It is recommended that the MOP cover page be updated with the status of the plan as “Approved” and the latest Resource Regulator approval letter included as an Appendix.								

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>submitted to the DRE for approval by the end of June 2011;</p> <p>(b) be prepared in accordance with any relevant DRE guideline, and be consistent with the rehabilitation objectives in the EA and Table 17 above;</p> <p>(c) build, to the maximum extent practicable, on the other management plans required under this approval; and</p> <p>(d) address all aspects of rehabilitation and mine closure, including final land use assessment, rehabilitation objectives, domain objectives, completion criteria and rehabilitation monitoring, and include:</p> <ul style="list-style-type: none"> an evaluation of end land use options for final void/s; and a life of mine tailings management strategy, including an environmental risk assessment demonstrating that the emplacements can be designed, managed and rehabilitated appropriately. <p>The Proponent shall implement the approved management plan as approved from time to time by the Secretary.</p> <p>Note: The plan should build on the concept strategy depicted in Appendix 7.</p>	<p>a) RUM MOP was prepared in consultation and approved (letter 15th Dec 2020 signed by Resources Regulator)</p> <p>ROC MOP was prepared in consultation and approved (letter 4th November 2020 signed by Resources Regulator)</p> <p>b) MOPs are in line with DRE Guideline as approved.</p> <p>c) The MOP incorporates several other plans.</p> <p>d) Covers all aspects listed in condition.</p>		In addition, consultation as undertaken with relevant departments to be included in an Appendix.
HERITAGE					
PA58	S3 C42	<p>Heritage Management Plan</p> <p>The Proponent shall prepare a Heritage Management Plan for the project to the satisfaction of the Secretary. This plan must:</p> <p>(a) be prepared in consultation with OEH, the Aboriginal community, the Heritage Council, Council, local historical organisations and relevant landowners, and be submitted to the Secretary for approval by the end of June 2011;</p> <p>(b) include the following for the management of Aboriginal heritage on site:</p> <ul style="list-style-type: none"> a plan/s of management for the Ravensworth North Offset Area, Hillcrest Offset Area, Clifton Offset Area, 	<p>Heritage Management Plan (HMP) (RAV SD PLN 0030) effective 10/09/2020.</p> <p>Aboriginal and Cultural Management Plan (ACHMP) (RAVCX-1962359669-15) effective 19/02/21.</p> <p>a) Consultation occurred with OEH, the Aboriginal community, the Heritage Council, Council, local historical organisations and relevant landowners during the initial development and as part of revisions of the HMP and ACHMP.</p>	Compliant	The Aboriginal and Cultural Management Plan has cross reference errors throughout the document that should be amended.

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>Stewart Offset Area, Farrells Creek 1 Aboriginal Artefact Management Area and RUM Dam Conservation Area (or agreed alternative to the RUM Dam Conservation Area); and</p> <ul style="list-style-type: none"> a program/procedures for: <ul style="list-style-type: none"> salvage, excavation and/or management of Aboriginal sites and potential archaeological deposits within the project disturbance area; protection and monitoring of Aboriginal sites outside the project disturbance area; monitoring, notifying and managing the effects of blasting on potentially affected Aboriginal sites; managing the incremental ground vibration limits under condition 10A above; maintaining and managing access to Aboriginal sites by the Aboriginal community; contributing to Aboriginal cultural heritage management (in accordance with the commitments in the EA); managing the discovery of any new Aboriginal objects or skeletal remains during the project; and ongoing consultation and involvement of the Aboriginal communities in the conservation and management of Aboriginal cultural heritage on the site; and <p>(c) include the following for the management of other historic heritage on site:</p> <ul style="list-style-type: none"> measures to manage potential impacts on, and heritage values of, the Ravensworth homestead, Chain of Ponds Hotel and Ravensworth Public School; and a program/procedures for: <ul style="list-style-type: none"> photographic and archival recording of heritage items directly or indirectly affected by the project; 	<p>b) Section 4 of ACHMP provides a management strategy for the site listed in the condition.</p> <ul style="list-style-type: none"> Section 9 outlines the procedure for salvage, excavation and/or management of Aboriginal sites and potential archaeological deposits. Protection and monitoring measures for the REA86 Grinding Groove site are outlined in Section 4.5. Sections 4.6 includes the details on how scare trees will be managed onsite. Management and protection measures are outlined in Section 7 of the ACHMP. Section 5 of the ACHMP details the Aboriginal Community Consultation process and access requirements. The management of discovery of any new Aboriginal objects or skeletal remains during the project is detailed in Section 8 of the ACHMP. <p>c) The HMP outlines measures to manage potential impacts and heritage values of the Ravensworth homestead, Chain of Ponds Hotel, and Ravensworth Public School. The HMP also provides a program/procedure for monitoring and managing existing and new items in Section 5.</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> protection and monitoring of heritage items outside the project disturbance area; monitoring, notifying and managing the effects of blasting on potentially affected heritage items; and managing the discovery of any new heritage items or skeletal remains identified during the project. <p>The Proponent shall implement the approved management plan as approved from time to time by the Secretary.</p>			
TRANSPORT					
PA59	S3 C43	Monitoring of Coal Transport The Proponent shall: (a) keep accurate records of the: <ul style="list-style-type: none"> amount of coal transported from the site (on a monthly basis); date and time of each train movement generated by the Ravensworth mine complex; and (b) make these records available on its website at the end of each calendar year.	a) The amount, date, and time of coal transported from the site is recorded through train movement records. b) The train movement records are published on Glencore's website each year and are also recorded within the Annual Reviews.	Compliant	
PA60	S3 C44	Road and Intersection Construction The Proponent shall: (a) realign Lemington Road and its intersection with the mine access road to the satisfaction of Council, prior to mining within 200 metres of the existing road alignment; (b) upgrade the realigned Lemington Road / New England Highway intersection to the satisfaction of the RMS, prior to commissioning the realigned Lemington Road; (c) upgrade the RCT access road / Liddell Station Road intersection to the satisfaction of Council, prior to the commencement of construction associated with the RCT/RCHPP; and (d) construct the conveyor bridge over the New England Highway to the satisfaction of the RMS.	Not triggered during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		Note: The Lemington Road realignment works include the closure of the existing alignment to public traffic.			
PA61	S3 C45	Lemington Road Realignment The Proponent shall construct the Lemington Road realignment in a manner that can reasonably withstand the subsidence impacts resulting from the Ashton underground coal mine (for mining operations approved under DA309-11-2001, as modified up to and including any approval to DA309-11-2001 Mod 6), to the satisfaction of the MSB.	Not triggered during the audit period.	Not triggered	
PA62	S3 C46	Unless the Proponent and the owner of the Ashton underground mine agree otherwise, the Proponent shall pay Ashton's reasonable costs associated with the monitoring and management of subsidence-related impacts on the realigned Lemington Road resulting from the Ashton underground coal mine (for mining operations approved as above), to the satisfaction of the Secretary. If there are any disputes in relation to the implementation of this condition, then any party may refer the matter to the Secretary for resolution.	Not triggered during the audit period. It is noted that Ravensworth Complex has made a commitment to pay for any costs as a result of monitoring and management of subsidence related impacts of Lemington Road where required.	Not triggered	
PA63	S3 C47	Lemington Road Realignment Review The Proponent shall, together with the owner of the Ashton underground coal mine, commission and implement a detailed report on a final alignment for Lemington Road, to the satisfaction of the Secretary. The report shall be prepared by an independent person/s whose appointment has been approved by the Secretary, and must: (a) be commissioned by 30 June 2011 and be finalised by 31 March 2012; (b) be prepared in consultation with Council, the RMS, MSB and Macquarie Generation; (c) consider predicted subsidence impacts associated with the proposed extraction by the Ashton underground coal mine (for mining operations approved under DA309-11-2001, as modified up to and including DA309-11-2001	Not triggered during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>Mod 6) of each seam that it is permitted to extract within the underground mining area (including as to whether a stacked or offset panel alignment is employed), and proposed management of these subsidence impacts (including the safety of the public and other road users);</p> <p>(d) assess any need for the final realignment to vary from the interim realignment, including consideration of the most appropriate status for the final alignment (ie. public or private road) and most appropriate timing of construction;</p> <p>(e) identify a preferred option for the final alignment of Lemington Road;</p> <p>(f) assess the environmental, social and economic impacts associated with the realignment options, particularly the preferred option;</p> <p>(g) determine the most appropriate responsibility for funding ongoing maintenance of the realigned roadway, including costs associated with repair of any future subsidence-related impacts on the roadway; and</p> <p>(h) include an action plan for implementation of its recommendations, including any variation to the interim alignment and the funding of monitoring and management costs.</p> <p>If so directed by the Secretary, the Proponent shall, together with the owner of the Ashton underground coal mine, commission and implement additional reports following extraction of each seam that the owner of the Ashton underground coal mine is permitted to extract (for mining operations approved under DA309-11-2001, as modified up to and including DA309-11-2001 Mod 6). Each such additional report shall review the impacts of previous subsidence on Lemington Road/Brunkers Lane, review existing measures to monitor and manage subsidence impacts, and recommend appropriate monitoring and management measures to address future subsidence impacts (including any continuing need to</p>			

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>realign Lemington Road), to the satisfaction of the Secretary.</p> <p>The Proponent shall fund 50% of the costs of reports prepared under this condition and shall implement the recommendations of such reports, to the satisfaction of the Secretary.</p> <p>Any dispute over the interpretation or implementation of reports prepared under this condition shall be determined by the Secretary, whose decision shall be final.</p> <p>Notes: 1) The owner of the Ashton underground coal mine will be expected to fund the other 50 percent of report costs and to have similar responsibilities regarding implementation.</p> <p>2) Stacked or offset panel alignments for the Upper Liddell, Upper Lower Liddell and Lower Barrett seams are shown in the plans to DA309-11-2001.</p>			
PA64	S3 C48	<p>Railway Upgrades</p> <p>The Proponent shall de-link the Ravensworth Loop from the Newdell Loop, prior to transporting more than 8 million tonnes of product coal from the RCHPP/RCT in a calendar year.</p>	Not triggered during the audit period. The de-link of the Ravensworth Loop from the Newdell Loop occurred in 2013.	Not triggered	
VISUAL					
PA65	S3 C49	<p>Visual Amenity and Lighting</p> <p>The Proponent shall:</p> <p>(a) implement all reasonable and feasible measures to mitigate visual and off-site lighting impacts of the project;</p> <p>(b) ensure no unshielded outdoor lights shine above the horizontal; and</p> <p>(c) ensure that all external lighting associated with the project complies with Australian Standard AS4282 (INT) 1997 – Control of Obtrusive Effects of Outdoor Lighting, to the satisfaction of the Secretary.</p>	<p>a) Mine infrastructure was not visible from surrounding roads or sensitive receptors during the site inspection. Visual bunds along Lemington Road and the New England were observed to be well vegetated and provided visual screens to the operation.</p> <p>b) A Lighting Tower Relocation, Setup and Operation procedure (RAVOC-258458278-619) is used to ensure no unshielded outdoor lights shine above the horizontal along. In addition, Ravensworth Complex undertakes regular community</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>inspections documented through a photographic record of strategic locations.</p> <p>c) The Ravensworth Complex Lighting Rules Procedure (RAVOC-258458278-2228) provides direction for the management of all outdoor lighting and to ensure that where appropriate outdoor lighting is in accordance with AS/NZS 4282:2019 Control of the obtrusive effects of outdoor lighting.</p>		
PA66	S3 C50	<p>Additional Visual Mitigation Measures</p> <p>Upon receiving a written request from the owner of any residence on privately-owned land which has significant direct views of the mining operations on site, the Proponent shall implement additional visual mitigation measures (such as landscaping treatments or vegetation screens) on the land in consultation with the landowner. These measures must be reasonable and feasible, and directed towards minimising the visibility of the mining operations from the residence.</p> <p>If within 3 months of receiving this request from the owner, the Proponent and the owner 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.</p> <p>Note: Except in exceptional circumstances, the Secretary will not require additional visual impact mitigation to be undertaken for residences that are more than 5 kilometres from the mining operations.</p>	There were no performance or management issues regarding visual mitigation or lighting during the audit period.	Not triggered	
WASTE					
PA67	S3 C51	<p>The Proponent shall:</p> <p>(a) minimise and monitor the waste generated by the project;</p> <p>(b) ensure that the waste generated by the project is appropriately stored, handled and disposed of;</p>	<p>a) Waste is monitored by the Ravensworth Environmental Team and by the waste contractor (Cleanaway) on a monthly basis. Materials are recycled where possible.</p>	Non-compliant	<p>. Reduce load on systems by ensuring appropriate additional sewage facilities are available during periods where increased contractors are on site e.g. during maintenance shutdowns.</p>

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		(c) manage on-site sewage treatment and disposal in accordance with the requirements of Council; and (d) report on waste management and minimisation in the Annual Review, to the satisfaction of the Secretary.	<p>b) The requirements on how to store, handle and segregate waste is outlined in the site's Waste Management Plan and as part of site inductions and communications. Waste bins are located throughout the site and generally allow for segregation of waste into recycling streams.</p> <p>Reviewed storage, handling and disposal records for bioremediation cells on site. Sighted "Waste Management – Bioremediation Area" internal procedure and records of analysis for waste cells.</p> <p>Workshop and wash bay sumps and pits – loading with sediment etc.</p> <p>Noted that some bins around the workshop had cross contamination of materials. e.g. plastic in paper and cardboard bins.</p> <p>c) Review of the on-site sewage treatment and disposal are completed by Singleton Council. Sewage treatment plant quality results for August 2020 were outside of the acceptable limits imposed by Singleton Council.</p> <p>d) Waste management and minimisation is reported in the Annual Review's for the audit period.</p>		
BUSHFIRE MANAGEMENT					
PA68	S3 C52	The Proponent shall: (a) ensure that the Ravensworth mine complex is suitably equipped to respond to fires on site; and (b) assist the Rural Fire Service and emergency services as much as possible if there is a fire in the vicinity of the site.	<p>a) Ravensworth Complex has a rapid response fire trailer and fire reels in positions around the site.</p> <p>b) There were two grassfires at the Ravensworth Complex during 2020. One was at the Hillcrest Offset Area and the other was on AGL Macquarie owned land</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			within PA 09_0176 area. There was also a fire at the Ravensworth School during the reporting period. Ravensworth Complex was not requested to assist the Rural Fire Service or emergency services during these events.		
SCHEDULE 4 - ADDITIONAL PROCEDURES					
NOTIFICATION OF LANDOWNERS					
PA69	S4 C1	<p>By the end of March 2011, the Proponent shall:</p> <p>(a) notify in writing the owners of:</p> <ul style="list-style-type: none"> the land listed in Table 1 of schedule 3 that they have the right to require the Proponent to acquire their land at any stage during the project; any residence on the land listed in Table 1 (noise-affected) or condition 6 of schedule 3 that they are entitled to ask for additional noise mitigation to be installed at their residence at any stage during the project; any residence on the land listed in Table 1 (air quality-affected) or Table 15 of schedule 3 that they are entitled to ask for additional air quality mitigation measures to be installed at their residence at any stage during the project; and any privately-owned land within 3 kilometres of any approved open cut mining pit on site 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; and <p>(b) 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 EA identify that the dust emissions generated by the project are likely to be greater than the relevant air quality criteria in schedule 3 at some stage during the project.</p>	Not triggered during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA70	S4 C2	<p>Within 2 weeks of obtaining monitoring results showing:</p> <p>(a) an exceedance of the relevant criteria in schedule 3, the Proponent shall notify the affected landowner and/or tenants in writing of the exceedance, and provide regular monitoring results to each of these parties until the project is complying with the relevant criteria again;</p> <p>(b) an exceedance of the relevant criteria in conditions 6(c) or 7 of schedule 3, the Proponent shall notify the applicable owner in writing that they are entitled to ask for additional noise mitigation to be installed at their residence;</p> <p>(c) an exceedance of the relevant criteria in conditions 20 or 21 of schedule 3, the Proponent shall send a copy of the NSW Health fact sheet entitled "Mine Dust and You" (as may be updated from time to time) to the affected landowners and/or existing tenants of the land (including the tenants of any mine-owned land); and</p> <p>(d) an exceedance of the relevant criteria in condition 22(c) of schedule 3, the Proponent shall notify the applicable owner of any residences on the land that they are entitled to ask for additional air quality mitigation measures to be installed at their residence.</p>	<p>a) Exceedances are reported via email to the relevant government departments and landowners following exceedances of the relevant criteria.</p> <p>b) Not triggered, no exceedance of the relevant criteria during the audit period.</p> <p>c) Evidence was provided showing that the NSW fact sheet entitled "Mine Dust and You" has been sent to affected landowners and/or existing tenants of the land. The fact sheet is sent as a link to ensure the most up to date version is referenced.</p> <p>d) Not triggered, no request for additional air quality mitigation measures to be installed at residences during the audit period.</p>	Compliant	
INDEPENDENT REVIEW					
PA71	S4 C3	<p>If an owner of privately-owned land considers the project to be exceeding the relevant criteria in schedule 3, then he/she may ask the Secretary in writing for an independent review of the impacts of the project on his/her land.</p> <p>If the Secretary is satisfied that an independent review is warranted, then within 2 months of the Secretary's decision the Proponent shall:</p> <p>(a) commission a suitably qualified, experienced and independent person, whose appointment has been approved by the Secretary, to:</p> <ul style="list-style-type: none"> • consult with the landowner to determine his/her concerns; 	<p>No written requests have been requested by an owner of privately-owned land for an independent review of the impacts of the project during the audit period.</p>	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> • conduct monitoring to determine whether the project is complying with the relevant criteria in schedule 3; and • if the project is not complying with these criteria then: <ul style="list-style-type: none"> o 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; o 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. 			
PA72	S4 C4	<p>If the independent review determines that the project is complying with the relevant criteria in schedule 3, then the Proponent may discontinue the independent review with the approval of the Secretary.</p> <p>If the independent review determines that the project is not complying with the relevant criteria in schedule 3, and that the project is primarily responsible for this non-compliance, then the Proponent shall:</p> <p>(a) implement all reasonable and feasible mitigation measures, in consultation with the landowner and appointed independent person, and conduct further monitoring until the project complies with the relevant criteria; or</p> <p>(b) secure a written agreement with the landowner to allow exceedances of the relevant criteria, to the satisfaction of the Secretary.</p> <p>If the independent review and further monitoring determines that the project is not complying with the relevant acquisition criteria in schedule 3, and that the project is primarily responsible for this non-compliance, then upon receiving a written request from the landowner, the Proponent shall acquire all or part of the landowner's land in accordance with the procedures in conditions 6-7 below.</p>	No written requests have been requested by an owner of privately-owned land for an independent review of the impacts of the project during the audit period.	Not triggered	
PA73	S4 C5	If the independent review determines that the relevant criteria in schedule 3 are being exceeded, but that more	No written requests have been requested by an owner of privately-owned land for an	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>than one mine is responsible for this non-compliance, then together with the relevant mine/s, the Proponent shall:</p> <p>(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</p> <p>(b) secure a written agreement with the landowner and other relevant mines to allow exceedances of the relevant criteria, to the satisfaction of the Secretary.</p> <p>If the independent review determines that the project is not complying with the relevant acquisition criteria in schedule 3, but that more than one mine is responsible for this non-compliance, then upon receiving a written request from the landowner, the Proponent shall 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 6-7 below.</p>	independent review of the impacts of the project during the audit period.		
LAND ACQUISITION					
PA74	S4 C6	<p>Within 3 months of receiving a written request from a landowner with acquisition rights, the Proponent shall make a binding written offer to the landowner based on:</p> <p>(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 project, having regard to the:</p> <ul style="list-style-type: none"> 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 	No land acquisitions have occurred or been requested during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>improvements that have resulted from the implementation of any additional mitigation measures required under condition 6, 7 or 22 of schedule 3;</p> <p>(b) the reasonable costs associated with:</p> <ul style="list-style-type: none"> 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 <p>(c) reasonable compensation for any disturbance caused by the land acquisition process.</p> <p>However, if at the end of this period, the Proponent 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.</p> <p>Upon receiving such a request, the Secretary will request the President of the NSW Division of the Australian Property Institute to appoint a qualified independent valuer to:</p> <ul style="list-style-type: none"> 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. <p>Within 14 days of receiving the independent valuer's report, the Proponent shall make a binding written offer to the landowner to purchase the land at a price not less than the independent valuer's determination.</p> <p>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</p>			

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>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.</p> <p>Within 14 days of this determination, the Proponent shall make a binding written offer to the landowner to purchase the land at a price not less than the Secretary's determination.</p> <p>If the landowner refuses to accept the Proponent's binding written offer under this condition within 6 months of the offer being made, then the Proponent's obligations to acquire the land shall cease, unless the Secretary determines otherwise.</p>			
PA75	S4 C7	The Proponent shall pay all reasonable costs associated with the land acquisition process described in condition 6 above, including the costs associated with obtaining Council approval for any plan of subdivision (where permissible), and registration of this plan at the Office of the Registrar-General.	No land acquisitions have occurred or been requested during the audit period.	Not triggered	

SCHEDULE 5 - ENVIRONMENTAL MANAGEMENT, REPORTING AND AUDITING

ENVIRONMENTAL MANAGEMENT

PA76	S5 C1	<p>Environmental Management Strategy</p> <p>The Proponent shall prepare an Environmental Management Strategy for the project to the satisfaction of the Secretary. The strategy must:</p> <p>(a) be submitted to the Secretary for approval by the end of June 2011;</p> <p>(b) provide the strategic framework for environmental management of the project;</p>	<p>The Ravensworth Complex Environmental Management Strategy, Effective 2018, Version 3.0 (EMS) is located on the Glencore website.</p> <p>a) Version 3.0 was provided to the Department for review. The Department provided correspondence on 10 September 2018 notifying that the Secretary has approved the EMS.</p>	Compliant	
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Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(c) identify the statutory approvals that apply to the project;</p> <p>(d) describe the role, responsibility, authority and accountability of all key personnel involved in the environmental management of the project;</p> <p>(e) describe the procedures that would be implemented to:</p> <ul style="list-style-type: none"> keep the local community and relevant agencies informed about the operation and environmental performance of the project; receive, handle, respond to, and record complaints; resolve any disputes that may arise during the course of the project; respond to any non-compliance; respond to emergencies; and <p>(f) include:</p> <ul style="list-style-type: none"> copies of any strategies, plans and programs approved under the conditions of this approval; and a clear plan depicting all the monitoring to be carried out in relation to the project. <p>The Proponent shall implement the approved strategy as approved from time to time by the Secretary.</p>	<p>b) The strategic framework for the project is outlined in Section 1.3 and Section 3.1 for environmental management of the project.</p> <p>c) The statutory approvals that relate to the project are identified in Section 3.1 of the EMS.</p> <p>d) The role, responsibility, authority and accountability of all key personnel involved in the environmental management of the project is outlined in Section 1.5.</p> <p>e) The procedure for communication and consultation to the local community and relevant agencies about the operation and environmental performance of the project is outlined in Section 4.2.</p> <p>The Emergency Preparedness and Response procedure is outlined in Section 4.5. Response to emergencies is included in section 4.5. Section 5.4.1 details the procedure on how community complaints will be resolved and managed.</p> <p>The procedure for non-compliance and corrective actions is included in Section 5.5.</p> <p>f) There is wording included in section 3.9.1 that details that management plans will be developed where required by approval conditions. Appendix contains site plans depicting all the monitoring locations in relation to the project.</p>		
PA77	S5 C2	<p>Management Plan Requirements</p> <p>The Proponent shall ensure that the management plans required under this approval are prepared in accordance with any relevant guidelines, and include:</p> <p>(a) detailed baseline data;</p>	<p>a) Where applicable, management plans include baseline assessment data.</p> <p>b) All management plans provide a description of relevant statutory requirements, relevant limits or</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(b) a description of:</p> <ul style="list-style-type: none"> the relevant statutory requirements (including any relevant approval, licence or lease conditions); any relevant limits or performance measures/criteria; the specific performance indicators that are proposed to be used to judge the performance of, or guide the implementation of, the project or any management measures; <p>(c) a description of the measures that would be implemented to comply with the relevant statutory requirements, limits, or performance measures/criteria;</p> <p>(d) a program to monitor and report on the:</p> <ul style="list-style-type: none"> impacts and environmental performance of the project; effectiveness of any management measures (see (c) above); <p>(e) a contingency plan to manage any unpredicted impacts and their consequences;</p> <p>(f) a program to investigate and implement ways to improve the environmental performance of the project over time;</p> <p>(g) a protocol for managing and reporting any:</p> <ul style="list-style-type: none"> incidents; complaints; non-compliances with the conditions of this approval and statutory requirements; and exceedances of the impact assessment criteria and/or performance criteria; and <p>(h) a protocol for periodic review of the plan.</p> <p>Note: The Secretary may waive some of these requirements if they are unnecessary or unwarranted for particular management plans.</p>	<p>performance measures/criteria, and specific performance indicators.</p> <p>c) All management plans contain a description of the measures implemented to comply with the relevant statutory requirements, limits, and performance measures/criteria.</p> <p>d) Each management plan includes sections that detail the programs to monitor and report on environmental performance. The annual reviews for the audit period also contain a summary of the effectiveness of management measures.</p> <p>e) Contingency is accounted for in management plans to manage any unpredicted impacts and their consequences.</p> <p>f) Programs to investigate and implement ways to improve the environmental performance of the project over time are outlined in the management plans. Evidence of this is shown in through scheduled reviews of management plans and approval from the Department.</p> <p>g) Management plans include sections outlining the requirements for managing and reporting on incidents, complaints, non-compliances and exceedances. Evidence of the reporting of these items is shown in the Annual reviews for the reporting period.</p> <p>h) The protocol for periodic review is captured through the annual review process. Typically management plans are updated every 3 years.</p>		
PA78	S5 C3	Annual Review	Annual Reviews for 2018, 2019, and 2020 were completed during the audit period.	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>By the end of March 2012, and annually thereafter, the Proponent shall review the environmental performance of the project to the satisfaction of the Secretary. This review must:</p> <ul style="list-style-type: none"> (a) describe the works (including any rehabilitation) that were carried out in the past year, and the works that are proposed to be carried out over the next year; (b) include a comprehensive review of the monitoring results and complaints records of the project over the past year, which includes a comparison of these results against the: <ul style="list-style-type: none"> • relevant statutory requirements, limits or performance measures/criteria; • monitoring results of previous years; and • relevant predictions in the EA; (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 project; (e) identify any discrepancies between the predicted and actual impacts of the project, and analyse the potential cause of any significant discrepancies; and (f) describe what measures will be implemented over the next year to improve the environmental performance of the project. 	<ul style="list-style-type: none"> a) The reviews outlined the operational and rehabilitation activities undertaken for the periods covered by each review. b) Comprehensive review of the monitoring results and complaints records of the project over the past year, and a comparison of these results are detailed in the Annual Reviews observed. c) The environmental incidents and non-compliances for the project are noted in the Annual Reviews. The 2020 Annual Review details the non-compliances noted during the 2018 IEA. d) Section 6 of the reviews include an analysis of environmental performance and trends are outlined in graphs within the appendices. e) As per d) above. f) Section 4.9 and Section 6 of the reviews outlines the proposed measures that will be implemented over the next year to improve the environmental performance of the project. 		
PA79	S5 C4	<p>Revision of Strategies, Plans and Programs</p> <p>Within 3 months of:</p> <ul style="list-style-type: none"> (a) the submission of an annual review under condition 3 above; (b) the submission of an incident report under condition 6 below; (c) the submission of an audit under condition 8 below; and (d) any modification to the conditions of this approval, 	<p>Evidence was provided and sighted that the revision of strategies, plans, and programs occurs and are submitted to the Department for review and approval.</p> <ul style="list-style-type: none"> a) All annual reviews for the period had been submitted to the Department. b) All incident reports for the period had been submitted to the Department. c) In January 2019 the Department issued a request for additional information to 	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>the Proponent shall review, and if necessary revise, the strategies, plans, and programs required under this approval to the satisfaction of the Secretary.</p> <p>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 project.</p>	<p>Ravensworth Complex seeking supplementary information to be submitted with the 2018 audit following review.</p> <p>d) No modifications to the the conditions of this approval occurred during the audit period.</p>		
PA80	S5 C5	<p>Community Consultative Committee</p> <p>The Proponent shall establish and operate a Community Consultative Committee (CCC) for the project to the satisfaction of the Secretary. This CCC must be established by the end of June 2011 and be operated in general accordance with the Guidelines for Establishing and Operating Community Consultative Committees for Mining Projects (Department of Planning, 2007, or its latest version).</p> <p>Notes:</p> <ul style="list-style-type: none"> • The CCC is an advisory committee. The Department and other relevant agencies are responsible for ensuring that the Proponent complies with this approval. • In accordance with the guideline, the Committee should comprise an independent chair and appropriate representation from the Proponent, Council, recognised environmental groups and the local community. • In establishing the CCC, the Department will accept the continued representation from existing CCC members. • The CCC may be combined with any similar CCC for the RUM. 	<p>A Community Consultative Committee (CCC) has been formed for Ravensworth Complex and encompasses ROC, RUM, and RCHPP and meets quarterly. The CCC is operated in general accordance with the Guidelines for Establishing and Operating Community Consultative Committees for Mining Projects, 2007.</p> <p>The CCC is independently chaired by Dr William Paradice and typically has representation from Ravensworth Complex, Singleton Council (Cr Godfrey Adamthwaite), recognised environmental groups and the local community (Patricia Bestic).</p>	Compliant	
REPORTING					
PA81	S5 C6	<p>Incident Reporting</p> <p>The Proponent shall notify the Secretary and any other relevant agencies of any incident associated with the project as soon as practicable after the Proponent becomes aware of the incident. Within 7 days of becoming aware of the incident, the Proponent shall</p>	<p>The Secretary and other relevant agencies were notified of any incidents associated with the project within 7 days of becoming aware of the incident.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		provide the Secretary and any relevant agencies with a detailed report on the incident.			
PA82	S5 C7	Regular Reporting The Proponent shall provide regular reporting on the environmental performance of the project on its website, in accordance with the reporting arrangements in any approved plans of the conditions of this approval.	An overview of the works and monitoring completed during the audit period are outlined in the Annual Reviews. Detailed monitoring results are included in the monthly and quarterly environmental monitoring reports displayed via Glencore's website https://www.glencore.com.au/operations-and-projects/coal/current-operations/ravensworth-operations	Compliant	
INDEPENDENT ENVIRONMENTAL AUDIT					
PA83	S5 C8	By the end of June 2012, and every 3 years thereafter, unless the Secretary directs otherwise, the Proponent shall commission and pay the full cost of an Independent Environmental Audit of the project. This audit must: (a) be conducted by a suitably qualified, experienced and independent team of experts whose appointment has been endorsed by the Secretary; (b) include consultation with the relevant agencies; (c) assess the environmental performance of the project and whether it is complying with the relevant requirements in this approval and any relevant EPL or Mining Lease (including any assessment, plan or program required under these approvals); (d) review the adequacy of any approved strategies, plans or programs required under these approvals; and, if appropriate (e) recommend measures or actions to improve the environmental performance of the project, and/or any strategy, plan or program required under these approvals. Notes:	EMM Consulting completed a IEA of the Ravensworth Complex in 2018. a) The IEA was completed by conducted by a suitably qualified, experienced and independent team of experts whose appointment has been endorsed by the Secretary. b) Evidence of consultation with relevant agencies was observed within the 2018 IEA Report. c) The 2018 IEA Report was endorsed by the Secretary and assessed the environmental performance of the project; reviewed the adequacy of any approved strategies, plans or programs required under these approvals; and recommended measures or actions to improve the environmental performance of the project where required.	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> This audit team must be led by a suitably qualified auditor and include experts in any fields specified by the Secretary. The audits should be coordinated with similar auditing requirements for the RUM. 			
PA84	S5 C9	Within 6 weeks of the completion of this audit, or as otherwise agreed by the Secretary, the Proponent shall submit a copy of the audit report to the Secretary, together with its response to any recommendations contained in the audit report.	2018 IEA was submitted to DPIE on 7 July 2018. The EIA was reviewed by DPIE and a supplementary information request was issued. The document was reissued responding to DPIE's comments on 15 March 2019 and accepted by DPIE.	Compliant	
ACCESS TO INFORMATION					
PA85	S5 C10	<p>From the end of June 2011, the Proponent shall:</p> <p>(a) make copies of the following publicly available on its website:</p> <ul style="list-style-type: none"> the EA; all current statutory approvals for the project; approved strategies, plans and programs required under the conditions of this approval; a summary of the monitoring results of the project, which have been reported in accordance with the various plans and programs approved under the conditions of this approval; a complaints register, which is to be updated on a monthly basis; minutes of CCC meetings; the annual reviews (over the last 5 years); any independent environmental audit, and the Proponent's response to the recommendations in any audit; any other matter required by the Secretary; and <p>(b) keep this information up to date, to the satisfaction of the Secretary.</p>	<p>a) All documents noted within this condition are available publicly available via Glencore's website https://www.glencore.com.au/operations-and-projects/coal/current-operations/ravensworth-operations Additional information has not been requested to be displayed on the website by the Secretary within the audit period.</p> <p>b) The information has been maintained and updated regularly by the Ravensworth Complex environmental team.</p>	Compliant	

S = Schedule

C = Condition

Table 2 PROJECT APPROVAL 09_0176 – Modification 3: Statement of Commitments

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
Modification 3: Statement of Commitments					
PRODUCTION LIMITS					
PA86	6.3.1	The RCHPP will process up to 20 Mtpa of ROM coal per year incorporating ROM coal from the Project and other operations including RUM, Cumnock Wash Plant Pit and other potential users	<p>The annual reviews for the audit period outlined the ROM coal extracted.</p> <p>Ravensworth Operations and Complex produced:</p> <ul style="list-style-type: none"> 13.9 Mt of ROM coal during 2018 14.9 Mt of ROM coal during 2019 13.3 Mt of ROM coal during 2020 <p>The volume of ROM coal extracted was below the limits specified in the condition.</p>	Compliant	
PA87	6.3.2	Up to 20 Mtpa will be loaded via the RCT loading facility, including coal from the Project, RUM, Cumnock Wash Plant Pit, Muswellbrook Coal and potential other users.	<p>b) The annual returns for the audit period were reviewed and indicated the proponent restricted product coal transport to/from the RCHPP/RCT below the maximum values set by the condition. Actual values as summarised below:</p> <p>Total product coal loaded from RCHPP:</p> <ul style="list-style-type: none"> 7,746,035 tonnes (2018) 6,448,015 tonnes (2019) 5,673,140 tonnes (2020) 	Compliant	
PA88	6.3.3	Mining and associated activities for the Project may be undertaken 24 hours of day, seven days a week.	The mine currently operates 24 hours of day, seven days a week.	Compliant	
PA89	6.3.4	Construction will generally be undertaken during daylight hours. Construction activities may occur outside these hours when the Proponent is satisfied that such activities would meet relevant construction night-time noise criteria at the nearest private residences.	<p>Construction is generally coordinated to be performed during daylight hours.</p> <p>Within the auditing period there have been no exceedances of the noise criteria at any residence on privately-owned land.</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
REFINEMENT OF MINE PLAN					
PA90	6.3.5	Any refinements to the concept mine plan outlined in the EA report will be detailed and assessed as part of Mining Operations Plans or other relevant process.	The Mining Operations Plan (MOP) is developed for a three-year term. The current MOP commenced on 1 January 2021 and will complete on 31 December 2023. Any future refinements to mine planning will be assessed and facilitated through future versions of the MOP.	Compliant	
PRODUCT DELIVERY					
PA91	6.3.6	Annual average and maximum daily train movements and tonnages, and tonnages of coal delivered locally by conveyor, will be reported in the Annual Review.	Annual average and maximum daily train movements and tonnages, and tonnages of coal delivered locally by conveyor, were reported in the 2018, 2019, and 2020 Annual Reviews.	Compliant	
PA92	6.3.7	No product coal will be transported from the Project area by public road except in an emergency situation and with the prior agreement of the Director General.	Product coal is transported to the port of Newcastle by rail only during the audit period. No product coal was transported via public road during the audit term.	Compliant	
RAIL-DE-LINKING					
PA93	6.3.8	Prior to commencing increased loadings at Ravensworth Coal Terminal (RCT) above 8 Mtpa, the Proponent without contribution to costs by Coal & Allied, will complete design and construction of all related works including rail commissioning that will affect the de-linking of the Newdell Loop and the Ravensworth Loop. The de-linking (parameters defined below) of the loops will achieve separate track lane access onto the mainline known as the Main Northern Railway Line, for each of the Newdell Loop and Ravensworth Loop. The de-linking will be implemented in accordance with all legal and approval requirements. The consent and approval of all relevant landowners, being ARTC and Macquarie Generation, will be obtained prior to undertaking the proposed rail works. The conceptual design for the rail de-link as shown on Figure 2.18 is the preferred option to complete the de-	All works related to the de-linking of the Newdell Loop and Ravensworth Loop were completed prior to the audit period.	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>linking. If the preferred option for rail de-link is determined to be unachievable for reasons outside of the Proponent's control, then the Proponent will design, construct and implement an alternative option that will achieve the parameters defining an 'effective de-link', as outlined below.</p> <p>The parameters for an effective de-link are:</p> <ul style="list-style-type: none"> de-linking works to include the decommissioning of the existing rail that links the existing Ravensworth Loop to the existing bi-directional Newdell Line. The de-linking of the Newdell Loop and the Ravensworth Loop will comprise design, construction and rail commissioning works to achieve separated track lane access onto the mainline known as the Main Northern Railway Line, for each of the Newdell Loop and the Ravensworth Loop. The re-linking of the separated Ravensworth Loop to the Main Northern Railway will occur on the mainline itself south of the Newdell Junction. The de-linking of the Newdell Loop and the Ravensworth Loop works will be constructed and rail commissioned prior to RCT rail loadings exceeding 8 Mtpa. 			
SERVICE RELOCATION					
PA94	6.3.9	Powerlines will be relocated without interruption of supply to Coal & Allied or Orica, except where interruption of supply has been agreed to by Coal & Allied or Orica and the relevant service provider.	Completed prior to the audit period.	Compliant	
PA95	6.3.10	As described in Section 5.5.8.1 the protective pillar beneath the Orica explosives plant will be retained to ensure continuous safe operation of the site.	RUM is currently in care and maintenance with no underground mining occurring during the audit period.	Compliant	
CLOSURE AND REHABILITATION					
PA96	6.4.1	A detailed mine closure plan will be developed for the Project and submitted to the Secretary for approval at least five years prior to anticipated mine closure, in	This Project Approval is valid until 31 December 2039. Accordingly, this condition will not be triggered until 2034.	Not triggered	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		accordance with XCN standards for mine closure. The plan will be prepared in consultation with relevant stakeholders including the Department, DRE, Singleton Council, other relevant government agencies as agreed with the Department, and the local community.	An Annual Mine Closure Risk Assessment is undertaken, and an Operational Mine Closure Plan has been prepared based on the outcomes of this risk assessment. This has also been submitted to the Resources Regulator as part of the MOP		
PA97	6.4.2	<p>The rehabilitation strategy for the Project will be integrated with the proposed Biodiversity Management Plan for the Project through creating extensive areas of woodland within rehabilitated areas associated with the Project that target the following vegetation communities:</p> <ul style="list-style-type: none"> • Central Hunter Box-Ironbark Woodland; • Central Hunter Swamp Oak Forest; • Central Hunter Bullock Forest Regeneration; and • Grassland. 	<p>The Biodiversity Offset Management Plan (BOMP) (RAVOC-1007099517-20) details the biodiversity management, monitoring and rehabilitation requirements for the Ravensworth Complex.</p> <p>The BOMP includes further details on the Central Hunter Grey Box - Ironbark Woodland and Hunter Floodplain Red Gum being used as part of the rehabilitation of the mine complex.</p> <p>Section 6.5 includes the details of how Lobed Blue-grass (<i>Bothriochloa biloba</i>), Weeping Myall (<i>Acacia pendula</i>) and the River Red Gum (<i>Eucalyptus camaldutensis</i>) will be naturally regenerated</p> <p>The Offset and Green and Golden Bell Frog Management Plan for Ravensworth Mine Complex has also been developed and is being implemented. These vegetation communities are identified in the Offset and Green and Golden Bell Frog Management Plan.</p> <p>Habitats for significant and/or threatened animal species are address throughout the Offset and Green and Golden Bell Frog Management Plan for Ravensworth Mine Complex.</p>	Compliant	
PA98	6.4.3	The Proponent will re-establish Emu Creek within the rehabilitated landscape. The reinstated Emu Creek will be designed in accordance with relevant guidelines and in consultation with the NSW Office of Water (DPI – Water).	Following discussions with DPIE Water and DPIE, Ravensworth Complex no longer intends to undertake the temporary Emu Creek diversion. Instead of constructing the diversion	Not triggered	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		The reinstated Emu Creek will be re-established within a suitable substrate within the rehabilitated landform and will resemble a natural creek system with native vegetation planted along the drainage channels as part of the rehabilitation, to maximise the long term stability of the drainage system and to enhance the in- stream and riparian habitat created. The detailed design of the proposed reinstatement of Emu Creek will be undertaken in accordance with all relevant approvals from DPI – Water.	dams, runoff from the residual catchment of Emu Creek will be allowed to flow into the mining area where it will be contained in a sump. This water will be used for operational activities onsite. Once the mining area has been rehabilitated, a creek line will be re-established along a similar alignment to the existing Emu Creek.		
PA99	6.4.4	Recovery and management of any topsoil will be undertaken in accordance with the controls provided in Section 5.1.1.5.	The recovery and management of topsoil is outlined in Section 2.2.12 of the MOP and Section 7.2 of the current BOMP. It was noted during the site inspection that Ravensworth Complex demonstrated effective soil management from stripping, stockpiling (short- and long-term seeding), amelioration, resspreading and surface prep. High quality soil assessments have been undertaken in recent years of both in situ and stockpiles providing valuable inputs to management practices.	Compliant	
AIR QUALITY					
PA100	6.5.1	Measures to minimise dust emissions from the Project such as enclosures on top of overland conveyors, spray systems for permanent coal stockpiles, progressive site rehabilitation and revegetation, and haul road dust suppression will be included in the project design.	The Air Quality and Greenhouse Gas Management Plan (RAV SD PLN 0067) outlines the measures to minimise dust emissions from the Project. Enclosures on top of overland conveyors, spray systems for permanent coal stockpiles, progressive site rehabilitation and revegetation, and haul road dust suppression was observed to be in place during the site visit.	Compliant	
PA101	6.5.2	The Project will progressively rehabilitate disturbed areas, including the use of temporary rehabilitation on disturbed areas as appropriate to limit the potential for wind-blown dust;	Progressive rehabilitation is performed in accordance with strategies, procedures, and controls in the MOP.	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA102	6.5.3	<p>The Proponent will implement a range of dust controls as part of the Project, including:</p> <ul style="list-style-type: none"> watering of active mining areas and haul roads that are subject to frequent vehicle movements; all drill rigs will be equipped with dust control systems and be regularly maintained for effective use. These controls may include a combination of dust extractors, dust curtains, water injection systems and extraction systems; automatic sprays fitted to the dump hopper to minimise dust from coal processing activities; minimising the area of disturbance by restricting vegetation clearing ahead of mining operations and rehabilitating mine spoil dumps as soon as practicable after mining; restricting blasting activities to acceptable wind speed and direction periods; and use of real-time air quality monitor/s (TEOM) incorporating automatic alarms that will enable mine operators to take a proactive approach to minimising dust impacts by modifying operations when monitoring indicates that dust levels in the surrounding area are approaching relevant criteria. 	<p>The Air Quality and Greenhouse Gas Management Plan (RAV SD PLN 0067) outlines the measures to minimise dust emissions from the Project.</p> <p>Section 3.3.6 of the Plan for Air Quality and Greenhouse Gas Management explicitly prescribes air quality management controls to mitigate any potential air quality impacts from the Ravensworth Complex which include the measures state in condition 6.5.1.</p>	Compliant	
PA103	6.5.4	<p>The existing air quality monitoring program, including the ongoing use of continuous air quality monitor/s, will be maintained (or as otherwise agreed with EPA and the Department). Monitoring results will be compiled and reviewed at least monthly to determine the need for any operational or management change to minimise air quality impacts. Results will also be compiled and analysed annually and reported in the Annual Review.</p>	<p>The Air Quality and Greenhouse Gas Management Plan (RAV SD PLN 0067) outlines the measures to minimise dust emissions from the Project.</p> <p>Evidence was sighted of calibrations for continuous air quality monitoring units utilised on site. The results of monitoring are compiled and reviewed at least monthly to determine the need for any operational or management change to minimise air quality impacts. Results are compiled and analysed annually and reported in the Annual Review each year.</p>	Compliant	

NOISE AND BLASTING

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA104	6.6.2	<p>The Proponent will continue to implement the following controls to manage noise generation:</p> <ul style="list-style-type: none"> • use of real-time directional noise monitors incorporating automatic alarms that will enable mine operators to take a proactive approach to minimising noise impacts by modifying operations when monitoring indicates that potential impacts may occur. • mining equipment is maintained to high standards to ensure high availability and to meet noise emission criteria; • operations on outer dump faces or elevated dusts in sensitive areas are restricted where possible during adverse weather conditions in accordance • with the Proponent's noise performance monitoring system; • all new equipment is procured against a specification for noise emission to meet noise criteria at the nearest private residences for total operations; and • the majority of the coal crushing plant and coal handling facilities are enclosed in buildings and protective structures that effectively contain noise generated in these processes to the close proximity of the plants. 	<p>The Ravensworth Complex Noise Management Plan (RAV SD PLN 0062) has been developed and approved by DPIE to manage and mitigate noise generating activities associated with the Project.</p> <p>Section 5.2 and section 5.3 of the Plan prescribes controls incorporated into the design and operation of the Ravensworth Complex to assist in mitigating acoustic impacts.</p> <p>The results of the noise monitoring program are reported in the Annual Review submitted to the DPIE each year.</p>	Compliant	
PA105	6.6.3	<p>The Proponent will implement mine planning procedures that minimise the potential for adverse noise impacts. Where possible, machinery will be selectively located at lower elevations in the pit during times when noise levels at the receivers are likely to be exacerbated by weather conditions.</p>	<p>Meteorological monitoring and continuous noise monitoring are undertaken at two locations: SX46 – A.Bowman; and SX12 – Camberwell Village to manage noise impacts at nearby sensitive receptors.</p> <p>Attended noise monitoring is also undertaken monthly at selected locations to verify compliance with the project approval noise criteria.</p> <p>Within the auditing period there have been no exceedances of the noise criteria at any</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			residence on privately-owned land or on more than 25 per cent of any privately-owned land.		
PA106	6.6.4	The Proponent will install a continuous noise monitoring unit between the Project and Camberwell Village that is capable of discerning the direction from which a noise emanates and the contribution the noise source makes to the cumulative noise level.	Meteorological monitoring and continuous noise monitoring are undertaken at two locations: SX46 – A.Bowman; and SX12 – Camberwell Village to manage noise impacts at nearby sensitive receptors. Both locations utilise a real time, directional noise monitoring unit that is programmed to send an SMS to key operational personnel when a trigger noise level is reached.	Compliant	
PA107	6.6.5	The Proponent will investigate any reported exceedances of noise criteria at private residences on a case by case basis. Should site specific monitoring or real-time monitors indicate adverse noise impacts from the Project, the Proponent will investigate reasonable and feasible measures to mitigate noise at the affected receiver.	The results of the noise monitoring program are reported in the Annual Review. Within the auditing period there have been no exceedances of the noise criteria at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.	Compliant	
BLASTING					
PA108	6.6.10	The Proponent will establish relevant blast impact criteria for the protection of archaeological site REA 86, through an assessment by a suitably qualified geotechnical engineer, as part of the Aboriginal Cultural Heritage Management Plan for the Project, prepared in consultation with registered Aboriginal stakeholders and OEH, and to the satisfaction of the Department.	Section 4.5 of the Aboriginal Cultural Heritage Management Plan and Section 4.1.1 of the Ravensworth Complex Blast Management Plan provide detailed protection measures for the REA86 grinding groove site. Open cut mining has occurred approximately 250m to the south of the site and mining is now moving away from the area in a southerly direction	Compliant	
PA109	6.6.11	The Proponent will develop a blasting protocol in consultation with relevant service providers and infrastructure owners prior to the commencement of blasting within 500 metres of the infrastructure specified in Table 6.2 and any relevant surface infrastructure at Macquarie Generation and ACOL. This may include revising blasting criteria from that indicated in the EA developed in consultation with the relevant service provider or infrastructure owner.	Section 4.2 and 4.3 of the Ravensworth Complex Blast Management Plan address this approval condition. Appendix B of the Ravensworth Complex Blast Management Plan summarises the consultation undertaken with stakeholders in developing the Ravensworth Complex Blast Management Plan.	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA110	6.6.12	The Proponent will continue its research into the effects of vibration on the 1000 ML dam wall in consultation the DSC. This research may revise the appropriate vibration criteria for this structure, and will be documented as part of the Blast Management Plan for the Project.	The Ravensworth Complex Blast Management Plan (RAVCX-307024981-4092) outlines the response to this commitment. It is understood that following discussions with the Dam Safety Committee, Ravensworth will no longer be required to conduct research into the effects of vibration on the existing Narama dam wall.	Compliant	
BIODIVERSITY – BIODIVERSITY MANAGEMENT PLAN					
PA111	6.7.1	The Proponent will develop a Biodiversity Monitoring Program as part of the Rehabilitation Management Plan which will include: <ul style="list-style-type: none"> • monitoring of areas of retained vegetation; • monitoring of rehabilitated areas using appropriate methodologies; • fauna monitoring; • monitoring of Emu Creek aquatic habitats (once reinstated as part of the rehabilitation program); • fauna habitat monitoring including nest box structures; • green and golden bell frog population surveys in accordance with the Green and Golden Bell Frog Key Population Management Plan (DECC 2007); and • monitoring of regeneration and revegetation initiatives to be designed and implemented within the proposed offset areas 	The Biodiversity Management Plan (RAVOC-1007099517-20) outlines the Biodiversity Monitoring Program in Section 6. Section 7 of the Biodiversity Management Plan provides further management and monitoring measures to address this commitment.	Compliant	
PA112	6.7.2	The Proponent will investigate potential opportunities for the provision of contributions to the development of regional biodiversity initiatives, in consultation with OEH and the Department.	The University of Newcastle was engaged and funded by the Ravensworth Complex to complete the Hunter Ironbark Research Program. The research was finished and the final report was provided to the Ravensworth Complex in June 2016. All invoices that were provided for the research program by the	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>University of Newcastle were paid in full by the Ravensworth Complex.</p> <p>It is also noted that research into the mapping and recovery of EECs affected by the project, particularly Central Hunter Grey Box - Ironbark Woodland EEC and Central Hunter Ironbark - Spotted Gum - Grey Box Forest EEC are ongoing and the results are included in the annual review.</p> <p>This work is currently completed by environmental consultants during the annual offset monitoring.</p>		
WATER RESOURCES – SURFACE WATER					
PA113	6.8.1	The Proponent will continue to undertake surface water quality monitoring in accordance with its existing program, with additional monitoring points to be established at Davis Creek for the life of the Project except where otherwise agreed with the Department and following consultation with EPA. All surface water monitoring results will be reported in the Annual Review.	<p>Water quality monitoring programs at the Ravensworth Complex are managed in accordance with the Ravensworth Complex Water Management Plan (RAVCX-307024981-4592).</p> <p>The Water Management Plan was reviewed and approved on 30 March 2021 by Mathew Sprott, Director of Resource Assessment, Department of Planning and Environment.</p> <p>Section 6 of the Plan for Ravensworth Complex Water Management explicitly outlines the design, implementation and record keeping protocols for surface and groundwater monitoring programs.</p> <p>The results of the water quality monitoring program(s) are reported in the Annual Review submitted to the DPE in March each year.</p> <p>Each Annual Review over the audit term has included Surface Water monitoring results as follows:</p> <ul style="list-style-type: none"> • 2018 - Section 7.3 • 2019 - Section 7.2 • 2020 – Section 7.4 	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA114	6.8.2	<p>At least 12 months prior to the diversion of Emu Creek, the Proponent in conjunction with Coal & Allied will review the need to undertake any further studies to inform the detailed design of the diversion to ensure the appropriate integration of the diversion with future mining operations associate with the Project and the adjacent Coal & Allied operations.</p> <p>As part of the detailed design of the proposed Emu Creek diversion, the Proponent will obtain all relevant approvals in consultation with Coal & Allied and to the satisfaction of the Department.</p>	It is understood that the diversion of Emu Creek has been delayed until after mining has been completed in that area.	Not triggered	
GROUNDWATER					
PA115	6.8.3	<p>The Proponent will undertake two-monthly assessments of any departures from identified monitoring or predicted data trends. Departures from identified monitoring trends are taken to be consecutive data over a period of 6 months (minimum of three consecutive readings) exhibiting an increasing divergence in a negative impact sense from the previous data or from established or predicted trends. Any identified issues will be the subject of further investigation, in accordance with the relevant response procedures developed under the Groundwater Monitoring Program for the Project.</p>	<p>The Ravensworth Complex Water Management Plan (RAVCX-307024981-4592) outlines the water quality monitoring programs for the Project.</p> <p>Departures from identified monitoring or predicted data trends were not observed during the audit period. Section 6 of the Ravensworth Complex Water Management Plan outlines the design, implementation and record keeping protocols for surface and groundwater monitoring programs.</p> <p>The results of the water quality monitoring program(s) are reported in the Annual Review submitted to the DPIE each year.</p>	Compliant	
PA116	6.8.4	<p>A formal review of the depressurisation of coal measures and comparison of responses with the aquifer model predictions will be undertaken biennially. Expert review will be undertaken by a suitably qualified hydrogeologist if the measured depressurisation in the coal measures exceeds the predicted depressurisation for the designated period.</p>	<p>Since 2011 Ravensworth has engaged Mackie Environmental Research Pty Ltd to undertake a formal review of the depressurisation of coal measures including comparison against historic and predicted trends. This review has been completed at two yearly intervals.</p> <p>During the audit term these studies concluded that there was no reason to modify the groundwater model.</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA117	6.8.5	The Proponent will develop appropriate remedial and recovery plans for identified stands of Eucalyptus camaldulensis along the Hunter River in the southern extent of the Project area on land controlled by the Proponent. The plans will be developed in consultation with DPI – Water and EPA, to the satisfaction of the Secretary.	Ravensthorpe Operations have not progressed with any dam construction or disturbed identified strands of Eucalyptus camaldulensis along the southern section of Project area. Accordingly, this condition has not been triggered.	Not triggered	
PA118	6.8.6	The Proponent will seek to enter into a co-operative, transparent, data sharing agreement with surrounding operations, including Coal and Allied Hunter Valley Operations and Ashton, for the sharing of relevant piezometric data.	Informal agreement in place with surrounding Operations in which piezometric data may be supplied on request. Discussions on water management data occurs at the quarterly Greater Ravensthorpe managers meeting, by exception. Data sharing of piezometric data is conducted with Liddell, Mt Owen, Glendell, Integra, United/ Wambo and HVO via the shared Environmental Monitoring Database.	Compliant	
TRAFFIC AND TRANSPORT					
PA119	6.9.1	The proposed Lemington Road Realignment will be designed and constructed in accordance with the RMS's Road Design Guide (1999) and the proposed bridge over Bayswater Creek will be designed in accordance with AS5100.2, AS1700.0 and AS5100.5 (with a 100 year life), in consultation with the RMS and Singleton Council.	Completed prior to the audit period. Not triggered during the audit period.	Not triggered	
PA120	6.9.2	The Proponent will upgrade the intersection of the proposed Lemington Road Realignment and New England Highway in accordance with the RMS's Road Design Guide (1999). The design will be submitted for the approval of the RMS.	Completed prior to the audit period. Not triggered during the audit period.	Not triggered	
PA121	6.9.3	To manage any impacts from Project related road traffic, the Proponent will implement the following traffic management strategies: <ul style="list-style-type: none"> establishing an ongoing management procedure controlling vegetation regrowth at the New England Highway and Lemington Road Realignment intersection; and 	Completed prior to the audit period. Not triggered during the audit period.	Not triggered	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> road safety audits to be carried out at appropriate stages of the intersection upgrade and construction of the Lemington Road Realignment. 			
ABORIGINAL HERITAGE					
PA122	6.10.1	<p>The Heritage Management Plan will address:</p> <ul style="list-style-type: none"> management of sites and areas that will not be impacted by the Project; monitoring and management of potential blasting impacts on site REA86; management of the salvage of any artefacts or archaeological material, including the staged approach to salvage, from impacted areas in compliance with the research design and methodology included in Appendix 11; management of subsurface testing and further subsurface salvage works in compliance with the research design and methodology included in Appendix 11; ongoing management of salvaged artefacts and archaeological materials; the provision of suitable Aboriginal cultural heritage offsets to balance the loss of Aboriginal and archaeological sites and values that will result from the development of the Project (refer to Section 5.8.7); outline the process for the investigation of further detailed investigation of the conservation and management of the Hillcrest Offset Area as an Aboriginal heritage and archaeological resource, including: <ul style="list-style-type: none"> review of additional literature (archaeological, environmental and historical) to provide the required context for the archaeological survey and significance assessment; archaeological survey of the Hillcrest Offset Area in conjunction with Aboriginal stakeholder 	<p>The Ravensworth Complex Heritage Management Plan (RAV SD PLN 0030) and Aboriginal and Cultural Heritage Management Plan (RAVCX-1962359669-15) have been prepared and addresses the items listed within the Statement of Commitments.</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>representatives, in accordance with relevant government agency;</p> <ul style="list-style-type: none"> archaeological significance assessment, conducted by an appropriately qualified archaeologist in accordance with government agency guidelines (NPWS 1997); cultural values assessment, conducted by registered Aboriginal stakeholders; management strategies, which will formally assess the conservation value of the Hillcrest Offset Area; and reporting, with the aims, methods and results of all above works outlined in an additional Cultural Heritage Assessment report prepared in accordance with relevant government agency requirements (NPWS 1997, DEC 2004). <ul style="list-style-type: none"> the responsibilities of all parties involved - the Proponent, Aboriginal stakeholders, archaeologists, OEH; specify the mechanism(s) for ongoing engagement with Aboriginal stakeholders, including the use of an Aboriginal stakeholder committee to be implemented over the life of the Project; and the timeframes for the required Aboriginal heritage management works. 			
PA123	6.10.2	The Proponent will manage for long term conservation of the 41 sites within the Ravensworth Offset Area.	The Ravensworth Complex Aboriginal and Cultural Heritage Management Plan (RAVCX-1962359669-15) outlines the long-term conservation of the sites within the Ravensworth Offset Area	Compliant	
PA124	6.10.3	In addition to the long term conservation of sites and landforms within the Ravensworth North Offset Area, the Proponent commits to additional offsets for the loss of Aboriginal cultural heritage and archaeological sites and values that will result from the project. These include:	The Ravensworth Complex Aboriginal and Cultural Heritage Management Plan (RAVCX-1962359669-15) addresses the conservation of sites and landforms within the Ravensworth North Offset Area including the Farrells Creek	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> to actively manage the site within the existing Farrells Creek 1 Aboriginal Artefact Management Area and the area of the Ravensworth Underground Mine Dam Conservation Area (or agreed alternative area) by undertaking culturally sensitive works to improve management of ongoing erosion of the site/area; and to manage the sites that fall within the Project area but outside of the impact areas and designated conservation areas for the 29 year life of the mine by undertaking culturally sensitive works to improve management of ongoing erosion of the sites where monitoring of the sites indicates this is necessary. 	1 Aboriginal Artefact Management Area in Section 3.3.2.		
PA125	6.10.4	<p>The Proponent also commits to the following if agreed to by Aboriginal Stakeholders:</p> <ul style="list-style-type: none"> funding for the purchase of display cabinets and for the establishment of a display of artefacts salvaged from the project area that incorporates a visual display of the salvage of the artefacts and of the interpretation of the evidence derived by their analysis from an Aboriginal and archaeological perspective; suitable venues for this would be the Teaching/Keeping Place currently in the planning stage by XCN in association with Beltana Highwall Mining and other interested parties; or the Keeping Place currently in planning by the Wanaruah Local Aboriginal Land Council; funding to support the establishment of IT systems at the Keeping/Teaching place; funding to support training for Aboriginal community members to provide skills to allow them to work within the Keeping/Teaching Place (e.g. archival training, book keeping training, computer skills, hospitality training); training in stone artefact attribute recording and basic analysis; 	<p>Ravensworth Operations and the NSW OEH have a 'Care Agreement for the transfer and safekeeping of Aboriginal objects number: C000192' in place. This care agreement commenced 6 July 2015 and outlines:</p> <ul style="list-style-type: none"> •Ravensworth responsibilities for safekeeping •The conditions of the safekeeping •Notification and reporting requirements. <p>As part of the conditions of the care agreement, Ravensworth is permitted to store aboriginal cultural heritage items onsite until the teaching/keeping place has been established at Bulga/Beltana.</p> <p>Ravensworth hold annual consultation meetings with the Registered Aboriginal Parties to provide progress and updates about:</p> <ul style="list-style-type: none"> •Monitoring and management of known sites; and •Management within Offset Areas. <p>Ravensworth 3D scanning of Bowman's creek was completed in 2012</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> the Proponent will provide funding to undertake non-invasive 3D scanning of the Bowmans Creek 16 Engraving Site even though there is no proposal to impact this site from mining. 			
HISTORICAL HERITAGE					
PA126	6.11.1	<p>The Proponent will implement the following historical management measures:</p> <ul style="list-style-type: none"> management of blasting practices to meet relevant blast impact assessment criteria at listed heritage sites/items within the vicinity of the Project area; a qualified heritage consultant to NSW Heritage Office's standards will undertake archival recording of historic heritage sites of local significance directly or indirectly impacted by the Project (HH1, HH4, HH5, HH11, HH14, HH15, HH16, HH17, and HH18) prior to the commencement of mining. 	<p>Section 5 of the Heritage Management Plan (RAV SD PLN 0030) prescribes the management strategies in place to record and protect the heritage sites identified in this condition and for managing the effects of blasting on heritage values.</p>	Compliant	
PA127	6.11.2	<p>In the unlikely event that unexpected archaeological remains or potential heritage items not identified in the EA are discovered during the Project, all works in the immediate area will cease, the remains and potential impacts will be assessed by a qualified archaeologist or heritage consultant and, if necessary, the Heritage Council, the Department will be notified in accordance with the Heritage Act 1977.</p>	<p>Section 5.4.5 and 5.4.6 of the European Historic Heritage Management Plan addresses this condition.</p> <p>The Heritage Management Plan was approved by Howard Reed Director Resource Assessment on 10 September 2018.</p>	Compliant	
VISUAL CONTROLS					
PA128	6.12.1	<p>The Proponent will implement the following measures to mitigate visual impacts from the Project:</p> <ul style="list-style-type: none"> shaping, stabilising and rehabilitation of the out of pit overburden emplacement areas as soon as practicable after mining to minimise the visual impact of these areas on the amenity of the surrounding area; additional screening plantings will be utilised in strategically located positions to augment existing plantings and limit views into the Project from the 	<p>Mine infrastructure was not visible from surrounding roads or sensitive receptors during the site inspection. Visual bunds along Lemington Road and the New England were observed to be well vegetated and provided visual screens to the operation.</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>New England Highway and the proposed Lemington Road Realignment;</p> <ul style="list-style-type: none"> ensuring that all external lighting associated with the Project complies with Australian Standard AS4282 (INT) 1995 – Control of Obtrusive Effects of Outdoor Lighting; all buildings potentially visible to the public will be coloured in suitable natural tones. 			
GREENHOUSE GAS AND ENERGY					
PA129	6.13.1	The Proponent will develop and implement an Energy Management System that will address all aspects of energy management for the Project.	The Energy Management System (RAVCX-307024981-6534) was in place in 2015 at time of audit and has since been revised in 2018 (and is effective until 4 May 2021).	Compliant	Document scheduled to be reviewed and updated where required.
PA130	6.13.2	<p>At an operational level, the Proponent will aim to improve energy efficiency and reduce greenhouse emissions from the Project via:</p> <ul style="list-style-type: none"> the use of energy management systems; seeking continuous improvement in energy efficiency in the mining fleet, stationary equipment, mining processes and coal preparation; investigation of energy efficiency opportunities for mobile and fixed plant and equipment through the detailed design of the Project. 	<p>The Plan for Air Quality and Greenhouse Gas Management indicates that Section 3.4 of the plan addresses this condition. However, after examining Section 3.4 of the plan, could not be located.</p> <p>Section 4.4 GHG Management Controls partially addresses the measures for improving energy efficiency and reducing greenhouse emissions. As noted in the 2018 IEA it is recommended Ravensworth Complex should articulate the efficiency measures it is implementing in the next version of its Air Quality and Greenhouse Gas Management plan.</p> <p>Ravensworth Operations actively manage their fuel and electricity use with the aim of improving fuel efficiency.</p>	Compliant	
PA131	6.13.3	The Proponent will continue to monitor and seek to improve its energy and greenhouse gas performance against performance targets.	<p>Section 4.4.3 of the Air Quality and Greenhouse Gas Management outlines the continuous improvement strategies employed at the site.</p> <p>In addition, Ravensworth track their greenhouse gas performance through the</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			National Greenhouse and Energy Reporting Scheme (NGERS).		
PA132	6.13.4	The Proponent will report its greenhouse and energy performance via legislative reporting requirements.	Ravensworth track their greenhouse gas performance and report their emissions through the National Greenhouse and Energy Reporting Scheme (NGERS).	Compliant	
WASTE MANAGEMENT					
PA133	6.14.1	No waste will be disposed of on site except for inert wastes permissible under the EPL obtained for the Project with all other waste disposed of at appropriately licensed waste management facilities located off site.	Ravensworth has a Waste Management Plan (RAVCX-307024981- 6054) for the on-site operations. The management plan details the requirements on how to store, handle and segregate waste. Waste management at Ravensworth Operations endeavours to comply with PA 09_0176, EPL 2652 and related legislation regarding waste storage and disposal. Waste disposal follows the NSW EPA Waste Classification Guidelines and is disposed to licenced waste facilities by Ravensworth waste contractor Cleanaway.	Compliant	
PA134	6.14.2	The Proponent will continue to use a bioremediation area located within disturbed areas on site, to treat materials affected by hydrocarbons.	Ravensworth Operations has a bioremediation area where all hydrocarbon contaminated waste material within pit, hardstand and truck wash areas is bio-remediated and disposed onsite following laboratory sampling and validation by an external environmental consultant.	Compliant	
PA135	6.14.3	The Proponent will manage coarse reject and tailings associated with the processing and handling of coal in accordance with the conceptual management strategy outlined in Section 2.5.10 of the EA.	Tailings and coarse rejects are managed by Ravensworth Operations in accordance with the MOP. During the MOP period, coarse rejects from the RCHPP are transported for disposal at the Ravensworth Operations reject emplacement areas, and tailings pumped to the tailings emplacement facilities.	Compliant	
SOCIAL AND ECONOMIC					

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
PA136	6.15.1	<p>The Proponent will continue to engage the community regarding the Project and operations in general, including use of the following mechanisms:</p> <ul style="list-style-type: none"> • circulation of information relating to the commencement of construction and/or mining; • distribution of a community newsletter as appropriate and on at least a six monthly basis; • a Community Consultative Committee, as considered appropriate by Department of Planning; • establishment of a project-specific website; and • community information days to be held periodically at the Project site. 	<p>The Section 9 of the Annual Reviews for the summaries the engagement activities undertaken during the audit period.</p> <p>A community newsletter is distributed on at least a six-monthly basis via the Ravensworth website.</p> <p>The CCC meet every 4 months with meeting minutes available via the Ravensworth website.</p> <p>A project-specific website is available at https://www.glencore.com.au/operations-and-projects/coal/current-operations/ravensworth-operations</p>	Compliant	
PA136	6.15.2	<p>The Proponent will continue to operate a 24 hour community hotline for receipt of community complaints. Community complaints will be responded to within 24 hours of receipt. All complaints will be investigated and the results of the investigation reported to the complainant in a timely manner.</p>	<p>Ravensworth Complex operates a free Environment and Community Enquiry Hotline which operates 24 hours per day, 7 days per week. The number is 1800 620 553. In addition to this hotline, potentially impacted stakeholders also have the contact details of the Ravensworth Complex Environment and Community Manager.</p> <p>Evidence of complaints and associated investigations are outlined in the Annual Reviews for the audit period.</p>	Compliant	
ECONOMIC DEVELOPMENT – EMPLOYMENT, EDUCATION, AND TRAINING					
PA137	6.15.3	<p>The Proponent will continue its aims of trying to maximise local employment and provide training and education opportunities through:</p> <ul style="list-style-type: none"> • advertising employment, apprenticeships and traineeships in local or regional media as appropriate; • providing an employment pack that allows local residents to register their interest in employment opportunities at the Proponent's office; 	<p>Ravensworth participates in the corporate school scholarship program for multiple schools through the Hunter and Central West. A scholarship program is also offered in engineering and surveying through the University of Newcastle.</p> <p>Glencore has Indigenous Employment Pathways Program that aims to provide employment opportunities for Indigenous Australians with connections to coal mining operations.</p>	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> • sharing information about mining careers with the Proponent and corporate entity with local schools; • offering training opportunities through partnerships with local tertiary education providers; • participating in the corporate school scholarship program; and • continued implementation of Corporate and the Proponent's Corporate Social Involvement (CSI) programs. 			
PA138	6.15.4	<p>In addition to current practices, the Proponent proposes to:</p> <ul style="list-style-type: none"> • formalise a policy that gives local residents employment preference where they have the required skills and experience, and demonstrate a cultural fit with the organisation; • provide access to the corporate careers centre via the Proponent's website so that local residents can easily register their interest in employment online; and • develop partnerships with other local organisations to promote employment opportunities in non-mining related sectors to the families of the Proponent's employees. 	<p>Glencore provide access to careers information via the Glencore.com.au/careers website. Information on students, apprentices and graduate programs is accessible as well as professionals and employees.</p> <p>Glencore also undertake:</p> <ul style="list-style-type: none"> • advertising employment, apprenticeships and traineeships in local or regional media; • providing an employment pack that allows local residents to register their interest in employment opportunities at the site; • sharing information about mining careers with the Proponent and corporate entity with local schools; • offering training opportunities through partnerships with local tertiary education providers; • participating in the corporate school scholarship program. 	Compliant	

Ref No.	Item No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
ECONOMIC DEVELOPMENT – BUSINESS OPPORTUNITIES					
PA139	6.15.5	The Proponent will continue to give preference to sourcing materials and services from local companies where all other factors are equal.	Glencore has a procurement policy that gives preference to sourcing materials and services from local companies where all other factors are equal.	Compliant	
CUMULATIVE IMPACTS					
PA140	6.15.6	The Proponent will continue to work with representative from neighbouring mines to discuss and address issues of common concern in relation to management of cumulative impacts.	Ravensworth Complex along with Integra Underground, Mt Owen Glendell Operations, Hunter Valley Operations, and Rixs Creek complete quarterly inter-mine meetings to communicate upcoming activities and highlight potential environmental impacts that may have a cumulative impact to the surrounding community.	Compliant	

AUDIT CHECKLIST – DEVELOPMENT CONSENT 104/96

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Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
SCHEDULE 2 - ADMINISTRATIVE CONDITIONS					
OBLIGATION TO MINIMISE HARM TO THE ENVIRONMENT					
DA01	S2 C1	The Applicant shall implement all reasonable and feasible measures to prevent and/or minimise any material harm to the environment that may result from the construction, operation, or rehabilitation of the development.	Following the site inspection, it was observed that Ravensworth Complex are implementing all reasonable and feasible measures to prevent and/or minimise any material harm to the environment that may result from the construction, operation, or rehabilitation of the project.	Compliant	
TERMS OF APPROVAL					
DA02	S2 C2	The Applicant shall carry out the development generally in accordance with the: (a) EAs; (b) EA (Mod 9); (c) statement of commitments; and (d) conditions of this consent. Notes: The general layout of the development is shown in Appendix 2. The statement of commitments is reproduced in Appendix 3. The EAs are listed in Appendix 4.	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	
DA03	S2 C3	If there is any inconsistency between the above documents, 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.	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	
DA04	S2 C4	The Applicant shall comply with any reasonable requirement/s of the Director-General arising from the Department's assessment of: (a) any reports, strategies, plans, programs, reviews, audits or correspondence that are submitted in accordance with this consent; and	Glencore has provided reports, strategies, plans, programs, audits and correspondence to the Secretary for their assessment during the audit period. Multiple management plans were updated by Ravensworth Complex and	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		(b) the implementation of any actions or measures contained in these documents.	reviewed/approved by the Secretary during the audit period. Implementation of all actions and measures contained in the documents assessed occurred during the audit period.		
LIMITS ON APPROVAL					
DA05	S2 C5	Mining operations under this approval may take place on the site until 31 July 2024. Note: Under this consent, the Applicant is required to rehabilitate the site and perform additional undertakings to the satisfaction of either the Director-General or the Executive Director Mineral Resources. 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 these additional undertakings have been carried out satisfactorily.	The mine is currently in care and maintenance, with no mining activities occurring during the audit period. Rehabilitation is being undertaken progressively to ensure post mining operations the site is on target to meet rehabilitation objectives.	Not triggered	
DA06	S2 C6	The Applicant shall not extract more than 7 million tonnes of ROM coal from the Ravensworth Underground Mine in a calendar year.	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	
STRUCTURAL ADEQUACY					
DA07	S2 C7	The Applicant shall ensure that all new buildings and structures, and any alterations or additions to existing buildings and structure, that are part of the development are constructed in accordance with: (a) the relevant requirements of the BCA; and (b) any additional requirements of the MSB where the building or structure is located on land within a declared Mine Subsidence District. Notes: <ul style="list-style-type: none"> 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. 	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
DEMOLITION					
DA08	S2 C8	The Applicant shall ensure that all demolition work is carried out in accordance with Australian Standard AS 2601-2001: The Demolition of Structures, or its latest version.	No demolition occurred during the audit period.	Not triggered	
OPERATION OF PLANT AND EQUIPMENT					
DA09	S2 C9	The Applicant shall ensure that all plant and equipment used at the site is: (a) maintained in a proper and efficient condition; and (b) operated in a proper and efficient manner.	Due to the mine being on care and maintenance minimal equipment is currently in use. Site personnel complete checks on equipment to determine if there is a need for maintenance.	Compliant	
MANAGEMENT STRATEGIES, PLANS, PROGRAMS, ETC					
DA10	S2 C10	With the approval of the Director-General, the Applicant may integrate any strategy, plan, program, report, review or audit required by this consent with any similar strategy, plan, program, report, review or audit for other components of the Ravensworth mine complex.	Approval from the Department granted allowing the consolidation of RUM management plans with ROC for Aboriginal Cultural Heritage, Water, Noise and Air Quality and Greenhouse Gas with the Ravensworth Open Cut plans.	Compliant	
DA11	S2 C11	With the approval of the Director-General, the Applicant may submit any strategy, plan or program required by this consent on a progressive basis. Notes: <ul style="list-style-type: none"> While any strategy, plan or program may be submitted on a progressive basis, the Applicant will need to ensure that the existing operations on site 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 to which the strategy, plan or program applies, the relationship of this stage to any future stages, and the trigger for updating the strategy, plan or program. 	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations																
COMMUNITY ENHANCEMENT																					
DA12	S2 C12	<p>By the end of December 2013, the Applicant shall pay Council an additional financial contribution toward community enhancement of \$152,299.40.</p> <p>Note: The original consent for the development required the Applicant to contribute \$900 for each of the estimated 153 employees (ie a total contribution of \$137,700). The additional contribution reflects the additional employees at the mine over-and-above the original estimate (ie a total of 264 employees, or 111 more than originally estimated), with the contribution amount increased according to CPI (ie \$1,372.07 for each additional employee).</p>	Not triggered during the audit period.	Not triggered																	
SCHEDULE 3 - SPECIFIC ENVIRONMENTAL CONDITIONS																					
SUBSIDENCE																					
DA13	S3 C1	<p>Performance Measures – Natural and Heritage Features</p> <p>The Applicant shall ensure that the development does not cause any exceedances of the performance measures in Table 1, to the satisfaction of the Director-General.</p> <table><tr><td colspan="2">Watercourses</td></tr><tr><td>Bowmans Creek and Bayswater Creek</td><td>No greater subsidence impact or environmental consequences than predicted in the EAs</td></tr><tr><td>Bowmans Creek and Bayswater Creek alluvium</td><td>No greater subsidence impact or environmental consequences than predicted in the EAs</td></tr><tr><td>Hunter River and its alluvium</td><td>Negligible environmental consequences</td></tr><tr><td colspan="2">Biodiversity</td></tr><tr><td>Threatened species, threatened populations, or endangered ecological communities</td><td>Negligible environmental consequences</td></tr><tr><td colspan="2">Heritage</td></tr><tr><td>Aboriginal heritage sites</td><td>No greater subsidence impact or environmental consequences than approved under a permit issued under section 90 of the <i>National Parks and Wildlife Act 1974</i></td></tr></table> <p>Notes:</p> <ul style="list-style-type: none">The Applicant will be required to define more detailed performance indicators for each of these performance measures in the various management plans that are required under this consent (see condition 6 below).The requirements of this condition only apply to the impacts and consequences of mining operations	Watercourses		Bowmans Creek and Bayswater Creek	No greater subsidence impact or environmental consequences than predicted in the EAs	Bowmans Creek and Bayswater Creek alluvium	No greater subsidence impact or environmental consequences than predicted in the EAs	Hunter River and its alluvium	Negligible environmental consequences	Biodiversity		Threatened species, threatened populations, or endangered ecological communities	Negligible environmental consequences	Heritage		Aboriginal heritage sites	No greater subsidence impact or environmental consequences than approved under a permit issued under section 90 of the <i>National Parks and Wildlife Act 1974</i>	<p>RUM was placed in Care and Maintenance in October 2014 with no mining occurring since then or during the audit period. Following closure surveyors onsite completed subsidence monitoring monthly over the old workings until the area stabilised (+/-5mm). Once stabilisation occurred monitoring was reduced to a visual inspection on a quarterly basis.</p> <p>No subsidence impacts have been recorded during the audit period.</p>	Compliant	
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Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations										
		<p>undertaken following the date of approval of modification 9.</p> <ul style="list-style-type: none">Any breach of this condition is taken to be breach of this consent, and may be subject to penalty or offence provisions under the EP&A Act or EP&A Regulation, notwithstanding that offsets may be agreed or implemented under condition 2 below.													
DA14	S3 C2	<p>If the Applicant exceeds the performance measures in Table 1 and the Director-General determines that:</p> <p>(a) it is not reasonable or feasible to remediate the impact or environmental consequence; or</p> <p>(b) remediation measures implemented by the Applicant have failed to satisfactorily remediate the impact or environmental consequence; then the Applicant shall provide a suitable offset to compensate for the impact or environmental consequence, to the satisfaction of the Director-General.</p> <p>Note: Any offset required under this condition must be proportionate with the significance of the impact or environmental consequence.</p>	<p>The performance measures in Table 1 were not exceeded during the audit period.</p>	<p>Not triggered</p>											
DA15	S3 C3	<p>Performance Measures – Built Features</p> <p>The Applicant shall ensure that the development does not cause any exceedances of the performance measures in Table 2, to the satisfaction of the Executive Director Mineral Resources.</p> <table><tr><th colspan="2">Table 2: Subsidence Impact Performance Measures</th></tr><tr><th colspan="2">Built features</th></tr><tr><td>Key public infrastructure:<ul style="list-style-type: none">New England Highway;Main Northern Railway</td><td>Always safe and serviceable. Any damage that does not affect safety or serviceability must be fully repairable, and must be fully repaired.</td></tr><tr><td>Lemington Road/ Brunkers Lane</td><td>Always safe. Serviceability should be maintained wherever practicable. Loss of serviceability must be fully compensated. Damage must be fully repaired or replaced, or else fully compensated.</td></tr><tr><td>Other public infrastructure (including dams and voids; roads and tracks; active mining areas and infrastructure; electricity transmission lines; gas pipelines;</td><td>Always safe. Serviceability should be maintained wherever practicable. Loss of serviceability must be fully compensated.</td></tr></table>	Table 2: Subsidence Impact Performance Measures		Built features		Key public infrastructure: <ul style="list-style-type: none">New England Highway;Main Northern Railway	Always safe and serviceable. Any damage that does not affect safety or serviceability must be fully repairable, and must be fully repaired.	Lemington Road/ Brunkers Lane	Always safe. Serviceability should be maintained wherever practicable. Loss of serviceability must be fully compensated. Damage must be fully repaired or replaced, or else fully compensated.	Other public infrastructure (including dams and voids; roads and tracks; active mining areas and infrastructure; electricity transmission lines; gas pipelines;	Always safe. Serviceability should be maintained wherever practicable. Loss of serviceability must be fully compensated.	<p>RUM was placed in Care and Maintenance in October 2014 with no mining occurring since then or during the audit period. Following closure surveyors onsite completed subsidence monitoring monthly over the old workings until the area stabilised (+5mm). Once stabilisation occurred monitoring was reduced to a visual inspection on a quarterly basis.</p> <p>No subsidence impacts have been recorded during the audit period.</p>	<p>Compliant</p>	
Table 2: Subsidence Impact Performance Measures															
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Other public infrastructure (including dams and voids; roads and tracks; active mining areas and infrastructure; electricity transmission lines; gas pipelines;	Always safe. Serviceability should be maintained wherever practicable. Loss of serviceability must be fully compensated.														

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>Built features</p> <p>telecommunications networks and fibre optic cables; water supply pipelines, etc.)</p> <p>Houses, industrial premises, swimming pools, farm dams and other built features or improvements</p> <p>Public safety</p> <p>Public safety</p> <p>Damage must be fully repaired or replaced, or else fully compensated.</p> <p>Negligible additional risk</p> <p>Notes:</p> <ul style="list-style-type: none"> The Applicant will be required to define more detailed performance indicators for each of these performance measures in the Built Features Management Plan (see condition 6 below). The requirements of this condition only apply to the impacts and consequences of mining operations undertaken following the date of approval of modification 9. Requirements regarding “safe” or “serviceable” do not prevent preventative or mitigatory actions being taken prior to or during mining in order to achieve or maintain these outcomes. Any breach of this condition is taken to be breach of this consent, and may be subject to penalty or offence provisions under the EP&A Act or EP&A Regulation. Compensation required under this condition includes any compensation payable under the Mine Subsidence Compensation Act 1961 and/or the Mining Act 1992. 			
DA16	S3 C4	Any dispute between the Applicant and the owner of any built feature over the interpretation, application or implementation of the performance measures in Table 2 is to be settled by the Executive Director Mineral Resources. The Executive Director Mineral Resources may seek the advice of the MSB on the matter. Any decision by the Executive Director Mineral Resources shall be final and not subject to further dispute resolution under this consent.	There have been no disputes between the Applicant and the owner of any built feature over the interpretation, application or implementation of the performance measures.	Compliant	
DA17	S3 C5	<p>First Workings</p> <p>The Applicant may carry out first workings generally in accordance with the mine layout proposed in the Eas and</p>	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>the EA (Mod 9), provided that DRE is satisfied that the first workings are designed to remain stable and non-subsiding, except insofar as they may be impacted by approved second workings.</p> <p>Note: The intent of this condition is not to require an additional approval for first workings, but to ensure that first workings are built to geotechnical and engineering standards sufficient to ensure long term stability, with zero resulting subsidence impacts.</p>			
DA18	S3 C6	<p>Extraction Plan</p> <p>The Applicant shall prepare and implement an Extraction Plan for any second workings on site, to the satisfaction of the Director-General. The plan must:</p> <ul style="list-style-type: none"> (a) be prepared by suitably qualified and experienced persons whose appointment has been endorsed by the Director-General; (b) be approved by the Director-General before the Applicant carries out any of the second workings covered by the plan; (c) include detailed plans of existing and proposed first and second workings and any associated surface development; (d) include detailed performance indicators for each of the performance measures in Tables 1 and 2; (e) provide revised predictions of the conventional and non-conventional subsidence effects, subsidence impacts and environmental consequences of the proposed second workings, incorporating any relevant information obtained since the approval of modification 9; (f) describe the measures that would be implemented to: <ul style="list-style-type: none"> · ensure compliance with the performance measures in Tables 1 and 2; and · manage or remediate subsidence impacts and/or environmental consequences; (g) include a contingency plan that expressly provides for adaptive management where monitoring indicates that 	<p>The mine is currently in care and maintenance, with no mining activities occurring during the audit period.</p>	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>there has been an exceedance of any performance measure in Tables 1 and 2, or where any such exceedance appears likely;</p> <p>(h) include the following to the satisfaction of DRE:</p> <ul style="list-style-type: none"> · a Subsidence Monitoring Program to: <ul style="list-style-type: none"> o provide data to assist with the management of the risks associated with subsidence; o validate the subsidence predictions; o analyse the relationship between the predicted and resulting subsidence effects and predicted and resulting impacts under the plan and any ensuing environmental consequences; and o inform the contingency plan and adaptive management process; · a Coal Resource Recovery Plan that demonstrates effective recovery of the available resource; · a Built Features Management Plan, which has been prepared in consultation with DSC, RMS and the owners of potentially affected features, which: <ul style="list-style-type: none"> o includes measures to manage the potential impacts and consequences of subsidence on any built features; and o includes provisions for reviewing the final terminating position of longwalls close to the New England Highway in response to subsidence monitoring; · a Public Safety Management Plan to ensure public safety in the mining area; and · appropriate revisions to the Rehabilitation Management Plan required under the project approval for the Ravensworth Operations Project (MP 09_0176); <p>(i) include a: Water Management Plan, which has been prepared in consultation with EPA and NOW, which provides for the management of the potential impacts and/or environmental consequences of the proposed second workings on surface water resources, groundwater resources and flooding, and which includes:</p>			

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> o surface and groundwater impact assessment criteria, including trigger levels for investigating any potentially adverse impacts on water resources or water quality; o a program to monitor and report groundwater inflows to underground workings; and o a program to predict, manage and monitor impacts on any groundwater bores on privately-owned land; · Biodiversity Management Plan, which has been prepared in consultation with OEH and DRE, which: <ul style="list-style-type: none"> o includes a program of works to ensure that overall terrestrial and aquatic biodiversity values are the same or better than existed in the locality prior to longwall mining; o provides for the management of the potential impacts and/or environmental consequences of the proposed second workings on aquatic and terrestrial flora and fauna; · Land Management Plan, which has been prepared in consultation with any affected public authorities, to manage the potential impacts and/or environmental consequences of the proposed second workings on land in general; · Heritage Management Plan, which has been prepared in consultation with OEH and relevant Aboriginal stakeholders, which includes a program/procedures for: <ul style="list-style-type: none"> o minimising disturbance to Aboriginal sites as far as is reasonable and feasible, particularly in relation to the RUM-OS1 site; o salvage, excavation and/or management of Aboriginal sites and potential archaeological deposits within the project disturbance area, including the RUM-OS1 site; o protection and monitoring of Aboriginal sites outside the project disturbance area, including provisions to protect the undisturbed portion of the RUM-OS1 site from activities associated with the development; 			

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>o managing the discovery of any new Aboriginal objects or skeletal remains during the development; and</p> <p>o ongoing consultation and involvement of the Aboriginal communities in the conservation and management of Aboriginal cultural heritage on the site; and</p> <p>(j) include a program to collect sufficient baseline data for future Extraction Plans.</p> <p>Note: An SMP approved by DRE prior to 1 January 2014 is taken to satisfy all requirements of this condition.</p>			
DA19	S3 C7	<p>Payment of Reasonable Costs</p> <p>The Applicant shall pay all reasonable costs incurred by the Department to engage suitably qualified, experienced and independent experts to review the adequacy of any aspect of an Extraction Plan submitted for approval.</p>	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	
SURFACE INFRASTRUCTURE MANAGEMENT					
DA20	S3 C8	<p>Gas Drainage</p> <p>The Applicant shall ensure that all gas drainage pipelines (other than connection points, monitoring points, dewatering facilities, regulation or isolation points) between gas drainage plants are buried, unless otherwise agreed with the relevant landowner or unless burial is inappropriate for safety or other reasons, to the satisfaction of the Director-General.</p>	The gas drainage layout has remained the same since 2012 as outlined on the site layout plan.	Compliant	
DA21	S3 C9	<p>The Applicant shall prepare and implement a Gas Drainage Management Plan in respect of construction and use of future gas drainage infrastructure (ie for any gas drainage not subject to approval at the date of approval of modification 9) to the satisfaction of the Director-General. This plan must be submitted to the Director-General for approval prior to the construction of any future gas drainage infrastructure and must include details of the Applicant's commitments regarding:</p> <p>(a) community consultation;</p> <p>(b) landholder agreements;</p>	The gas drainage layout has remained the same since 2012 as outlined on the site layout plan.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(c) assessment of noise, air quality, traffic, biodiversity, heritage, public safety and other impacts in accordance with approved methods;</p> <p>(d) avoidance of significant impacts and minimisation of impacts generally;</p> <p>(e) beneficial re-use or flaring of drained hydrocarbon gases, wherever practicable;</p> <p>(f) achievement of applicable standards and goals;</p> <p>(g) mitigation and/or compensation for significant noise, air quality and visual impacts (including minimising visibility of infrastructure from the New England Highway); and</p> <p>(h) rehabilitation of disturbed sites.</p>			
DA22	S3 C10	<p>Service Boreholes</p> <p>The Applicant shall prepare and implement a Service Boreholes Management Plan in respect of construction and use of future service boreholes (ie any service boreholes not subject to approval at the date of approval of modification 9) to the satisfaction of the Director-General. This plan must be submitted to the Director-General for approval prior to the construction of any future service borehole and must include details of the Applicant's commitments regarding:</p> <p>(a) community consultation;</p> <p>(b) landholder agreements;</p> <p>(c) assessment of noise, air quality, traffic, biodiversity, heritage, public safety and other impacts in accordance with approved methods;</p> <p>(d) avoidance of significant impacts and minimisation of impacts generally;</p> <p>(e) achievement of applicable standards and goals;</p> <p>(f) mitigation and/or compensation for significant noise, air quality and visual impacts (including minimising visibility of infrastructure from the New England Highway); and</p> <p>(g) rehabilitation of disturbed sites.</p>	<p>The mine is currently in care and maintenance, with no mining activities occurring during the audit period. The service borehole layout has remained the same since 2012.</p> <p>The rehabilitation component of this condition is not triggered.</p>	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations										
DA23	S3 C11	<p>Personal Emergency Device (PED) Communications</p> <p>The Applicant shall prepare and implement a PED Communications Management Plan in respect of construction and use of future PED communications infrastructure (ie for any PED communications infrastructure not subject to approval at the date of approval of modification 9) to the satisfaction of the Director-General. This plan must be submitted to the Director-General for approval prior to the construction of any future PED communications infrastructure and must include details of the Applicant's commitments regarding:</p> <p>(a) community consultation;</p> <p>(b) landholder agreements;</p> <p>(c) assessment of noise, air quality, traffic, biodiversity, heritage, public safety and other impacts in accordance with approved methods;</p> <p>(d) avoidance of significant impacts and minimisation of impacts generally;</p> <p>(e) achievement of applicable standards and goals;</p> <p>(f) mitigation and/or compensation for significant noise, air quality and visual impacts (including minimising visibility of infrastructure from the New England Highway); and</p> <p>(g) rehabilitation of disturbed sites.</p>	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered											
NOISE															
DA24	S3 C12	<p>Noise Criteria</p> <p>The Applicant shall ensure that the noise generated by the development does not exceed the criteria in Table 3 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land.</p> <p>Table 3: Noise Criteria dB(A)</p> <table><tr><th>Receiver</th><th>Day (<i>L</i>_{Aeq} (15min))</th><th>Evening (<i>L</i>_{Aeq} (15min))</th><th>Night (<i>L</i>_{Aeq} (15min))</th><th>Night (<i>L</i>_{A1} (1 min))</th></tr><tr><td>Any residence on any privately owned land</td><td>35</td><td>35</td><td>35</td><td>45</td></tr></table> <p>Note: Noise generated by the development is to be measured in accordance with the relevant requirements, and exemptions (including certain meteorological conditions), of the NSW Industrial Noise Policy.</p>	Receiver	Day (<i>L</i> _{Aeq} (15min))	Evening (<i>L</i> _{Aeq} (15min))	Night (<i>L</i> _{Aeq} (15min))	Night (<i>L</i> _{A1} (1 min))	Any residence on any privately owned land	35	35	35	45	Attended noise monitoring is completed monthly to verify compliance with the project approval noise criteria. Within the auditing period there have been no exceedances of the noise criteria in Table 2 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land. According to monthly reports, all measurements were conducted in accordance with the relevant requirements and exemptions of NSW Industrial Noise Policy.	Compliant	
Receiver	Day (<i>L</i> _{Aeq} (15min))	Evening (<i>L</i> _{Aeq} (15min))	Night (<i>L</i> _{Aeq} (15min))	Night (<i>L</i> _{A1} (1 min))											
Any residence on any privately owned land	35	35	35	45											

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		However, these noise criteria do not apply if the Applicant has an agreement with the relevant owner/s of these residences/land to generate higher noise levels, and the Applicant has advised the Department in writing of the terms of this agreement.			
DA25	S3 C13	Operating Conditions The Applicant shall: (a) implement best practice noise management, including all reasonable and feasible noise mitigation measures to minimise the noise generated by the development. (b) regularly assess the meteorological data and relocate, modify and/or suspend operations to ensure compliance with the relevant conditions of this approval; and (c) co-ordinate the noise management on site with the noise management at nearby mines, including the Ravensworth Operations Project, to minimise the cumulative noise impacts of the mines, to the satisfaction of the Director-General.	a) Noise monitoring is completed at the closest noise-sensitive receiver to the ROC's rail spur, rail loop and loading point (Monitoring Site 7). There have been no exceedances of the noise monitoring levels with the auditing period. Controls implemented to control rail noise within the Ravensworth Complex and includes: <ul style="list-style-type: none"> Limiting coal transport to a maximum average of 18 train movements per day; Limiting trains to 0.8 km/h while loading. The rest of the track is under ARTC control and is signposted with speed limits. b) Key personnel at the ROC implement a real-time monitoring and forecasting system to assist with the management of noise levels during periods of noise-enhancing meteorological conditions. In the event the real-time monitoring and forecasting system predicts elevated noise levels at some receivers, the operator would prepare and possibly adjust operations to minimise noise impacts during predicted noise-enhancing meteorological conditions to ensure compliance with the relevant conditions of the project approval. These operational changes can be	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>achieved within a maximum timeframe of 75 minutes.</p> <p>The real-time directional noise monitor that is installed at the A. Bowman property (receiver ID 13), is programmed to send an SMS to key operational personnel when a trigger noise level is reached. An SMS alert is triggered based on a measured noise level, which is set at a level based on the relevant criteria or predicted noise levels at the nearby sensitive receivers. There have been no noise alerts due to noise contribution from the ROC during the auditing period.</p> <p>It was noted that the trigger noise level for the A. Bowman property (rec ID 13) is conservative as it is set to an $L_{Aeq,15min}$ of 34 dBA (i.e. 4 dB below the $L_{Aeq,15min}$ noise impact assessment criterion of 38 dBA for that receiver).</p> <p>If required, the surrounding mines have an existing agreement in place that they will contact the surrounding mines to co-ordinate the noise management on site to deal with cumulative noise impacts, to the satisfaction of the Secretary.</p>		
DA26	S3 C14	<p>Noise Management Plan</p> <p>The Applicant shall prepare and implement a Noise Management Plan for the development to the satisfaction of the Director-General. This plan must:</p> <p>(a) be prepared in consultation with EPA, and be submitted to the Director-General for approval by the end of October 2013;</p> <p>(b) describe the noise mitigation measures that would be implemented to ensure compliance with the relevant conditions of this approval; and</p>	<p>a) Appendix B of the management plan includes details of consultation that was undertaken with the EPA during the 2014 revision. There are letters of approval from both the EPA and Planning and Environment in Appendix B of the management plan and records of their correspondence.</p> <p>b) Section 5 of the noise management plan includes noise management controls for the open cut mine. The section includes</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(c) include a noise monitoring program that includes a protocol for determining exceedances of the relevant conditions of this approval; and</p> <p>(d) include a protocol that has been prepared in consultation with the owners of nearby mines to minimise the cumulative noise impacts of the mines.</p>	<p>design, operational and proactive noise controls.</p> <p>c) The noise monitoring program is described in section 6. This section includes the details of the monitoring sites, details of real time and attended noise monitoring. This section also includes details on how weather data will be collected. Section 6.2 includes the compliance assessment protocol. The section includes details on the steps that will be taken in the event of an exceedance of the noise levels. Section 4 also includes the allowable noise levels from mining activities at the ROC at each of the respective monitoring locations.</p> <p>Key personnel at the ROC implement a real-time monitoring and forecasting system to assist with the management of noise levels during periods of noise-enhancing meteorological conditions. In the event the real-time monitoring and forecasting system predicts elevated noise levels at some receivers, the operator would prepare and possibly adjust operations to minimise noise impacts during predicted noise-enhancing meteorological conditions to ensure compliance with the relevant conditions of the project approval. These operational changes can be achieved within a maximum timeframe of 75 minutes.</p> <p>The real-time directional noise monitor that is installed at the A. Bowman property, is programmed to send an SMS to key operational personnel when</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>a trigger noise level is reached. An SMS alert is triggered based on a measured noise level, which is set at a level based on the relevant criteria or predicted noise levels at the nearby sensitive receivers.</p> <p>Cumulative noise impacts are addressed in section 5.2.1. The ROC and surrounding mines will act in good faith when informed by neighbouring mines of any noise alarms at relevant locations. If required, the surrounding mines have an existing agreement in place that they will contact the surrounding mines to co-ordinate the noise management on site to deal with cumulative noise impacts, to the satisfaction of the Secretary.</p>		
AIR QUALITY AND GREENHOUSE GAS					
DA27	S3 C15	Odour The Applicant shall ensure that no offensive odours are emitted from the site, as defined under the POEO Act, unless otherwise authorised by an EPL.	There were no complaints during the auditing period that were attributed to odour. The 2018 AQ and GHG Management Plan discusses offensive odours and their management.	Compliant	
DA28	S3 C16	Greenhouse Gas Emissions The Applicant shall implement all reasonable and feasible measures to minimise the release of greenhouse gas emissions from the site to the satisfaction of the Director-General. Note: This condition does not extend to Scope 3 emissions, as defined in the National Greenhouse Energy Reporting Guidelines.	The 2018 AQ and GHG Management Plan includes a detail section (section 4) discussing the GHG, specifically: <ul style="list-style-type: none"> Monitoring systems to assess GHG and energy use performance, Detail all reasonable and feasible measures to minimise GHG emissions, Mechanism to assess monitoring results, and Manage GHG related community complaints. The Ravensworth Complex report their GHG emissions in accordance with legislation and	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>Glencore Coal Assets Australia requirements in their annual review.</p> <p>The 2020 ROC Annual Review for 2020 concludes <i>"The Scope 1 and 2 GHG emissions from the Ravensworth Complex have been estimated at the annual average of 869,681 T CO₂ -e. Actual GHG emissions for 2020 were 554,046 TCO₂-e which is significantly less than predicted levels."</i></p>		
DA29	S3 C17	<p>Operating Conditions</p> <p>The Applicant shall:</p> <p>(a) implement best practice air quality management, including all reasonable and feasible measures to minimise off-site odour, fume and dust emissions generated by the development, including those generated by any spontaneous combustion;</p> <p>(b) minimise any visible off-site air pollution generated by the development;</p> <p>(c) regularly assess meteorological forecasting data and relocate, modify and/or suspend operations to ensure compliance with the relevant conditions of this approval; and</p> <p>(d) co-ordinate air quality management on site with the air quality management at nearby mines, including the Ravensworth Operations Project to minimise the cumulative air quality impacts of the mines, to the satisfaction of the Director-General.</p>	<p>The approved Air Quality and Greenhouse Gas Management Plan discusses:</p> <ul style="list-style-type: none"> • Implementation of best practice air quality management, including all reasonable and feasible measures to minimise off-site odour, fume and dust emissions; (Section 3.3.10 and Section 3.3.11) • minimise any visible off-site air pollution (Section 3.3.12); • real-time air quality monitoring and meteorological forecasting data (Section 3.4, 3.5, 3.6); and • co-ordinate air quality management on site with the air quality management at nearby mines. (The co-ordination of air quality management between mines is done through the Inter-mine Environmental Interaction Meeting. The following mines attended the meetings: Rix Creek, Ashton, Wambo, Integra, Ravensworth and Mt Owen/Glendell.) <p>Appendix A of the AQ and GHG Management Plan (RAV SD PLN 0067 – Effective 10/09/2018) refers to a number of</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			sections within the AQ and GHG Management Plan which are not present or are incorrectly numbered or cross referenced.		
DA30	S3 C18	Air Quality and Greenhouse Gas Management Plan The Applicant shall prepare and implement an Air Quality and Greenhouse Gas Management Plan for the development to the satisfaction of the Director-General. This plan must: (a) be prepared in consultation with EPA, and be submitted to the Director-General for approval by the end of October 2013; (b) describe the measures that would be implemented to ensure compliance with the relevant conditions of this approval; (c) include an air quality monitoring program that includes a protocol for determining exceedances of the relevant conditions of this approval; and (d) include a protocol that has been prepared in consultation with the owners of nearby mines to minimise the cumulative air quality impacts of the mines.	The AQ and GHG Management Plan (RAV SD PLN 0067) has been prepared in consultation with the EPA and approved by the Secretary. The other requirements (b and c) are met by the AQ and GHG Management Plan (RAV SD PLN 0067) and the Environmental Trigger Action Response Plan. In relation to (d), (The co-ordination of air quality management between mines is done through the Inter-mine Environmental Interaction Meeting.	Compliant	
METEOROLOGICAL MONITORING					
DA31	S3 C19	During the life of the project, the Applicant shall ensure that there is a suitable meteorological station in the vicinity of the site that: (a) complies with the requirements in the Approved Methods for Sampling of Air Pollutants in New South Wales guideline; and (b) is capable of continuous real-time measurement of temperature lapse rate in accordance with the NSW Industrial Noise Policy, or as otherwise approved by EPA.	One meteorological station operated on site during the audit period. The Ravensworth Complex has a weather station onsite to measure atmospheric conditions, including wind speed, wind direction, sigma-theta, humidity, rainfall and temperature in accordance with EPL 2652. The on-site meteorological monitoring station is capable of continuous real-time measurement of wind speed, wind direction and sigma-theta (wind direction) at 10 m above ground. From this, vertical	Compliant	The AQGHGMP should be revised to include the correct location of the meteorological station.

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
			<p>temperature gradient can be determined using the sigma-theta method approved by EPA and DPIE and outlined in the NSW Industrial Noise Policy and the Noise Management Plan.</p> <p>The location presented in the AQ and GHG Management Plan is not consistent with EPL 2652.</p>		
SOIL AND WATER					
DA32	S3 C20	<p>Water Supply</p> <p>The Applicant shall 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 Director-General.</p> <p>Note: The Applicant is required to obtain all necessary water licences and approvals for the project under the Water Act 1912 and/or Water Management Act 2000.</p>	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	
DA33	S3 C21	<p>Compensatory Water Supply</p> <p>The Applicant shall provide compensatory water supply to any landowner of privately-owned land whose basic landholder rights are adversely and directly impacted (other than an impact that is negligible) as a result of the development, in consultation with NOW, and to the satisfaction of the Director-General.</p> <p>The compensatory water supply measures must provide an alternative long-term supply of water that 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.</p> <p>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</p>	The mine is currently in care and maintenance, with no mining activities occurring during the audit period.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>may refer the matter to the Director-General for resolution.</p> <p>If the Applicant is unable to provide an alternative long-term supply of water, then the Applicant shall provide alternative compensation to the satisfaction of the Director-General.</p>			
DA34	S3 C22	<p>Surface Water Discharges</p> <p>The Applicant shall ensure that all surface water discharges from the site comply with the discharge limits (both volume and quality) set for the project in any EPL; or relevant provisions of the POEO Act or Protection of the Environment Operations (Hunter River Salinity Trading Scheme) Regulation 2002.</p>	<p>One (1) discharge occurred in March 2021 from the Narama In-Pit Storage Dam during the audit period as noted in the Annual Returns.</p> <p>a) Discharge limits (both volume and quality) were within the limits set under EPL_2652:</p> <ul style="list-style-type: none"> - Point 2 refers to the Discharge distilling basin, this point was sampled daily (grab sample) during discharge and sent for lab analysis, in field measurements also collected. - pH and TSS were obtained via grab sampling under the EPL - all results were within compliance. - All discharges from 20/03/2021 to 23/03/2021 did not exceed the volume/mass limit of 400 ML/day, specified for discharge Point 2. 	Compliant	
DA35	S3 C23	<p>Water Management Plan</p> <p>The Applicant shall prepare and implement a Water Management Plan for the development to the satisfaction of the Director-General. This plan must be prepared in consultation with EPA and NOW, and be submitted to the Director-General for approval by the end of October 2013. The plan must include:</p> <p>(a) a Site Water Balance, which must:</p> <ul style="list-style-type: none"> • include details of: <ul style="list-style-type: none"> ○ sources and security of water supply; ○ water use on site; 	<p>The Ravensworth Complex Water Management Plan (RAVCX-307024981-4592) was approved by the Secretary in 2019.</p> <p>a) The water balance is located in Section 4 of the WMP and includes details of the sources of water supply, water demands and losses, water efficiency, water transfer and disposal, and future water balance.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> ○ water management on site; ○ any off-site water transfers; and <ul style="list-style-type: none"> • investigate and implement all reasonable and feasible measures to minimise water use by the development; <p>(b) an Erosion and Sediment Control Plan, which must:</p> <ul style="list-style-type: none"> • identify activities that could cause soil erosion, generate sediment or affect flooding; • describe measures to minimise soil erosion and the potential for the transport of sediment to downstream waters, and manage flood risk; • describe the location, function, and capacity of erosion and sediment control structures and flood management structures; and • describe what measures would be implemented to maintain the structures over time; <p>(c) a Surface Water Management Plan, which must include:</p> <ul style="list-style-type: none"> • detailed baseline data on surface water flows and quality in creeks and other waterbodies that could potentially be affected by the development; • surface water and stream health impact assessment criteria including trigger levels for investigating any potentially adverse surface water impacts; • a program to monitor and assess: <ul style="list-style-type: none"> ○ surface water flows and quality; ○ impacts on water users; ○ stream health; and ○ channel stability; <p>(d) a Groundwater Management Plan, which must include:</p> <ul style="list-style-type: none"> • detailed baseline data of groundwater levels, yield and quality in the region, and privately owned 	<p>b) Erosion and Sediment Control is addressed in Section 5 of the WMP. Section 5.1, 5.2, and 5.3 identify activities that could cause soil erosion, generate sediment, or affect flooding. Section 5.4 and 5.5 outline the measures to minimise soil erosion and the potential for the transport of sediment to downstream waters and manage flood risk. Section 5.6 and 5.7 describe the location, function, and capacity of erosion and sediment control structures and flood management structures. Appendix C, D, and E describe the measures implemented to maintain the structures over time.</p> <p>c) Baseline data related to the Surface Water monitoring programs is included in Appendix E. Sections 6.1 and 6.2 include the surface water and stream health impact assessment criteria along with associated monitoring programs.</p> <p>d) Baseline data related to the Groundwater monitoring programs is included in Appendix E. Section 6.5 includes groundwater impact assessment criteria including trigger levels for investigating any potentially adverse groundwater impacts. Section 6.5 outlines the groundwater monitoring program.</p> <p>e) A Surface and Ground Water Response Plan is outlined in the Trigger Action Response Plan (TARP) in Section 7.</p>		

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>groundwater bores, that could be affected by the development;</p> <ul style="list-style-type: none"> groundwater impact assessment criteria including trigger levels for investigating any potentially adverse groundwater impacts; a program to monitor and assess: <ul style="list-style-type: none"> groundwater inflows to the mining operations; impacts on regional aquifers; impacts on the groundwater supply of potentially affected landowners; impacts on the Hunter River, Bayswater Creek and Bowmans Creek alluvial aquifers; and impacts on any groundwater dependent ecosystems and riparian vegetation; <p>(e) a Surface and Ground Water Response Plan, which must include:</p> <ul style="list-style-type: none"> a response protocol for any exceedances of the surface water and groundwater assessment criteria; measures to prevent, minimise or offset groundwater leakage from alluvial aquifers caused by the development, particularly when mining within 150 metres of any such alluvials; measures to compensate landowners of privately-owned land whose basic landholder rights is adversely affected by the development; and measures to mitigate and/or offset any adverse impacts on groundwater dependent ecosystems or riparian vegetation. 			
TRANSPORT					
DA36	S3 C24	Road Maintenance	The mine is currently in care and maintenance with no invoices issued by council for road maintenance.	Not triggered	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>The Applicant shall pay Council an annual road maintenance contribution of \$5,030.91, to be adjusted annually in accordance with movements in the CPI.</p> <p>Note: The original consent for the development required the Applicant to make an annual contribution to the Council of \$3300 adjusted for CPI. The figure quoted in this condition is an updated amount incorporating annual CPI adjustments since the original consent.</p>			
DA37	S3 C25	<p>Road Access</p> <p>Access to the development from the New England Highway for employee, service vehicles, and occasional heavy vehicles shall be via Pikes Gully Road and not via the Old State Highway.</p>	All vehicle access occurs via New England Highway. As the mine is currently in care and maintenance heavy vehicles are not required to enter the site via Pikes Gully Road.	Compliant	
HERITAGE					
DA38	S3 C26	<p>Aboriginal Cultural Heritage Management Plan</p> <p>The Applicant shall prepare and implement an Aboriginal Cultural Heritage Management Plan for the project to the satisfaction of the Director-General. This plan must:</p> <p>(a) be prepared in consultation with OEH, the Aboriginal community, and be submitted to the Director-General for approval by the end of December 2013;</p> <p>(b) include a program/procedures for:</p> <ul style="list-style-type: none"> • minimising disturbance to Aboriginal sites as far as is reasonable and feasible, particularly in relation to the RUM-OS1 site; • salvage, excavation and/or management of Aboriginal sites and potential archaeological deposits within the project disturbance area, including the RUM-OS1 site; • protection and monitoring of Aboriginal sites outside the project disturbance area, including provisions to protect the undisturbed portion of the RUM-OS1 site from activities associated with the development; 	<p>Aboriginal and Cultural Management Plan (ACHMP) (RAVCX-1962359669-15) effective 19/02/21.</p> <p>a) Consultation occurred with OEH, the Aboriginal community, the Heritage Council, Council, local historical organisations and relevant landowners during the initial development and as part of revisions of the ACHMP.</p> <p>b) Section 4 of ACHMP provides a management strategy for the site listed in the condition.</p> <p>- Section 9 outlines the procedure for salvage, excavation and/or management of Aboriginal sites and potential archaeological deposits.</p> <p>- Protection and monitoring measures for the REA86 Grinding Groove site are outlined in Section 4.5. Sections 4.6 includes the details on how scare trees will be managed onsite.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> managing the discovery of any new Aboriginal objects or skeletal remains during the development; and ongoing consultation and involvement of the Aboriginal communities in the conservation and management of Aboriginal cultural heritage on the site. 	<ul style="list-style-type: none"> Management and protection measures are outlined in Section 7 of the ACHMP. Section 5 of the ACHMP details the Aboriginal Community Consultation process and access requirements. The management of discovery of any new Aboriginal objects or skeletal remains during the project is detailed in Section 8 of the ACHMP. 		

REHABILITATION

DA39

S3 C27

Rehabilitation Objectives

The Applicant shall rehabilitate the site to the satisfaction of the Executive Director Mineral Resources. This rehabilitation must comply with the objectives in Table 3.

Table 3: Rehabilitation Objectives

Feature	Objective
Mine site (as a whole)	Safe, stable & non-polluting
Surface infrastructure	To be decommissioned and removed, unless the Executive Director Mineral Resources agrees otherwise
Portals and vent shafts	To be decommissioned and made safe and stable.
	Retain habitat for threatened species (eg bats), where practicable
Watercourses subject to subsidence impacts	Hydraulically and geomorphologically stable, with riparian vegetation that is the same or better than prior to mining
Land to be restored or maintained for agricultural purposes	Restored and maintained to: <ul style="list-style-type: none">the same or higher land capability and agricultural suitability than prior to mining; anda landform consistent with the surrounding environment, including no greater than minor changes to flooding characteristics or ponding.
Other land	Restore ecosystem function, including maintaining or establishing self-sustaining eco-systems comprised of: <ul style="list-style-type: none">local native plant species (unless the Executive Director Mineral Resources agrees otherwise); anda landform consistent with the surrounding environment, including no greater than minor changes to flooding characteristics or ponding.
Built features damaged by mining operations	Repair to pre-mining condition or equivalent unless: <ul style="list-style-type: none">the owner agrees otherwise; orthe damage is fully restored, repaired or compensated for under the <i>Mine Subsidence Compensation Act 1961</i>.
Community	Ensure public safety
	Minimise the adverse socio-economic effects associated with mine closure

Notes:

- These rehabilitation objectives apply to all subsidence impacts and environmental consequences caused by mining taking place after the date of approval of modification 9; and to all surface infrastructure part of the development, whether constructed prior to or following the date of this approval.

Whilst the final achievement of rehabilitation is not yet triggered. The site rehabilitation is considered in overall rehabilitation documents and management plans.

The MOP (rehabilitation management plan) was approved by the Resources Regulator on 15th Dec 2020.

The site is considered to be safe, stable and non-polluting whilst in care and maintenance. The aim of rehabilitation is to restore/maintain the land to same land capability with a landform consistent with surrounding land. This is on track to be fulfilled once final use for mining purposes is complete.

Not triggered

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> Rehabilitation of subsidence impacts and environmental consequences caused by mining which took place prior to the date of approval of modification 9 may be subject to the requirements of other approvals (eg under a mining lease or an Subsidence Management Plan approval) or the Applicant's commitments. The Rehabilitation Management Plan, required under the approval for the Ravensworth Operations Project, must be prepared in a manner that is consistent with the rehabilitation objectives in Table 3. 			
DA40	S3 C28	Progressive Rehabilitation The Applicant shall rehabilitate the site progressively, that is, as soon as reasonably practicable following disturbance.	The RUM area is included in the overall Ravensworth Operations rehabilitation program including monitoring and maintenance reports. Furthermore, the area is considered in achieving overall rehabilitation outcomes for the site.	Compliant	

SCHEDULE 4 - ENVIRONMENTAL MANAGEMENT, REPORTING AND AUDITING

ENVIRONMENTAL MANAGEMENT

DA41	S4 C1	Adaptive Management The Applicant must assess and manage development-related risks to ensure that there are no exceedances of the performance measures or associated performance indicators and impact assessment criteria in schedule 3. Any exceedance of these 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 performance measures has occurred, the Applicant must, at the earliest opportunity: <ul style="list-style-type: none"> (a) take all reasonable and feasible steps 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 	The mine is currently in care and maintenance, with no mining activities occurring during the audit period. Monitoring data for the audit period does not show any exceedances of air, water or noise approval conditions associated with RUM.	Not triggered	
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Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		Department describing those options and any preferred remediation measures or other course of action; and (c) implement remediation measures as directed by the Director-General, to the satisfaction of the Director-General.			
DA42	S4 C2	<p>Annual Review</p> <p>By the end of March each year, the Applicant shall review the environmental performance of the development to the satisfaction of the Director-General. This review must:</p> <p>(a) describe the works (including any rehabilitation) that were carried out in the previous calendar year, and the works that are proposed to be carried out over the current calendar year;</p> <p>(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:</p> <ul style="list-style-type: none"> • relevant statutory requirements, limits or performance measures/criteria; • monitoring results of previous years; and • relevant predictions in the EAs; <p>(c) identify any non-compliance over the last year, and describe what actions were (or are being) taken to ensure compliance;</p> <p>(d) identify any trends in the monitoring data over the life of the development;</p> <p>(e) identify any discrepancies between the predicted and actual impacts of the development, and analyse the potential cause of any significant discrepancies; and</p> <p>(f) describe what measures will be implemented over the next year to improve the environmental performance of the development.</p>	<p>The works and monitoring completed during the audit period are described in the Ravensworth Complex Annual Reviews 2018-2020. Rum is currently in care and maintenance, with no mining activities occurring during the audit period.</p> <p>As a result, limited RUM data is included in the annual reviews. No non-compliances have been noted within the annual reviews for the audit period.</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
DA43	S4 C3	<p>Revision of Strategies, Plans and Programs</p> <p>Within 3 months of:</p> <p>(a) the submission of an annual review under condition 2 above;</p> <p>(b) the submission of an incident report under condition 5 below;</p> <p>(c) the submission of an audit under condition 7 below; and</p> <p>(d) any modification to the conditions of this consent, the Applicant shall review, and if necessary revise, the strategies, plans, and programs required under this consent to the satisfaction of the Director-General.</p> <p>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.</p>	<p>Mining Operations Plan – Care and Maintenance (RAVUG-27619932-35) valid until 31/12/2022.</p> <p>Ravensthorpe Complex reviewed the RUM MOP in 2020 and submitted to the Director-General for review. The updated RUM MOP was approved by the Director-General 15 December 2020.</p>	Compliant	
DA44	S4 C4	<p>Community Consultative Committee</p> <p>The Applicant shall maintain a Community Consultative Committee (CCC) for the development to the satisfaction of the Director-General. This CCC must be operated in general accordance with the Guidelines for Establishing and Operating Community Consultative Committees for Mining Projects (Department of Planning, 2007, or its latest version).</p> <p>Notes:</p> <ul style="list-style-type: none"> • 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, recognised environmental groups and the local community. • The CCC may be combined with any similar CCC for the Ravensthorpe Operations Project. 	<p>A Community Consultative Committee (CCC) has been formed for Ravensthorpe Complex and encompasses ROC, RUM, and RCHPP and meets quarterly. The CCC is operated in general accordance with the Guidelines for Establishing and Operating Community Consultative Committees for Mining Projects, 2007.</p> <p>The CCC is independently chaired by Dr William Paradise and typically has representation from Ravensthorpe Complex, Singleton Council (Cr Godfrey Adamthwaite), recognised environmental groups and the local community (Patricia Bestic).</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
REPORTING					
DA45	S4 C5	Incident Reporting The Applicant shall notify, at the earliest opportunity, the Director-General and any other relevant agencies of any incident that has caused, or threatens to cause, material harm to the environment. For any other incident associated with the development, the Applicant shall notify the Director-General and any other relevant agencies as soon as practicable after the Applicant becomes aware of the incident. Within 7 days of the date of the incident, the Applicant shall provide the Director-General and any relevant agencies with a detailed report on the incident, and such further reports as may be requested.	The mine is currently in care and maintenance, with no mining activities occurring during the audit period. No incidents have been reported associated with the operation during the audit period.	Not triggered	
DA46	S4 C6	Regular Reporting The Applicant shall 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. Note: This website may be integrated with any similar website established for the Ravensworth mine complex.	An overview of the works and monitoring completed during the audit period are outlined in the Annual Reviews. Due to the mine being under care and maintenance, with no mining activities occurring during the audit period limited data is included in the Annual Reviews. Detailed monitoring results are included in the monthly and quarterly environmental monitoring reports displayed via Glencore's website https://www.glencore.com.au/operations-and-projects/coal/current-operations/ravensworth-operations	Compliant	
INDEPENDENT ENVIRONMENTAL AUDIT					
DA47	S4 C7	By the end of June 2015, and every 3 years thereafter, unless the Director-General directs otherwise, the Applicant shall commission and pay the full cost of an Independent Environmental Audit of the development. This audit must:	EMM Consulting completed a IEA of the Ravensworth Complex in 2018. a) The IEA was completed by conducted by a suitably qualified, experienced and independent team of experts whose	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<p>(a) be conducted by a suitably qualified, experienced and independent team of experts whose appointment has been endorsed by the Director-General;</p> <p>(b) include consultation with the relevant agencies;</p> <p>(c) assess the environmental performance of the development and assess whether it is complying with the requirements in this consent and any relevant EPL or Mining Lease (including any assessment, plan or program required under these approvals);</p> <p>(d) review the adequacy of strategies, plans or programs required under the abovementioned approvals; and, if appropriate</p> <p>(e) recommend measures or actions to improve the environmental performance of the development, and/or any strategy, plan or program required under these approvals.</p> <p>Notes:</p> <ul style="list-style-type: none"> · This audit team must be led by a suitably qualified auditor and include experts in subsidence and any other field specified by the Director-General. · The audits should be coordinated with similar auditing requirements for the Ravensworth Operations Project. 	<p>appointment has been endorsed by the Secretary.</p> <p>b) Evidence of consultation with relevant agencies was observed within the 2018 IEA Report.</p> <p>The 2018 IEA Report was endorsed by the Secretary and assessed the environmental performance of the project; reviewed the adequacy of any approved strategies, plans or programs required under these approvals; and recommended measures or actions to improve the environmental performance of the project where required.</p>		
DA48	S4 C8	<p>Within 6 weeks of the completion of this audit, or as otherwise agreed by the Director-General, the Applicant shall submit a copy of the audit report to the Director-General, together with its response to any recommendations contained in the audit report.</p>	<p>2018 IEA was submitted to DPIE on 7 July 2018. The EIA was reviewed by DPIE and a supplementary information request was issued. The document was reissued responding to DPIE's comments on 15 March 2019 and accepted by DPIE.</p>	Compliant	
ACCESS TO INFORMATION					
DA49	S4 C9	<p>From 30 September 2013, the Applicant shall:</p> <p>(a) make copies of the following publicly available on its website:</p> <ul style="list-style-type: none"> • the EAs; 	<p>a) All documents noted within this condition are available publicly available via Glencore's website https://www.glencore.com.au/operations-</p>	Compliant	

Ref No.	Cond No.	Audit Finding & Recommendations	Comments & Evidence	Audit Findings	Recommendations
		<ul style="list-style-type: none"> all current statutory approvals for the development; all approved strategies, plans and programs required under the conditions of this consent; a 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 complaints register, updated on a monthly basis; minutes of CCC meetings; 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 Director-General; and <p>(b) keep this information up-to-date, to the satisfaction of the Director-General.</p>	<p>and-projects/coal/current-operations/ravensthorpe-operations</p> <p>Additional information has not been requested to be displayed on the website by the Secretary within the audit period.</p> <p>b) The information has been maintained and updated regularly by the Ravensworth Complex environmental team.</p>		

S = Schedule

C = Condition

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	CCL0723	Administration	1. EXTRACTION OF COAL The lease holder shall extract as large a percentage of the coal in the subject area as is practicable consistent with the provisions of the Coal Mines Regulations Act 1982 and the Regulations thereunder and shall comply with any direction given or which may be given in this regard by the Minister.	MOP approved (on website)	Compliant	
Condition 002	CCL0723	Mine Operations Plan	2. Mining Operations Plan (MOP) (1) Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:- (a) ongoing mining operations and environmental management; and (b) ongoing monitoring of the project. (2) The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement (3) A Plan must be lodged with the Director-General:- (a) prior to the commencement of operations; (b) subsequently as appropriate prior to the expiry of any current Plan; and (c) in accordance with any direction issued by the Director-General. (4) The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:- (a) area(s) proposed to be disturbed under the Plan; (b) mining and rehabilitation method(s) to be used and their sequence; (c) areas to be used for disposal of tailings/waste; (d) existing and proposed surface infrastructure; (e) progressive rehabilitation schedules; (f) areas of particular environmental sensitivity; (g) water management systems (including erosion and sediment controls); (h) proposed resource recovery, and (i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation. (5) The Plan when lodged will be reviewed by the Department of Mineral Resources. (6) The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement. (7) If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time. (8) During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.	MOP approved (on website)	Compliant	
Condition 003	CCL0723	Annual Report	3. Annual Environmental Management Report (AEMR) (1) Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General. (2) The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:- (a) the accepted Mining Operations Plan; (b) development consent requirements and conditions; (c) Department of Environment and Conservation and Department of Planning Licences and approvals; (d) any other statutory environmental requirements; (e) details of any variations to environmental approvals applicable to the lease area, and (f) where relevant, progress towards final rehabilitation objectives. (3) After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice. (4) The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies and the local council.	Annual Reviews (2018-2020) on website	Compliant	
Condition 014	CCL0723	Administration	14. SHAFTS, DRIFTS, ADITS Operations shall be conducted in such a manner as not to cause any danger to persons or stock and the lease holder shall provide and maintain adequate protection to the satisfaction of the Minister around each shaft or excavation opened up or used by the lease holder.	Not triggered. Site is secured, under observation by OCEs, Personnel, Cameras etc	Not triggered	
Condition 015	CCL0723	Administration	15. Dumps The lease holder shall comply with any direction, given or which may be given by the Inspector regarding the dumping, depositing or removal of material extracted as well as the stabilisation and revegetation of any dumps of coal, minerals, mine residues, tailings or overburden situated on the subject area or the associated colliery holding.	Not triggered.	Not triggered	
Condition 016	CCL0723	Administration	16. Dumps The lease holder shall comply with any direction given or which may be given by the Minister regarding the spraying of coal dumps on the subject area.	Not triggered.	Not triggered	
Condition 017	CCL0723	Air Quality	17. Dust The lease holder shall take such precautions as are necessary to abate any dust nuisance.	AQGMP (website)	Compliant	
Condition 018	CCL0723	Administration	18. Management and Rehabilitation of Lands (General) The lease holder shall not interfere with any fences on or adjacent to the subject area unless with the prior written approval of the owner thereof or the Minister and subject to such conditions as the Minister may stipulate.	Not triggered during audit. No specific evidence other than GDP register which would capture repairs to fences.	Not triggered	
Condition 019	CCL0723	Public Infrastructure & Utilities	19. Management and Rehabilitation of Lands (General) The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.	Not triggered. No instruction given by Minister. No evidence.	Not triggered	
Condition 020	CCL0723	Land Management	20. Management and Rehabilitation of Lands (General) If required to do so by the Minister and within such time as may be stipulated by the Minister the lease holder shall carry out to the satisfaction of the Minister surveys of structures, buildings and pipelines on adjacent landholdings to determine the effect of operations on any such structures, buildings and pipelines.	Not triggered. No instruction given by Minister. No evidence.	Not triggered	
Condition 021	CCL0723		21. Management and Rehabilitation of Lands (General) If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.	CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) MOP Satisfactory LETT0005205	Compliant	
Condition 022	CCL0723	Land Management	22. Upon completion of operations on the surface of the subject area or upon the expiry or sooner determination of this authority or any renewal thereof, the lease holder shall remove from such surface buildings, machinery, plant, equipment, constructions and works as may be directed by the Minister and such surface shall be rehabilitated and left in a clean, tidy and safe condition to the satisfaction of the Minister.	Not triggered. MOP details progressive rehab however site still operational.	Not triggered	
Condition 023	CCL0723	Land Management	23. If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister and within such time as may be allowed by the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.	Not triggered. No direction given by Minister in relation to this lease.	Not triggered	
Condition 024	CCL0723	Land Management	24. Management and Rehabilitation of Lands (General) The lease holder shall take all precautions against causing outbreak of fire on the subject area.	Bushfire Management Plan	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 025	CCL0723	Land Management	25. Management and Rehabilitation of Land (General) The lease holder shall provide and maintain to the satisfaction of the Minister efficient means to percent contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam or reservoir, watercourse or catchment area or any undue interference to fish or their environment and shall observe any instruction given or which may be given by the Minister with a view to preventing or minimising the contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam or reservoir, watercourse or catchment area, or any undue interference to fish or their environment.	Water Management Plan; Annual Reviews; Monthly Monitoring Reports, MOP (all on website)	Compliant	
Condition 026	CCL0723	Blast	26. Blasting The lease holder shall monitor noise and vibration and institute controls, generally in accordance with the recommendations of Australian Standard AS-2187-1993 and ANZEC Guidelines. (a) Ground Vibration The lease holder shall design all blasts on the basis that the ground vibration peak particle velocity generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises not owned by the lease holder, the holder authority under the Mining Act, or not subject to a valid agreement with the lease holder, with respect to the effects of blasting. (b) Blast Overpressure The lease holder shall design blasts on the basis that the blast overpressure noise level generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises not owned by the lease holder, the holder authority under the Mining Act, or not subject to a valid agreement with the lease holder, with respect to the effects of blasting.	Annual Reviews (2018-2020) on website	Compliant	
Condition 027	CCL0723	Flora, Fauna	27. Trees (Planting and Protection of) Flora and Fauna and Arboreal Screens If so directed by the Minister, the lease holder shall carry out operation in such a manner as to minimise disturbance to flora and fauna within the subject area.	Tree Screens (as sighted in field) not directed specifically by Minister.	Compliant	
Condition 029	CCL0723	Land Management	29. Trees (Planting and Protection of) Flora and Fauna and Arboreal Screens The lease holder shall maintain an arboreal screen to the satisfaction of the Minister within such parts of the subject area as may be specified by the Minister and shall plant such trees of shrubs as may be required by the Minister to preserve the arboreal screen in a condition satisfactory to the Minister.	Tree Screens (as sighted in field) not directed specifically by Minister.	Compliant	
Condition 030	CCL0723	Land Management	30. Soil Erosion The lease holder shall conduct operations in such a manner as not to cause or aggravate soil erosion and the lease holder shall observe and perform any instructions given or which may be given by the Minister with a view to minimising or preventing soil erosion.	Water Management Plan (website)	Compliant	
Condition 031	CCL0723	Traffic & Transport	31. Roads The lease holder shall pay to SingletonShireCouncil, Department of Land and Water Conservation or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council or Department or Chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area. PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act 1961, in settlement of a claim for compensation for the same damage.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO. Area covers part of Narama.	Not triggered	
Condition 032	CCL0723	Traffic & Transport	32. Roads In the event of operations being conducted on the surface of any road, track or firetrail traversing the subject area or in the event of such operations causing damage to or interference with any such road, track or firetrail the lease holder, at his own expense, shall if directed to do so by the Minister provide to the satisfaction of the Minister and alternate road, track or firetrail and, if required to do so by the Minister, the lease holder shall upon completion of operations rehabilitate the surface of the original road, track or firetrail to a condition satisfactory to the Minister.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO. Included MOP Plan and GDP register. No alterations to existing roads. Area covers Narama.	Not triggered	
Condition 033	CCL0723	Water	33. CATCHMENT AREAS (a) Operations shall be carried out in such a way as not to cause any pollution of the Hunter River Catchment Area. (b) If the lease holder is using or about to use any process which in the opinion of the Minister is likely to cause contamination of the waters of the said Catchment Area the lease holder shall refrain from using or cease using as the case may require such process ,Within twenty four (24) hours of the receipt by the lease holder of a notice in writing under the hand of the Minister requiring the lease holder to do so. (c) The lease holder shall comply with any regulations now in force or hereafter to be in force for the protection from pollution of the said Catchment Area.	Water Management Plan; Annual Reviews; Monthly Monitoring Reports, MOP (all on website).	Compliant	
Condition 041	CCL0723	Infrastructure & Site Services	41. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES The leaseholder shall so far as is practicable so conduct operationsas not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.	Not triggered.	Not triggered	
Condition 043	CCL0723	Aboriginal Cultural Heritage, Cultural Heritage	43. ABORIGINAL PLACE OR OBJECT The lease holder shall not knowingly destroy, deface or damage any aboriginal place or relic within the subject area except in accordance with an authority issued under the National Parks and Wildlife Act, 1974, and shall take every precaution in drilling, excavating or disturbing the land against any such destruction, defacement or damage.	Not triggered.	Not triggered	
Condition 045	CCL0723	Access to Information	45. ADDITIONAL INFORMATION The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister:- (a) information regarding the ownership of the land within the subject area; (b) information regarding the ownership of the coal within the subject area prior to 1st January, 1982; (c) an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished; (d) information regarding the financial viability of the lease holder and operations within and associated with the subject area; and (e) information regarding shareholdings in the lease holder.	Not triggered.	Not triggered	
Condition 046	CCL0723	Administration	46. SERVICE OF NOTICES Within a period of three months from the date of this authority or a period of three months from the date of service of the notice of renewal, or within such further time as the Director-General may allow the lease holder shall serve on each owner and occupier of the private land and on each occupier of the Crown land and held under a pastoral lease within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface, the notice shall be accompanied by an adequate plan and description of the subject area. If there are ten (10) or more Owners or occupiers affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.	Not triggered.	Not triggered	
Condition 047	CCL0723	Administration	47. INSPECTORS (a) Where the Inspector under the Mining Act 1992 is of the opinion that any condition of this authority relating to operations within the subject area, or any provisions of the Mining Act, 1992, relating to operations within the subject area, are not being complied with by the lease holder, the Inspector may serve on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:- to cease operations within the subject area in contravention of that condition or Act; and to carry out within the specified time works necessary to rectify or remedy the situation. (b) The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph(a) of this condition. The Director General may confirm, vary or revoke any such direction. (c) A notice referred to in this condition may be served on the Colliery Manager.	Not triggered.	Not triggered	
Condition 048	CCL0723	Administration	48. Indemnities The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any working now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other condition of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act of thing which the lease holder may be licensed or compelled to do hereunder.	Not triggered.	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 049	CCL0723	Administration	49. Indemnities The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the even of any damage resulting from mining operations under or near the subject area.	Not triggered.	Not triggered	
Condition 050	CCL0723	Administration	50. Prospecting (General) Where the lease holder desires to commence prospecting operations in the subject area the lease holder shall notify the Director-General in writing and shall comply with such additional conditions as the Minister may impose including any condition requiring the lodgement of an operations bond or other form of security for rehabilitation of the area affected by such operations. Where the lease holder notifies the Director-General pursuant to sub-paragraph (a) of this condition the lease holder shall furnish with that notification details of the type of prospecting methods that would be adopted and the extent and location of the area that would be affected by them.	Not triggered.	Not triggered	
Condition 051	CCL0723	Administration	51. Security Deposit (a) The joint security in the sum of \$1,955,750 must be given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfillment by the lease holder of obligations under this mining lease 1357 (Act 1992). If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfil the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder. (b) The lease holder must provide the security required by sub-clause (a) in one of the following forms: (i) cash, or (ii) a security certificate in a form approved by the Minister and issued by an authorised deposit-taking institution. (c) The Minister may at any time, vary the amount of security required in accordance with this condition.	Bank Guarantee; Security Deposit Letter	Compliant	
Condition 054	CCL0723	Administration	54. Royalty at Additional Rate The lease holder shall during the term of this authority pay to the Minister royalty at the additional rate as prescribed by the Regulations for coal recovered by open cut mining methods from the area.	Not triggered.	Not triggered	
Condition 055	CCL0723	Administration	55. Additional Condition Unless with the permission of the Minister first had and obtained, and subject to such conditions as the Minister considers necessary, the lease holder shall not mine for, work, win or remove any coal from any part of the subject area being within a distance of 40.23 metres on either side of the middle thread of Bayswater/Saltwater Creek.	Not triggered.	Not triggered	
Mining Act Condition 001	CCL0723	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	CL378_Reporting_Index_201711_A_01_REPORT CL378_Reporting_Index_201811_A_01_REPORT	Compliant	
Mining Act Condition 002	CCL0723	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	Not triggered.	Not triggered	
Mining Act Condition 003	CCL0723	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	Levies Paid (bank guarantee)	Compliant	
Schedule A - Extraction Plan Condition	CCL0723		Extraction Plan Condition (a) In this condition: (i) approved Extraction Plan means a plan, being: A. an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or B. a subsidence management plan relating to the mining operations subject to this lease: I. submitted to the Secretary on or before 31 December 2014; and II. approved by the Secretary. ii. relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with the approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction Plan provides effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction Plan addressing: A. built features; B. public safety; or C. subsidence monitoring.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	CCL0739	Access to Information, Property	1. Notice to Landholders Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice. If there are ten or more landholders affected, the leaseholder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area.	Not triggered	Not triggered	
Condition 002	CCL0739	Reporting	2. Environmental Harm The proponent shall implement all practicable measure to prevent and/or minimise any harm to the environment that may result from the construction, operation or rehabilitation of the development.	Not triggered	Not triggered	
Condition 003	CCL0739	Mine Operations Plan	Mining Operations Plan (MOP) (a) Mining operations must not be carried out otherwise than in accordance with: a Mining Operation Plan (MOP) which has been approved by the Director-General of the Department of Primary Industries. (b) The MOP must: (i) identify areas that will be disturbed by mining operations; (ii) detail the staging of specific mining operations; (iii) identify how the mine will be managed to allow mine closure; (iv) identify how mining operations will be carried out on site in order to prevent and or minimise harm to the environment; (v) reflect the conditions of approval under- the Environmental Planning and Assessment Act 1979- the Protection of the Environment Operations Act 1997- and any other approvals relevant to the development including the conditions of this lease; and (vi) have regard to any relevant guidelines adopted by the Director-General. (c) The titleholder may apply to the Director-General to amend an approved MOP at any time. (d) It is not a breach of this condition if: (i) the operations constituting the breach were necessary to comply with a lawful order of direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection Operations Act 1997 or the Occupational Health and Safety Act 2000; and (ii) the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. (e) A MOP ceases to have affect 7 years after date of approval or other such period as identified by the Director-General. An approved amendment to the MOP under condition 5 does not constitute an approval for the purpose of this paragraph unless otherwise identified by the Director-General.	MOP (on website)	Compliant	
Condition 004	CCL0739	Reporting	4. ENVIRONMENTAL MANAGEMENT REPORTING The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.	Annual Review (2018-2020) on website	Compliant	
Condition 005	CCL0739	Reporting	5. Environment Management Reporting The EMR must: (a) report against compliance with the MOP; (b) report on progress in respect of rehabilitation completion criteria; (c) report on the extent of compliance with regulatory requirements; and (d) have regard to any relevant guidelines adopted by the Director-General.	Annual Review (2018-2020) on website	Compliant	
Condition 006	CCL0739	Reporting	6. ENVIRONMENTAL MANAGEMENT REPORTING Additional environmental reports may be required on specific surface disturbing operations or environmental incidents from time to time as directed in writing by the Director-General and must be lodged as instructed.	Not triggered	Not triggered	
Condition 007	CCL0739		7. REHABILITATION Disturbed land must be rehabilitated to a sustainable/agreed end land use to the satisfaction of the Director-General.	MOP (on website). MOP 2021-2023 outlines rehab schedule.	Compliant	
Condition 008	CCL0739	Subsidence	8. Extraction Plan Condition (a) In this condition: (i) approved Extraction plan means a plan, being: A. an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or B. a subsidence management plan relating to the mining operations subject to this lease: I. submitted to the Secretary on or before 31 December 2014; and II. approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction Plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration or subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction Plan addressing: A. built features; B. public safety; or C. subsidence monitoring.	Not triggered (not active UG mining)	Not triggered	
Condition 010	CCL0739	Administration	10. Control of Operations (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:- (i) cease working the lease; or (ii) Cease that part of the operation not complying with the act or conditions until in the opinion of the environmental officer the situation is rectified. (b) The lease holder must comply with any given direction the director general may confirm vary or revoke any such direction. (c) a direction referred to in this condition may be served on the Mine Manager.	Not triggered	Not triggered	
Condition 011	CCL0739	Reporting	11. Reports The lease holder must provide an exploration report, within a period of twenty-eight days after each anniversary of the date this lease has effect or at such other date as the Director-General may stipulate, of each year. The report must be to the satisfaction of the Director-General and contain the following:(a) Full particulars, including results, interpretation and conclusions, of all exploration conducted during the twelve months period;(b) Details of expenditure incurred in conducting that exploration;(c) A summary of all geological findings acquired through mining or development evaluation activities;(d) particulars of exploration proposed to be conducted in the next twelve months period;(e) All plans, maps, sections and other data necessary to satisfactorily interpret the report.	20170306_1 GSNW to RSO Letter Group Geoscientific Reporting Approval - Ravensworth Surface 060317 CL378_Reporting_Index_201711_A_01_R EPORT CL378_Reporting_Index_201811_A_01_R EPORT	Compliant	
Condition 012	CCL0739	Reporting	12. Licence to Use Reports (a) The lease holder grants to the Minister, by way of a non-exclusive licence, the right in copyright to publish, print, adapt and reproduce all exploration reports lodged in any form and for the full duration of copyright. (b) The non-exclusive licence will operate as a consent for the purposes of section 365 of the Mining Act 1992.	Note	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 013	CCL0739	Administration	<p>13. Confidentiality</p> <p>(a) All exploration reports submitted in accordance with the conditions of this lease will be kept confidential while the lease is in force, except in cases where:</p> <p>the lease holder has agreed that specified reports may be made non-confidential.</p> <p>reports deal with exploration conducted exclusively on areas that have ceased to be part of the lease.</p> <p>(b) Confidentiality will be continued beyond the termination of a lease where application for a flow-on title was lodged during the currency of the lease. The confidentiality will last until that flow-on title or any subsequent flow-on title, has terminated.</p> <p>(c) The Director-General may extend the period of confidentiality.</p>	Note	Compliant	
Condition 014	CCL0739	Administration	<p>14. TERMS OF THE NON-EXCLUSIVE LICENCE</p> <p>The terms of the non-exclusive copyright licence granted under condition 12 are: (a) the Minister may sub-licence others to publish, print, adapt and reproduce but not on-licence reports.</p> <p>(b) the Minister and any sub-licence will acknowledge the lease holder's and any identifiable consultant's ownership of copyright in any reproduction of the reports, including storage of reports onto an electronic database.</p> <p>(c) the lease holder does not warrant ownership of all copyright works in any report and, the lease holder will use best endeavours to identify those parts of the report for which the lease holder owns the copyright.</p> <p>(d) there is no royalty payable by the Minister for the licence.</p> <p>(e) if the lease holder has reasonable grounds to believe that the Minister has exercised his rights under the non-exclusive copyright licence in a manner which adversely affects the operations of the lease holder, that licence is revocable on the giving of a period of not less than three months notice.</p>	Note	Compliant	
Condition 016	CCL0739	Administration, Public Safety	<p>16. Safety</p> <p>Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site inductions, Site Safety Management System, Auhtorised, trained and competent personnel. Site is secure, cameras, fences, inspections etc	Compliant	
Condition 017	CCL0739	Administration	<p>17. EXPLORATORY DRILLING</p> <p>(a) At least twenty eight days prior to commencement of drilling operations the lease holder must notify the relevant Department of Climate Change and Environment regional hydrologist of the intention to drill exploratory drill holes together with information on the location of the proposed holes.</p> <p>(b) If the lease holder drills exploratory drill holes he must satisfy the Director-General that:-</p> <p>all cored holes are accurately surveyed and permanently marked in accordance with Departmental guidelines so that their location can be easily established;</p> <p>all holes cored or otherwise are sealed to prevent the collapse of the surrounding surface;</p> <p>all drill holes are permanently sealed with cement plugs to prevent surface discharge of groundwaters;</p> <p>if any drill hole meets natural or noxious gases it is plugged or sealed to prevent their escape;</p> <p>if any drill hole meets an artesian or sub-artesian flow it is effectively sealed to prevent contamination of aquifers.</p> <p>once any drill hole ceased to be used the hole must be sealed in accordance with Department guidelines. Alternatively, the hole must be sealed as instructed by the Director-General.</p> <p>once any drill hole ceases to be used the land and its immediate vicinity is left in a clean, tidy and stable condition.</p>	Not triggered.	Not triggered	
Condition 018	CCL0739	Soil, Water, Reporting	<p>18. PREVENTION OF SOIL EROSION AND POLLUTION</p> <p>Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.</p>	Water Management Plan (on website) Annual Reviews, Monthly Monitoring Reports (website)	Compliant	
Condition 019	CCL0739	Infrastructure & Site Services	<p>19. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.</p>	Not triggered	Not triggered	
Condition 021	CCL0739	Traffic & Transport	<p>21. ROADS AND TRACKS</p> <p>(a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate.</p> <p>(b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.</p>	<p>a) This condition has not been triggered. No damage to roads. All works in accordance with MOP. Included MOP Plan and GDP register. No alterations to existing roads. Area covers Narama.</p> <p>b) not triggered.</p>	Not triggered	
Condition 025	CCL0739	Administration	<p>25. RESOURCE RECOVERY</p> <p>(a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, he may give notice in writing to the lease holder requiring the holder to recover such minerals.</p> <p>(b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery.</p> <p>(c) The lease holder must, when requested by the Director-General, provide such information as the Director-general may specify about the recovery of the mineral resource of the lease area.</p> <p>(d) The Director-General shall issue no such notice unless the matter has firstly been thoroughly discussed with and a report to the Director-General has incorporated the views of the lease holder.</p> <p>(e) The lease holder may object to the requirements of any notice issued under this condition and on receipt of such an objection the Minister shall refer it to a Warden for inquiry and report under Section 334 of the Mining Act, 1992.</p> <p>(f) After considering the Warden's report the Minister shall decide whether to withdraw, modify or maintain the requirements specified in the original notice and shall give the lease holder written notice of the decision. The lease holder must comply with the requirements of this notice.</p>	MOP (on website)	Compliant	
Condition 026	CCL0739	Administration	<p>26. INDEMNITY</p> <p>The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 027	CCL0739	Administration	<p>27. SECURITY</p> <p>(a) The single security in the sum of \$NIL must be given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfillment by the lease holder of obligations under this lease. If the lease holder fails to fulfill any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfill the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder.</p> <p>(b) The lease holder must provide the security required by sub-clause (a) in one of the following forms: (i) cash, (ii) a security certificate in a form approved by the Minister and issued by an authorised deposit-taking institution.</p>	Note	Compliant	
Condition 030	CCL0739	Administration	<p>30. Suspension of Mining Operations</p> <p>The holder of a mining lease may not suspend mining operations in the mining area other than in accordance with the consent of the Minister.</p>	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Mining Act Condition 001	CCL0739	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 2928 of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	Grant date = 16/11/07	Compliant	
				Report date = 16/12 annual		
				Group reporting approval 10 March (2012)		
				Upload annual reports		
Mining Act Condition 002	CCL0739	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	Add actions for annual reports	Compliant	
				Evidence uploaded		
				CCL739 - April 18; April 19, 'April 20 2700B 14.03.19 Approval_CCL739		
				2700B 15.03.18 APPROVAL_CCL739		
Mining Act Condition 003	CCL0739	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	CCL739 - April 18; April 19, 'April 20 2700B 14.03.19 Approval_CCL739	Compliant	
				2700B 15.03.18 APPROVAL_CCL739		

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	CL0378	Access to Information, Property	1. Notice to Landholders Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice. If there are ten or more landholders affected, the leaseholder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area.	Not triggered	Not triggered	
Condition 002	CL0378	Reporting	2. Environmental Harm The proponent shall implement all practicable measure to prevent and/or minimise any harm to the environment that may result from the construction, operation or rehabilitation of the development.	Not triggered	Not triggered	
Condition 003	CL0378	Mine Operations Plan	Mining Operations Plan (MOP) (a) Mining operations must not be carried out otherwise than in accordance with: a Mining Operation Plan (MOP) which has been approved by the Director-General of the Department of Primary Industries. (b) The MOP must: (i) identify areas that will be disturbed by mining operations; (ii) detail the staging of specific mining operations; (iii) identify how the mine will be managed to allow mine closure; (iv) identify how mining operations will be carried out on site in order to prevent and or minimise harm to the environment; (v) reflect the conditions of approval under- the Environmental Planning and Assessment Act 1979- the Protection of the Environment Operations Act 1997- and any other approvals relevant to the development including the conditions of this lease; and (vi) have regard to any relevant guidelines adopted by the Director-General. (c) The titleholder may apply to the Director-General to amend an approved MOP at any time. (d) It is not a breach of this condition if: (i) the operations constituting the breach were necessary to comply with a lawful order of direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection Operations Act 1997 or the Occupational Health and Safety Act 2000; and (ii) the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. (e) A MOP ceases to have affect 7 years after date of approval or other such period as identified by the Director-General. An approved amendment to the MOP under condition 5 does not constitute an approval for the purpose of this paragraph unless otherwise identified by the Director-General.	MOP (on website)	Compliant	
Condition 004	CL0378	Reporting	4. ENVIRONMENTAL MANAGEMENT REPORTING The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.	Annual Review (2018-2020) on website	Compliant	
Condition 005	CL0378	Reporting	5. Environment Management Reporting The EMR must: (a) report against compliance with the MOP; (b) report on progress in respect of rehabilitation completion criteria; (c) report on the extent of compliance with regulatory requirements; and (d) have regard to any relevant guidelines adopted by the Director-General.	Annual Review (2018-2020) on website	Compliant	
Condition 006	CL0378	Reporting	6. ENVIRONMENTAL MANAGEMENT REPORTING Additional environmental reports may be required on specific surface disturbing operations or environmental incidents from time to time as directed in writing by the Director-General and must be lodged as instructed.	Not triggered	Not triggered	
Condition 007	CL0378		7. REHABILITATION Disturbed land must be rehabilitated to a sustainable/agreed end land use to the satisfaction of the Director-General.	The approved MOP outlines disturbance and rehabilitation activities. This is reported against in the annual review, and further reviewed during IEAs. A s240 improvement notice was received in October 2018. The requirement for a management plan has been addressed in the MOP (see Appendix 5) - this requirement is ongoing and has not been closed out. DOC18 742576 s240(1c) Direction - Cumnock Rehab October 2018 Refer to MOP (2021-2023) for Cumnock Remediation Plan	Compliant	
Condition 008	CL0378	Subsidence	8. Extraction Plan Condition (a) In this condition: (i) approved Extraction Plan means being a plan, being: A. an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or B. a subsidence management plan relating to the mining operations subject to this lease: I. submitted to the Secretary on or before 31 December 2014; and II. approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: A. built features; B. public safety; or C. subsidence monitoring.	Not triggered	Not triggered	
Condition 009	CL0378	Administration	9. WORKING REQUIREMENT The lease holder must:(a) ensure that at least 48 competent people are efficiently employed on the lease area on each week day except Sunday or any week day that is a public holiday,OR(b) expend on operations carried out in the course of prospecting or mining the lease area, an amount of not less than \$840,000 per annum whilst the lease is in force. The Minister may at any time or times, by instrument in writing served on the lease holder, increase or decrease the expenditure require or the number of people to be employed.	Ravensworth Complex currently employs approximately 547 full time staff.	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 010	CL0378	Administration	<p>10. Control of Operations</p> <p>(a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:-</p> <p>(i) cease working the lease; or</p> <p>(ii) Cease that part of the operation not complying with the act or conditions until in the opinion of the environmental officer the situation is rectified.</p> <p>(b) The lease holder must comply with any given direction the director general may confirm vary or revoke any such direction.</p> <p>(c) a direction referred to in this condition may be served on the Mine Manager.</p>	Not triggered	Not triggered	
Condition 011	CL0378	Reporting	<p>11. Reports</p> <p>The lease holder must provide an exploration report, within a period of twenty-eight days after each anniversary of the date this lease has effect or at such other date as the Director-General may stipulate, of each year. The report must be to the satisfaction of the Director-General and contain the following:(a) Full particulars, including results, interpretation and conclusions, of all exploration conducted during the twelve months period;(b) Details of expenditure incurred in conducting that exploration;(c) A summary of all geological findings acquired through mining or development evaluation activities;(d) particulars of exploration proposed to be conducted in the next twelve months period;(e) All plans, maps, sections and other data necessary to satisfactorily interpret the report.</p>	CL378_Reporting_Index_201811_A_01_R REPORT CL378_Reporting_Index_201711_A_01_R REPORT	Compliant	
Condition 012	CL0378	Reporting	<p>12. Licence to Use Reports</p> <p>(a) The lease holder grants to the Minister, by way of a non-exclusive licence, the right in copyright to publish, print, adapt and reproduce all exploration reports lodged in any form and for the full duration of copyright.</p> <p>(b) The non-exclusive licence will operate as a consent for the purposes of section 365 of the Mining Act 1992.</p>	Note	Compliant	
Condition 013	CL0378	Administration	<p>13. CONFIDENTIALITY</p> <p>(a) All exploration reports submitted in accordance with the conditions of this lease will be kept confidential while the lease is in force, except in cases where:</p> <p>the lease holder has agreed that specified reports may be made non-confidential.</p> <p>reports deal with exploration conducted exclusively on areas that have ceased to be part of the lease.</p> <p>(b) Confidentiality will be continued beyond the termination of a lease where application for a flow-on title was lodged during the currency of the lease. The confidentiality will last until that flow-on title or any subsequent flow-on title, has terminated.</p> <p>(c) The Director-General may extend the period of confidentiality.</p>	Note	Compliant	
Condition 014	CL0378	Administration	<p>14. TERMS OF THE NON-EXCLUSIVE LICENCE</p> <p>The terms of the non-exclusive copyright licence granted under condition 12 are: (a) the Minister may sub-licence others to publish, print, adapt and reproduce but not on-licence reports.</p> <p>(b) the Minister and any sub-licence will acknowledge the lease holder's and any identifiable consultant's ownership of copyright in any reproduction of the reports, including storage of reports onto an electronic database.</p> <p>(c) the lease holder does not warrant ownership of all copyright works in any report and, the lease holder will use best endeavours to identify those parts of the report for which the lease holder owns the copyright.</p> <p>(d) there is no royalty payable by the Minister for the licence.</p> <p>(e) if the lease holder has reasonable grounds to believe that the Minister has exercised his rights under the non-exclusive copyright licence in a manner which adversely affects the operations of the lease holder, that licence is revocable on the giving of a period of not less than three months notice.</p>	Note	Compliant	
Condition 015	CL0378	Blast	<p>15. Blasting</p> <p>(a) Ground Vibration: The lease holder must ensure that the ground vibration peak particle velocity generated by any blasting within the lease area does not exceed 10mm/second and does not exceed 5mm/second in more than 5% of the total number of blasts over a period of 12 months at any dwelling or occupied premises as the case may be, unless determined otherwise by the Department of Environment and Climate Change.</p> <p>(b) Blast Overpressure: The lease holder must ensure that the blast overpressure noise level generated by any blasting within the lease area does not exceed 120dB (linear) and does not exceed 115dB (linear) in more than 5% of the total number of blasts over a period of 12 months, at any dwelling or occupied, premises, as the case may be, unless determined otherwise by the Department of Environment and Climate Change.</p>	Blast Management Plan (website), Annual Reviews, Monthly Monitoring Reports (website)	Compliant	
Condition 015b	CL0378	Blast	<p>15. Blasting</p> <p>(b) Blast Overpressure: The lease holder must ensure that the blast overpressure noise level generated by any blasting within the lease area does not exceed 120dB (linear) and does not exceed 115dB (linear) in more than 5% of the total number of blasts over a period of 12 months, at any dwelling or occupied, premises, as the case may be, unless determined otherwise by the Department of Environment and Climate Change.</p>	Blast Management Plan (website), Annual Reviews, Monthly Monitoring Reports (website)	Compliant	
Condition 016	CL0378	Administration, Public Safety	<p>16. Safety</p> <p>Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site inductions, Site Safety Management System, Authorised, trained and competent personnel. Site is secure, cameras, fences, inspections etc	Compliant	
Condition 017	CL0378	Administration	<p>17. EXPLORATORY DRILLING</p> <p>(1) At least twenty eight days prior to commencement of drilling operations the lease holder must notify the relevant Department of Climate Change and Environment regional hydrologist of the intention to drill exploratory drill holes together with information on the location of the proposed holes.</p> <p>(2) If the lease holder drills exploratory drill holes he must satisfy the Director-General that:-</p> <p>all cored holes are accurately surveyed and permanently marked in accordance with Departmental guidelines so that their location can be easily established;</p> <p>all holes cored or otherwise are sealed to prevent the collapse of the surrounding surface;</p> <p>all drill holes are permanently sealed with cement plugs to prevent surface discharge of groundwaters;</p> <p>if any drill hole meets natural or noxious gases it is plugged or sealed to prevent their escape;</p> <p>if any drill hole meets an artesian or sub-artesian flow it is effectively sealed to prevent contamination of aquifers.</p> <p>once any drill hole ceased to be used the hole must be sealed in accordance with Department guidelines. Alternatively, the hole must be sealed as instructed by the Director-General.</p> <p>once any drill hole ceases to be used the land and its immediate vicinity is left in a clean, tidy and stable condition.</p>	Not triggered (no exploration)	Not triggered	
Condition 018	CL0378	Soil, Water, Reporting	<p>18. PREVENTION OF SOIL EROSION AND POLLUTION</p> <p>Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.</p>	Water Management Plan; Monthly Reports; Annual Reviews (website)	Compliant	
Condition 019	CL0378	Infrastructure & Site Services	<p>19. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.</p>	Not triggered	Not triggered	
Condition 020	CL0378	Land Management	<p>20. Fences and Gates</p> <p>(a) Activities on the lease must not interfere with or damage fences without the prior written approval of the owner thereof or the Minister and subject to any conditions the Minister may stipulate.</p> <p>(b) Gates within the lease area must be closed or left open in accordance with the requirements of the landholder.</p>	Not triggered	Not triggered	
Condition 021	CL0378	Traffic & Transport	<p>21. ROADS AND TRACKS</p> <p>(a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate.</p> <p>(b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.</p>	a) Refer to MOP 2021-2023 Plan 3C. All disturbance in accordance with MOP. b) Not triggered. No damage to roads.	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 022	CL0378	Traffic & Transport, Land Management	22. Roads and Tracks Access tracks must be kept to a minimum and be positioned so that they do not cause any unnecessary damage to the land. Temporary access tracks must be ripped, topsoiled and revegetated as soon as possible after they are no longer required for mining operations. The design and construction of access tracks must be in accordance with specifications fixed by the Department of Climate Change and Environment.	a) Refer to MOP 2021-2023 Plan 3C. All disturbance in accordance with MOP. b) Not triggered. No damage to roads.	Compliant	
Condition 023	CL0378		23. Trees and Timber (a) The lease holder must not fell trees, strip bark or cut timber on the lease without the consent of the landholder who is entitled to the use of the timber, or if such a landholder refuses consent or attaches unreasonable conditions to the consent, without the approval of a warden. (b) The lease holder must not cut destroy, ringbark or remove any timber or other vegetation cover on the lease area except such as directly obstructs or prevents the carrying on of operations. Any clearing not authorised under the Mining Act 1992 must comply with the provisions of the Native Vegetation Act 2003.. (c) The lease holder must obtain all necessary approvals or licences before using timber from any Crown land within the lease area.	Not triggered	Not triggered	
Condition 025	CL0378	Administration	25. RESOURCE RECOVERY (a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, he may give notice in writing to the lease holder requiring the holder to recover such minerals. (b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery. (c) The lease holder must, when requested by the Director-General, provide such information as the Director-general may specify about the recovery of the mineral resource of the lease area. (d) The Director-General shall issue no such notice unless the matter has firstly been thoroughly discussed with and a report to the Director-General has incorporated the views of the lease holder. (e) The lease holder may object to the requirements of any notice issued under this condition and on receipt of such an objection the Minister shall refer it to a Warden for inquiry and report under Section 334 of the Mining Act, 1992. (f) After considering the Warden's report the Minister shall decide whether to withdraw, modify or maintain the requirements specified in the original notice and shall give the lease holder written notice of the decision. The lease holder must comply with the requirements of this notice.	MOP (on website)	Compliant	
Condition 026	CL0378	Administration	26. INDEMNITY The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.	Not triggered	Not triggered	
Condition 029	CL0378	Dams	29. Prescribed Dam Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Liddell Cooling Water Damwithout the prior written approval of the Minister and subject to any conditions he may stipulate. Where the lease holder desires to mine within the notification area he must at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of mining system to be implemented must accompany the notice; and provide such information as the Minister may direct. The Minister, must not, except in the circumstances set out in sub paragraph (ii), grant approval unless sub paragraph (i) of this paragraph has been complied with. This sub paragraph is complied with if: The Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal. the Dams Safety Committee has made it's recommendations concerning the mining proposal or has informed the minister in writing that it does not propose to make any such recommendations; and where the Dams Safety Committee has made recommendations the approval is in terms that are: in accordance with those recommendations; o where the minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph. Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or in the event of failure to reach such agreement - as determined by the Premier. The Minister on notice from the Dams Safety Committee may at any time or times: cancel any approval given where a notice pursuant to section 18 of the Dams Safety Act 1978 is given suspend for a period of time, alter, omit from or add to any approval given or conditions imposed	Reviewed existing action comment from R Clay in 2018. Mining has/will encroach on the Ravensworth West Notification Area. Mining is within ML1669 which does not nominate this notification area in it's ML conditions. The DSC was notified of this (refer attachments). 180720 - Rav West Notification Area (1) (1) Advice to mine 20121122 (1) (1)	Compliant	
Condition 030	CL0378	Administration	30. Special Conditions The registered holder shall not work or cause to be worked any seam of coal within the subject area without leaving, if the Minister, by order, given in writing to the registered holder, so directs, a barrier of such width or protective pillar or Pillars of such size or sizes as is specified in the order, against any surface improvements or any feature whether natural or artificial.	Not triggered	Not triggered	
Condition 031	CL0378	Administration	31. Special Conditions Unless with the consent of the Minister first had and obtained and subject to such conditions as he may impose the registered holder shall not work or cause to be worked any seam of coal by Open Cut or underground methods within the subject area within the barrier defined as follows: The land between the depths of 15.24 metres and 60.96 metres below the surface within 20.12 metres either side of the centre line of the Original Great Northern Railway Line.	Not triggered	Not triggered	
Condition 032	CL0378	Administration	32. Special Conditions Any approval or consent given by the Minister including any approval or consent given pursuant to any condition or term contained in a lease consolidated into this lease to the effect that the registered/lease holder mayconduct mining operations in those parts of the subject area within the zone defined in Condition 31 shall be deemed to be a consent for the purposes of the said Condition 31 subject to the same conditions of that approval or consent.	Not triggered	Not triggered	
Condition 033	CL0378	Administration	33. Special Conditions Unless with the consent of the Minister first had and obtained and subject to such conditions as he may impose the registered holder shall not work or cause to be worked any seam of coal by Open Cut or underground methods within the subject area within the barrier defined as follows: The land between the depths of 15.24 metres and 60.96 metres below the surface within 20.12 metres either side of the centre line of the New England Highway.	Not triggered	Not triggered	
Condition 034	CL0378	Administration	34. Special Conditions Any approval or consent given by the Minister including any approval or consent given pursuant to any condition or term contained in a lease consolidated into this lease to the effect that the registered/lease holder mayconduct mining operations in those parts of the subject area within the zone defined in Condition 33 shall be deemed to be a consent for the purposes of the said Condition 33 subject to the same conditions of that approval or consent.	Not triggered	Not triggered	
Condition 035	CL0378	Administration	35. Special Conditions The lease holder shall be limited to the following purposes and conditions within the specified areas described on the plan annexed hereto and marked catalogue No D6086, Plan "B".	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Mining Act Condition 001	CL0378	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	20170306_1 GSNWS to RSO Letter Group Geoscientific Reporting Approval - Ravensworth Surface 060317 (2) RSO CL378 CCL739 ML1393 ML1576 ML1669 Group Reporting Approval	Compliant	
Mining Act Condition 002	CL0378	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	28008 14.11.19 APPROVAL_CL378 28008 22.11.18 PAYMENT_CL378 2018 CL0378 - Dec 2019 CL0378 - Dec 2018 RE ML Payments	Compliant	
Mining Act Condition 003	CL0378	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	28008 14.11.19 APPROVAL_CL378 28008 22.11.18 PAYMENT_CL378 2018 CL0378 - Dec 2019 CL0378 - Dec 2018 RE ML Payments	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	CL0380	Access to Information, Property	<p>1. Notice to Landholders</p> <p>(a) Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. A plan identifying each landholder and individual land parcel subject to the lease area, and a description of the lease area must accompany the notice.</p> <p>(b) If there are ten or more landholders, the leaseholder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area. If a notice is made under condition 1(b), compliance with condition 1(a) is not required.</p>	Not triggered	Not triggered	
Condition 002	CL0380		<p>2. Rehabilitation</p> <p>Any disturbance resulting from the activities carried out under this mining lease must be rehabilitated to the satisfaction of the Minister.</p>	Disturbance and rehabilitation activities are outlined in the approved MOP, which is reported against in the Annual Review. Refer to MOP and Annual Review on website	Compliant	
Condition 003	CL0380	Annual Report, Mine Operations Plan	<p>3. Mining Operations Plan and Annual Rehabilitation Report</p> <p>(a) The lease holder must comply with an approved Mining Operations Plan (MOP) in carrying out any significant surface disturbing activities, including mining operations, mining purposes and prospecting. The lease holder must apply to the Minister for approval of a MOP. An approved MOP must be in place prior to commencing any significant surface disturbing activities, including mining operations, mining purposes and prospecting.</p> <p>(b) The MOP must identify the post mining land use and set out a detailed rehabilitation strategy which:</p> <ul style="list-style-type: none"> (i) identifies areas that will be disturbed; (ii) details the staging of specific mining operations, mining purposes and prospecting; (iii) identifies how the mine will be managed and rehabilitated to achieve the post mining land use; (iv) identifies how mining operations, mining purposes and prospecting will be carried out in order to prevent and or minimise harm to the environment; and (v) reflects the conditions of approval under: <ul style="list-style-type: none"> the Environmental Planning and Assessment Act 1979; the Protection of the Environment Operations Act 1997; and any other approvals relevant to the development including the conditions of this mining lease. <p>(c) The MOP must be prepared in accordance with the ESG3: Mining Operations Plan (MOP) Guidelines September 2013 published on the Department's website at www.resources.nsw.gov.au/environment</p> <p>(d) The lease holder may apply to the Minister to amend an approved MOP at any time.</p> <p>(e) It is not a breach of this condition if:</p> <ul style="list-style-type: none"> (i) the operations which, but for this condition 3(e) would be a breach of condition 3(a), were necessary to comply with a lawful order or direction given under the Environmental Planning and Assessment Act 1979, the Protection of the Environment Operations Act 1997, the Mine Health and Safety Act 2004 I Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007 I Coal Mine Health and Safety Regulation 2006 or the Work Health and Safety Act 2011; and (ii) the Minister had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. <p>(f) The lease holder must prepare a Rehabilitation Report to the satisfaction of the Minister. The report must:</p> <ul style="list-style-type: none"> (i) provide a detailed review of the progress of rehabilitation against the performance measures and criteria established in the approved MOP; (ii) be submitted annually on the grant anniversary date (or at such other times as agreed by the Minister); and (iii) be prepared in accordance with any relevant annual reporting guidelines published on the Department's website at www.resources.nsw.gov.au/environment. <p>Note: The Rehabilitation Report replaces the Annual Environmental Management Report.</p>	Refer to MOP and Annual Review on website	Compliant	
Condition 004	CL0380	Reporting	<p>4. Non-Compliance Reporting</p> <p>(a) The lease holder must notify the Department upon becoming aware of any breaches of the conditions of this mining lease or breaches of the Mining Act or Regulations.</p> <p>(b) Notifications under condition 4(a) must be provided in the form specified on the Department's website within seven (7) days of the mining lease holder becoming aware of the breach.</p>	Refer to MOP and Annual Review on website	Compliant	
Condition 005	CL0380	Reporting	<p>5. Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p> <p>Definitions</p> <p>Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.</p>	Refer to MOP and Annual Review on website	Compliant	
Condition 006	CL0380	Subsidence	<p>6. Extraction Plan Condition</p> <p>(a) In this condition:</p> <ul style="list-style-type: none"> (i) approved Extraction Plan means being a plan, being: <ul style="list-style-type: none"> an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: <ul style="list-style-type: none"> (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: <ul style="list-style-type: none"> built features; public safety; or subsidence monitoring. 	Not triggered	Not triggered	
Condition 007	CL0380	Administration	<p>7. Resource Recovery</p> <p>The lease holder must optimise recovery of the minerals that are the subject of this mining lease to the extent economically feasible.</p> <p>8. Group Security</p>	Refer to MOP and Annual Review on website	Compliant	
Condition 008	CL0380	Security Deposit	<p>The lease holder is required to provide and maintain a security deposit to secure funding for the fulfilment of obligations of all or any kind under the mining lease, including obligations of all or any kind under the mining lease that may arise in the future. The amount of the security deposit to be provided as a group security has been assessed by the Minister at \$24,935,000. The leases covered by the group security include: Consolidated Coal Lease No's (1) 723 & 739 and Coal Lease No's 380 & 580 (Act 1973) and Mining Lease No.1357 (Act 1992).</p>	141002 Rav Ops Deed of Security Deposit	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 009	CL0380	Administration	<p>9. Cooperation Agreement</p> <p>The lease holder must make every reasonable attempt, and be able to demonstrate its attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as:</p> <ul style="list-style-type: none">• access arrangements• operational interaction procedures• dispute resolution• information exchange• well location• timing of drilling• potential resource extraction conflicts; and• rehabilitation issues. <p>10. Prescribed Unit</p>	<p>MOP approval letters and lease plan</p> <p>MOP Satisfactory LETT0005205 CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)</p>	Compliant	
Condition 010	CL0380	Dams	<p>Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Inpit Storage Dam (also known as the Ravensworth 1000ML Dam) without the prior written approval of the Minister and subject to any conditions stipulated.</p> <p>Where the lease holder desires to mine within the notification area he or she must:</p> <p>at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and provide such information as the Minister may direct.</p> <p>The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraph is complied with if:</p> <p>the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal. the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>in accordance with those recommendations; or where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph.</p> <p>Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam:</p> <p>as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or in the event of failure to reach such agreement- as determined by the Premier.</p>	<p>Mining ceased in Narama Dam notification area. Correspondence from DSC attached to evidence. Not triggered however.</p> <p>Rav 2 Cessation of Reporting Reqs 120910 Ltr from DSC re variation to last strip conditions (1) 100519 Ltr from DSC re Narama Extended Conditions (1)</p>	Not triggered	
Mining Act Condition 001	CL0380	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Regl)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	<p>CL378_Reporting_Index_201711_A_01_R EPORT</p> <p>CL378_Reporting_Index_201811_A_01_R EPORT</p>	Compliant	
Mining Act Condition 002	CL0380	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	<p>27008 17.10.19 APPROVAL_CL380 27008 17.10.19 APPROVAL_CL380 28008 15.10.20 APPROVAL_CHQ_CL380 2020</p>	Compliant	
Mining Act Condition 003	CL0380	Annual Administrative Levy	<p>Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.</p>	<p>28008 15.10.20 APPROVAL_CHQ_CL380 2020 (1)</p>	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings
Condition 001	CL0580	Administration	<p>EXTRACTION OF COAL</p> <p>1. The lease holder shall extract as large a percentage of the coal in the subject area as is practicable consistent with the provisions of the Coal Mines Regulations Act 1982 and the Regulations thereunder and shall comply with any direction given or which may be given in this regard by the Minister.</p>	Refer to MOP and Annual Review (on website)	Compliant
Condition 002	CL0580	Mine Operations Plan	<p>2. MINING OPERATIONS PLAN (MOP)</p> <p>(1) Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:-</p> <p>(a) ongoing mining operations and environmental management; and</p> <p>(b) ongoing monitoring of the project.</p> <p>(2) The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement.</p> <p>(3) A Plan must be lodged with the Director-General:-</p> <p>(a) prior to the commencement of operations;</p> <p>(b) subsequently as appropriate prior to the expiry of any current Plan; and</p> <p>(c) in accordance with any direction issued by the Director-General</p> <p>(4) The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:-</p> <p>(a) area(s) proposed to be disturbed under the Plan;</p> <p>(b) mining and rehabilitation method(s) to be used and their sequence;</p> <p>(c) areas to be used for disposal of tailings/waste;</p> <p>(d) existing and proposed surface infrastructure;</p> <p>(e) progressive rehabilitation schedules;</p> <p>(f) areas of particular environmental sensitivity;</p> <p>(g) water management systems (including erosion and sediment controls);</p> <p>(h) proposed resource recovery;</p> <p>(i) where the mine will cease extraction during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining landuse/vegetation.</p> <p>(5) The plan when lodged will be reviewed by the Department of Mineral resources</p> <p>(6) The Director-General may within two (2) months of the lodgement of a plan, require modification and relodgement</p> <p>(7) If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time.</p> <p>(8) During the life of the Mining Operations Plan, proposed modification to the Plan must be lodged with the Director-General and will be subject to the review process outlined in Clauses (5) – (7) above.</p>	Refer to MOP (on website)	Compliant
Condition 003	CL0580	Annual Report	<p>3. Annual Environmental Management Report (AEMR)</p> <p>(1) Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General.</p> <p>(2) The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:-</p> <p>(a) the accepted Mining Operations Plan;</p> <p>(b) development consent requirements and conditions;</p> <p>(c) Department of Environment and Conservation and Department of Planning Licences and approvals;</p> <p>(d) any other statutory environmental requirements;</p> <p>(e) details of any variations to environmental approvals applicable to the lease area, and</p> <p>(f) where relevant, progress towards final rehabilitation objectives.</p> <p>(3) After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice.</p> <p>(4) The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies and the local council.</p>	Refer to Annual Reviews (2018-2021) on website	Compliant
Condition 019	CL0580	Public Infrastructure & Utilities, Community	<p>19. MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.</p>	Area located within Narama dump. No infrastrucutre located in area. Not triggered.	Not triggered
Condition 020	CL0580	Infrastructure & Site Services, Public Infrastructure & Utilities	<p>20. Management and Rehabilitation of Lands (General)</p> <p>If required to do so by the Minister and within such time as may be stipulated by the Minister the lease holder shall carry out to the satisfaction of the Minister surveys of structures, buildings and pipelines on adjacent landholdings to determine the effect of operations on any such structures, buildings and pipelines.</p>	Area located within Narama dump. No infrastrucutre located in area. Not triggered. No direction by minister.	Not triggered
Condition 022	CL0580		<p>22. Management and Rehabilitation of Lands (General)</p> <p>Upon completion of operations on the surface of the subject area or upon the expiry or sooner determination of this authority or any renewal thereof, the lease holder shall remove from such surface such buildings, machinery, plant, equipment, constructions and works as may be directed by the Minister and such surface shall be rehabilitated and left in a clean, tidy and safe condition to the satisfaction of the Minister.</p>	Disturbance and rehabilitation activities are outlined in the approved MOP, which is reported against in the Annual Review. MOP (website) outlines schedule. Area not under complete rehabilitation.	Compliant
Condition 023	CL0580		<p>23. Management and Rehabilitation of Lands (General)</p> <p>If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister and within such time as may be allowed by the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.</p>	Not triggered. No direction given my Minister in relation to this lease.	Not triggered
Condition 025	CL0580	Reporting	<p>25. Management and Rehabilitation of Lands (General)</p> <p>The lease holder shall provide and maintain to the satisfaction of the Minister efficient means to prevent contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam, reservoir, watercourse or catchment area or any undue interference to fish or their environment and shall observe any instruction given or which may be given by the Minister with a view to preventing or minimising the contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam, reservoir, watercourse or catchment area or any undue interference to fish or their environment.</p>	ROC has WMP, Monitoring Programmes, Annual Review in place to satisfy this condition. No pollution of waters from this lease during audit period. Refer to Website for Plans and Monitoring data	Compliant
Condition 027	CL0580	Flora, Land Management, Fauna	<p>27. TREES (PLANTING AND PROTECTION OF) FLORA AND FAUNA AND ARBOREAL SCREENS</p> <p>If so directed by the Minister, the lease holder shall ensure that operations are carried out in such manner so as to minimise disturbance to flora and fauna within the subject area.</p>	Not triggered. No direction given my Minister in relation to this lease.	Not triggered

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings
Condition 031	CL0580	Traffic & Transport	<p>31. ROADS</p> <p>The lease holder shall pay to Singleton Shire Council, Department of Land and Water Conservation or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council or Department or Chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area.</p> <p>PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act 1961, in settlement of a claim for compensation for the same damage.</p>	This condition has not been triggered. No damage to roads as per Con 31.	Not triggered
Condition 041	CL0580	Public Infrastructure & Utilities	<p>41. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>The leaseholder shall so far as is practicable so conduct operations as to not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.</p>	Not triggered. No direction given by Minister in relation to this lease.	Not triggered
Condition 045	CL0580	Administration, Access to Information	<p>45. ADDITIONAL INFORMATION</p> <p>The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister:-</p> <p>(a) information regarding the ownership of the land within the subject area;</p> <p>(b) information regarding the ownership of the coal within the subject area prior to 1st January, 1982;</p> <p>(c) an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished;</p> <p>(d) information regarding the financial viability of the lease holder and operations within and associated with the subject area; and</p> <p>(e) information regarding shareholdings in the lease holder.</p>	Not triggered. No direction given by Minister in relation to this lease.	Not triggered
Condition 046	CL0580	Administration	<p>46. SERVICE OF NOTICES</p> <p>Within a period of three (3) months from the date of this authority or a period of three (3) months from the date of service of the notice of renewal, or within such further time as the Director General may allow, the lease holder shall serve on each landholder within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface. The notice shall be accompanied by an adequate plan and description of the subject area.</p> <p>If there are ten (10) or more landholders affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.</p>	Not triggered.	Not triggered
Condition 047	CL0580	Administration	<p>47. INSPECTORS</p> <p>(a) Where an Inspector under the Mining Act 1992 is of the opinion that any condition of this authority relating to operations within the subject area, or any provision of the Mining Act, 1992, relating to operations within the subject area, are not being complied with by the lease holder, the Inspector may send on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:</p> <p>(i) to cease operations within the subject area in contravention of that condition or Act; and</p> <p>(ii) to carry out within the specified time works necessary to rectify or remedy the situation.</p> <p>(b) The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph (a) of this condition. The Director General may confirm, vary or revoke any such direction.</p> <p>(c) A notice referred to in this condition may be served on the Colliery Manager.</p>	Not triggered.	Not triggered
Condition 048	CL0580	Administration	<p>48. INDEMNITIES</p> <p>The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expense which may be brought against the lease holder or which the lease holder may incur respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any workings now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other conditions of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do hereunder.</p>	Not triggered.	Not triggered
Condition 049	CL0580	Administration	<p>49. Indemnities</p> <p>The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the event of any damage resulting from mining operations under or near the subject area.</p>	Not triggered.	Not triggered
Condition 050	CL0580	Administration	<p>50. Prospecting (General)</p> <p>(a) Where the lease holder desires to commence prospecting operations in the subject area the lease holder shall notify the Director-General in writing and shall comply with such additional conditions as the Minister may impose including any condition requiring the lodgement of an additions bond or other form of security for rehabilitation of the area affected by such operations.</p> <p>(b) Where the lease holder notifies the Director-General pursuant to sub-paragraph (a) of this condition the lease holder shall furnish with that notification details of the type of prospecting methods that would be adopted and the extent and location of the area that would be affected by them.</p>	Not triggered.	Not triggered
Condition 051	CL0580	Security Deposit	<p>51. SECURITY DEPOSIT</p> <p>(a) The single security in the sum of \$NIL must be given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfillment by the lease holder of obligations under this lease. If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfil the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder.</p> <p>(b) The lease holder must provide the security required by sub-clause (a) in one of the following forms</p> <p>(i) cash, or</p> <p>(ii) a security certificate in a form approved by the Minister and issued by an authorised deposit-taking institution.</p> <p>(c) The Minister may at any time after the commencement of this authority or any rebewal thereof, vary the amount of security required in accordance with this condition.</p>	Not triggered.	Not triggered
Condition 054	CL0580	Administration	<p>54. Royalty at Additional Rate</p> <p>The lease holder shall during the term of this authority pay to the Minister royalty at the additional rate as prescribed by the Regulations for coal recovered by open cut mining methods from the area.</p>	Customer Invoice No. 22043101 - 1200 FW CL580 Royalty Payment	Compliant
Condition 055	CL0580	Administration	<p>55. SPECIAL CONDITIONS</p> <p>The lease holder unless with the consent of the Minister and subject to such conditions as he may impose, shall not mine for, work, win or remove any coal from any part of the subject area being a barrier (40) metres in width between open cut and underground workings.</p>	Not triggered.	Not triggered
Condition 056	CL0580	Administration	<p>56. Special Conditions</p> <p>The lease holder unless with the consent of the Minister and subject to such conditions as he may impose, shall not mine for, work, win or remove any coal from any part of the subject area within a distance of (40) metres of any abandoned workings.</p>	Not triggered.	Not triggered

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings
Condition 057	CL0580	Dams	<p>57. Prescribed Dam</p> <p>Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Inpit Storage Dam without the prior written approval of the Minister and subject to any conditions stipulated.</p> <p>Where the lease holder desires to mine within the notification area he or she must:</p> <p>at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and</p> <p>provide such information as the Minister may direct.</p> <p>The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraph is complied with if:</p> <p>as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or</p> <p>in the event of failure to reach such agreement- as determined by the Premier.</p>	Not triggered. No mining (blasting / OB removal) in period. Only dumping.	Not triggered
			<p>the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b).</p> <p>the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined.</p> <p>the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal.</p> <p>the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and</p> <p>where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>in accordance with those recommendations; or</p> <p>where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph.</p>		
Mining Act Condition 001	CL0580	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	CL378_Reporting_Index_201811_A_01_REPORT	Compliant
Mining Act Condition 002	CL0580	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	27008 14.02.19 PROPOSAL_CCL723_CL580 27008 15.02.18 APPROVAL_CCL723 CL580 CL580 - Mar 2020, Mar 2019, March 2018	Compliant
Mining Act Condition 003	CL0580	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	27008 14.02.19 PROPOSAL_CCL723_CL580 27008 15.02.18 APPROVAL_CCL723 CL580 CL580 - Mar 2020, Mar 2019, March 2018	Compliant
Schedule A Extraction Plan	CL0580		<p>(a) In this condition:</p> <p>(i) approved Extraction Plan means being a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>a subsidence management plan relating to the mining operations subject to this lease:</p> <p>submitted to the Secretary on or before 31 December 2014; and</p> <p>approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing:</p> <p>built features;</p> <p>public safety; or</p> <p>subsidence monitoring.</p>	Not triggered	Not triggered

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Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1325	Notification	1. Notice to Landholders (a) Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. A plan identifying each landholder and individual land parcel subject to the lease area, and a description of the lease area must accompany the notice. (b) If there are ten or more landholders, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area. If a notice is made under condition 1 (b), compliance with condition 1 (a) is not required.	Not triggered	Not triggered	
Condition 002	ML1325	Rehabilitation	2. Rehabilitation Any disturbance resulting from the activities carried out under this mining lease must be rehabilitated to the satisfaction of the Minister.	Refer to s240 notice - DOC18 742576 s240(1c) Direction -Cumnock Rehab October 2018 MOP (2021-2023) Cumnock Remediation Plan MOP approval letter - MOP Satisfactory LETT0005205	Compliant	
Condition 003	ML1325	Annual Report	3. Mining Operations Plan and Annual Rehabilitation Report (a) The lease holder must comply with an approved Mining Operations Plan (MOP) in carrying out any significant surface disturbing activities, including mining operations, mining purposes and prospecting. The lease holder must apply to the Minister for approval of a MOP. An approved MOP must be in place prior to commencing any significant surface disturbing activities, including mining operations, mining purposes and prospecting. (b) The MOP must identify the post mining land use and set out a detailed rehabilitation strategy which: (i) identifies areas that will be disturbed; (ii) details the staging of specific mining operations, mining purposes and prospecting; (iii) identifies how the mine will be managed and rehabilitated to achieve the post mining land use; (iv) identifies how mining operations, mining purposes and prospecting will be carried out in order to prevent and or minimise harm to the environment; and (v) reflects the conditions of approval under: • The Environmental Planning and Assessment Act 1979; • the Protection of the Environment Operations Act 1997; and • any other approvals relevant to the development including the conditions of this mining lease. (c) The MOP must be prepared in accordance with the ESG3: Mining Operations Plan (MOP) Guidelines September 2013 published on the Department's website at www.resourcesandenergy.nsw.gov.au/miners-and-explorers/rules-and-forms/pgf/environmental-guidelines (d) The lease holder may apply to the Minister to amend an approved MOP at any time. (e) It is not a breach of this condition if: (i) the operations which, but for this condition 3(e) would be a breach of condition 3(a), were necessary to comply with a lawful order or direction given under the Environmental Planning and Assessment Act 1979, the Protection of the Environment Operations Act 1997, the Work Health and Safety (Mines and Petroleum Sites) Act 2013 and Work Health and Safety (Mines and Petroleum Sites) Regulation 2014 or the Work Health and Safety Act 2011; and Work Health and Safety Regulation 2011 (ii) the Minister had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. (f) The lease holder must prepare a Rehabilitation Report to the satisfaction of the Minister. The report must: (i) provide a detailed review of the progress of rehabilitation against the performance measures and criteria established in the approved MOP; (ii) be submitted annually on the grant anniversary date (or at such other times as agreed by the Minister); and (iii) be prepared in accordance with any relevant annual reporting guidelines published on the Department's website at www.resourcesandenergy.nsw.gov.au/miners-and-explorers/rules-and-forms/pgf/environmental-guidelines Note: The Rehabilitation Report replaces the Annual Environmental Management Report.	MOP (website)	Compliant	
Condition 004	ML1325	Reporting	Non-Compliance Reporting (a) The lease holder must notify the Department upon becoming aware of any breaches of the conditions of this mining lease or breaches of the Mining Act or Regulations. (b) Notifications under condition 4(a) must be provided in the form specified on the Department's website within seven (7) days of the mining lease holder becoming aware of the breach.	Refer to Annual Review (website)	Compliant	
Condition 005	ML1325	Incident	Environmental Incident Report The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997. Definitions Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.	Not triggered	Not triggered	
Condition 006	ML1325		6. Extraction Plan a) In this condition: (i) approved Extraction Plan means a plan, being: A. an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or B. a subsidence management plan relating to the mining operations subject to this lease: I. submitted to the Secretary on or before 31 December 2014; and II. approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning & Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction Plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction Plan addressing: A. built features; B. public safety; or C. subsidence monitoring.	Not triggered	Not triggered	
Condition 007	ML1325		7. Resource Recovery The lease holder must optimise recovery of the minerals that are the subject of this mining lease to the extent economically feasible.	Refer to MOP and Annual Review (website)	Compliant	
Condition 008	ML1325		8. Group Security The lease holder is required to provide and maintain a security deposit to secure funding for the fulfilment of obligations of all or any kind under the mining lease, including obligations of all or any kind under the mining lease that may arise in the future. The amount of the security deposit to be provided as a group security has been assessed by the Minister at \$33,018, 132. The leases covered by the group security include Coal Lease 378 (Act 1973) and Mining Leases 1325, 1327, 1393, 1502, 1576, 1669 and 1683 (Act 1992).	CL378 ML1325 ML1393 ML1502 ML1576 ML1669 ML1683 - _ 2018 Assessed Deposit Notification	Compliant	
Condition 009	ML1325		9. Cooperation Agreement The lease holder must make every reasonable attempt, and be able to demonstrate its attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as: • access arrangements • operational interaction procedures • dispute resolution • information exchange • well location • timing of drilling • potential resource extraction conflicts; and • rehabilitation issues.	MOP approval letters and lease plan MOP Satisfactory LETT0005205 CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)	Compliant	
Condition 010	ML1325		10. Mining Operations The lease holder must not suspend mining operations, as defined in the Act, over the area subject to this mining lease other than in accordance with the written consent of the Minister.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Condition 011	ML1325		<p>11. Prescribed Dam</p> <p>(a)Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Cumnock Tailings Storage Facility and the Cumnock Notification Area without the prior written approval of the Minister and subject to any conditions stipulated.(b)Where the lease holder desires to mine within the notification area he or she must:</p> <p>(i)at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and (ii)provide such information as the Minister may direct.</p> <p>(c)The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with.This sub-paragraph is complied with if:</p> <p>(i)The Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine, referred to in paragraph (b). (ii)the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined.(iii)the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal.(iv)the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and(v)where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>- in accordance with those recommendations; or - where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph.</p> <p>(vi) Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam:</p> <p>- as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or - in the event of failure to reach such agreement - as determined by the Premier.</p> <p>(d)The Minister, on notice from the Dams Safety Committee, may at any time or times:</p> <p>(i)cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given.(ii)suspend for a period of time, alter, omit from or add to any approval given or conditions imposed.</p>	No mining has occurred in the PD area. Refer to MOP Plan and area of lease. Not triggered.	Not triggered
Mining Act Condition 001	ML1325	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	<p>CL378_Reporting_Index_201711_A_01_REPORT</p> <p>CL378_Reporting_Index_201811_A_01_REPORT</p>	Compliant
Mining Act Condition 002	ML1325	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	RE ML1325 Payment	Compliant
Mining Act Condition 003	ML1325	Annual Administrative Levy	<p>Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.</p>	RE ML1325 Payment	Compliant

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1348	Property	<p>Notice to Landholders</p> <p>(a) Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.(b) If there are ten or more landholders affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1348		<p>Rehabilitation</p> <p>Any disturbance as a result of activities under this lease must be rehabilitated to the satisfaction of the Director-General.</p>	Refer to MOP and Annual Review (website). Rehba undertaken in accordance with MOP.	Compliant	
Condition 003	ML1348	Annual Report, Mine Operations Plan	<p>Mining Operations Plan and Annual Rehabilitation Report</p> <p>(a) The lease holder must comply with an approved Mining Operations Plan (MOP) in carrying out any significant surface disturbing activities, including mining operations, mining purposes and prospecting. The lease holder must apply to the minister for approval of a MOP. An approved MOP must be in place prior to commencing any significant surface disturbing activities, including mining operations, mining purposes and prospecting.</p> <p>(b) The MOP must identify the post mining land use and set out a detailed rehabilitation strategy which:</p> <ul style="list-style-type: none"> identifies areas that will be disturbed; details the staging of specific mining operations, mining purposes and prospecting; identifies how the mine will be managed and rehabilitated to achieve the post mining land use. identifies how mining operations, mining purposes and prospecting will be carried out in order to prevent and or minimise harm to the environment; and reflects the conditions of approval under: <ul style="list-style-type: none"> the Environmental Planning and Assessment Act 1979; the Protection of the Environment Operations Act 1997; and any other approvals relevant to the development including the conditions of this mining lease <p>(c) The MOP must be prepared in accordance with the ESG3: Mining Operations Plan (MOP) Guidelines September 2013 published on the Department's website at www.resources.nsw.gov.au/environment</p> <p>(d) The lease holder may apply to the Minister to amend an approved MOP at any time.</p> <p>(e) It is not a breach of this condition if:</p> <ul style="list-style-type: none"> the operations which, but for this condition 3(e) would be a breach of condition 3(a), were necessary to comply with a lawful order or direction given under the Environmental Planning and Assessment Act 1979, the Protection of the Environment Operations Act 1997, the Mine Health and Safety Act 2004 / Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007 / Coal Mine Health and Safety Regulation 2006 or the Work Health and Safety Act 2011; and the Minister had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. <p>(f) The lease holder must prepare a Rehabilitation Report to the satisfaction of the Minister. The report must:</p> <ul style="list-style-type: none"> provide a detailed review of the progress of rehabilitation against the performance measures and criteria established in the approved MOP; be submitted annually on the grant anniversary date (or at such other times as agreed by the Minister); and be prepared in accordance with any relevant annual reporting guidelines published on the Departments's website at www.resources.nsw.gov.au/environment. <p>Note: The Rehabilitation Report replaces the Annual Environmental Management Report</p>	Refer to MOP and Annual Review (website).	Compliant	
Condition 004	ML1348	Reporting	<p>Compliance Report</p> <p>(a) The lease holder must submit a Compliance Report to the satisfaction of the Minister. The report must be prepared in accordance with any relevant guidelines or requirements published by the Minister for compliance reporting.</p> <p>(b) The Compliance Report must include:</p> <ul style="list-style-type: none"> the extent to which the conditions of this mining lease or any provisions of the Act or the regulations applicable to activities under this mining lease, have or have not been complied with; particulars of any non-compliance with any such conditions or provisions, the reasons for any such non-compliance; any action taken, or to be taken, to prevent any recurrence, or to mitigate the effects, of that non-compliance. <p>(c) The Compliance Report must be lodged with the Department annually on the grant anniversary date for the life of this mining lease.</p> <p>(d) In addition to annual lodgement under condition 4(c) above, a Compliance Report;</p> <ul style="list-style-type: none"> must accompany any application to renew this mining lease under the Act; must accompany any application to transfer this mining lease under the Act; and must accompany any application to cancel, or to partially cancel, this mining lease under the Act. <p>(e) Despite the submission of any Compliance Report under (c) or (d) above, the titleholder must lodge a Compliance Report with the Department at any date or dates otherwise required by the Minister.</p> <p>(f) A Compliance Report must be submitted one month prior to the expiry of this mining lease, where the license holder is not seeking to renew or cancel this mining lease.</p>	Refer to MOP and Annual Review (website).	Compliant	
Condition 005	ML1348	Reporting	<p>Environmental Incident Report</p> <p>(a) The lease holder must notify the Department of all:</p> <ul style="list-style-type: none"> breaches of the conditions of this mining lease or breaches of the Act causing or threatening material harm to the environment; and breaches of environmental protection legislation causing or threatening material harm to the environment (as defined in the Protection of the Environment Administration Act 1991) <p>arising in connection with significant surface disturbing activities, including mining operations, mining purposes and prospecting operations, under this mining lease. The notification must be given immediately after the lease holder becomes aware of the breach. Note: Refer to www.resources.nsw.gov.au/environment for notification contact details.</p> <p>(b) The lease holder must submit an Environmental Incident Report to the Department within seven (7) days of all breaches referred to in condition 5(a)(i) and (ii). The Environmental Incident Report must include:</p> <ul style="list-style-type: none"> the details of the mining lease; contact details for the lease holder; a map identifying the location of the incident and where material harm to the environment has or is likely to occur; a description of the nature of the incident or breach, likely causes and consequences; a timetable showing actions taken or planned to address the incident and to prevent future incidents or breaches referred to in 5(a). a summary of all previous incidents or breaches which have occurred in the previous 12 months relating to significant surface disturbing activities, including mining operations, mining purposes and prospecting operations under this mining lease. <p>Note: The lease holder should have regard to any relevant Director General's guidelines in the preparation of an Environmental Incident Report. refer to www.resources.nsw.gov.au/environment for further details.</p> <p>(c) In addition to the requirements set out in conditions 5(a) and (b), the lease holder must immediately advise the Department of any notification made under section 148 of the Protection of the Environment Operations Act 1997 arising in connection with significant surface disturbing activities including mining operations, mining purposes and prospecting operations, under this mining lease.</p>	Refer to MOP and Annual Review (website).	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 006	ML1348	Subsidence	<p>Extraction Plan (a) In this condition: (i) approved Extraction Plan means being a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 007	ML1348	Administration	Resource Recovery The lease holder must optimise recovery of the minerals that are the subject of this mining lease to the extent economically feasible.	Refer to MOP and Annual Review (website).	Compliant	
Condition 008	ML1348	Security Deposit	Security The lease holder is required to provide and maintain a security deposit to secure funding for the fulfilment of obligations of all or any kind under the mining lease, including obligations of all or any kind under the mining lease that may arise in the future. The amount of the security deposit to be provided as a group security has been assessed by the Minister at \$10,000	Dept of Planning and Environment AUD50000 (Glencore Newpac)	Compliant	
Condition 009	ML1348	Administration	Cooperation Agreement The lease holder must make every reasonable attempt, and be able to demonstrate their attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as:	MOP approval letters and lease plan	Compliant	
Condition 009	ML1348	Administration	access arrangements operational interaction procedures dispute resolution information exchange well location timing of drilling potential resource extraction conflicts and rehabilitation issues.	MOP Satisfactory LETT0005205 CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)	Compliant	
Condition 010	ML1348	Dams	<p>Special Conditions Prescribed Dam Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Inpit Storage (RIPS) Dam without the prior written approval of the Minister and subject to any conditions he may stipulate. Where the lease holder desires to mine within the notification area he must at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of mining system to be implemented must accompany the notice; and provide such information as the Minister may direct. The Minister, must not, except in the circumstances set out in sub paragraph (ii), grant approval unless sub paragraph (i) of this paragraph has been complied with. This sub paragraph is complied with if: The Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal. the Dams Safety Committee has made it's recommendations concerning the mining proposal or has informed the minister in writing that it does not propose to make any such recommendations; and where the Dams Safety Committee has made recommendations the approval is in terms that are: in accordance with those recommendations; o where the minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph. Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or in the event of failure to reach such agreement - as determined by the Premier. The Minister on notice from the Dams Safety Committee may at any time or times: cancel any approval given where a notice pursuant to section 18 of the Dams Safety Act 1978 is given suspend for a period of time, alter, omit from or add to any approval given or conditions imposed</p>	<p>No mining has occurred in Notification area. Evidence of RUM MOP showing LW panels, and RUM suspension of mining letter.</p> <p>RUM_Approval_Suspension of Operations Instruments (1)</p>	Compliant	
Mining Act Condition 001	ML1348	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_202006_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1348	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	RE ML Payments 1348	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Mining Act Condition 003	ML1348	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	RE ML Payments 1348	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1349	Administration	EXTRACTION OF COAL 1. The lease holder shall extract as large a percentage of the coal in the subject area as is possible consistent with the provisions of the Coal Mines Regulation Act 1982 and the Regulations thereunder and shall comply with any direction given or which may be given in this regard by the Minister.	Refer to Annual Review, MOP, PA for limits extracted.	Compliant	
Condition 002	ML1349	Mine Operations Plan	MINING OPERATIONS PLAN (1) Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:- (a) ongoing mining operations and environmental management; and (b) ongoing monitoring of the project. (2) The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement (3) A Plan must be lodged with the Director-General:- (a) prior to the commencement of operations; (b) subsequently as appropriate prior to the expiry of any current Plan; and (c) in accordance with any direction issued by the Director-General. (4) The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:- (a) area(s) proposed to be disturbed under the Plan; (b) mining and rehabilitation method(s) to be used and their sequence; (c) areas to be used for disposal of tailings/waste; (d) existing and proposed surface infrastructure; (e) progressive rehabilitation schedules; (f) areas of particular environmental sensitivity; (g) water management systems (including erosion and sediment controls); (h) proposed resource recovery, and (i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation. (5) The Plan when lodged will be reviewed by the Department of Mineral Resources. (6) The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement. (7) If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time. (8) During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.	MOP (on website)	Compliant	
Condition 003	ML1349	Annual Report	ANNUAL ENVIRONMENTAL MANAGEMENT REPORT (1) Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General. (2) The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:- (a) the accepted Mining Operations Plan; (b) development consent requirements and conditions; (c) Environment Protection Authority and Department of Land and Water Conservation Licences and approvals; (d) any other statutory environmental requirements; (e) details of any variations to environmental approvals applicable to the lease area, and (f) where relevant, progress towards final rehabilitation objectives. (3) After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice. (4) The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies.	Annual Review (2018-2020) and MOP on website	Compliant	
Condition 008	ML1349	Subsidence	Extraction Plan (a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.	Not triggered	Not triggered	
Condition 009	ML1349	Administration	BARRIERS (9) The lease holder shall not work or cause to be worked any seam of coal within the subject area without leaving, if the Minister, so directs, a barrier of such width or a protective pillar or pillars of such size or sizes against any surface improvements of any feature whether natural or artificial.	Workings approved in MOP.	Compliant	
Condition 011	ML1349	Administration	BARRIERS (11) The lease holder unless with the consent of the Minister and subject to such conditions as the Minister may impose shall not work or cause to be worked any seam of coal by underground methods within the subject area within the barrier defined as follows: The land within the zone beneath and adjacent to the Great Northern Railway enclosed by an angle of draw of 35° from either side of the railway operations such as car parks or quarries, such an angle of draw being measured outwards from the point on the vertical plane of the said boundary at the surface or at the level of the horizontal plane of the railway track, whichever may be the higher to the floor of the coal seam in which mining operations are being carried out.	Area within zone approved in MOD5. Workings approved in MOP. No active mining during period though.	Compliant	
Condition 017	ML1349	Air Quality	DUST (17) The lease holder shall take such precautions as are necessary to abate any dust nuisance.	AQGGMP (on website)	Compliant	
Condition 018	ML1349	Land Management	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) (18) The lease holder shall not interfere with any fences on or adjacent to the subject area unless with his prior written approval of the owner thereof or the Minister and subject to such conditions as the Minister may stipulate.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 019	ML1349	Public Infrastructure & Utilities	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) (19) The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.	Not triggered	Not triggered	
Condition 020	ML1349	Land Management	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) (20) If required to do so by the Minister and within such time as may be stipulated by the Minister the lease holder shall carry out to the satisfaction of the Minister surveys of structures, buildings and pipelines on adjacent landholdings to determine the effect of operations on any such structures, buildings and pipelines. The company shall submit a statement of its compliance with the required conditions every 6 months, or at intervals determined by the Committee from time to time.	Not triggered	Not triggered	
Condition 021	ML1349		MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) (21) If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by the lease holder.	Not triggered	Not triggered	
Condition 024	ML1349	Land Management	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) (24) The lease holder shall take all precautions against causing outbreak of fire on the subject area.	AGLM owned land (grass fire 31 Dec 2019). ROC assisted RFS to control and extinguish fire. No damage to property or personnel.	Compliant	
Condition 025	ML1349	Land Management, Water	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) (25) The lease holder shall provide and maintain to the satisfaction of the Minister efficient means to prevent contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam or reservoir, watercourse or catchment area or any undue interference to fish or their environment and shall observe and instruction given or which may be given by the Minister with a view to preventing or minimising the contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam or reservoir, watercourse or catchment area, or any undue interference to fish or their environment.	Various approved management plans, including Water Management Plan - water monitoring is undertaken as per the plan. Water quality monitoring results are stored in the EMD and reported in the monthly and annual reports.	Compliant	
Condition 029	ML1349	Dams	PRESCRIBED DAM (a) Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Void 4 East Tailings - Saddle Dam without the prior written approval of the Minister and subject to any conditions stipulated. (b) Where the lease holder desires to mine within the notification area he or she must: at least twelve (12) months before mining is to commence or such lessertime as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and provide such information as the Minister may direct. (c) The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraph is complied with if: the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further The Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and where the Dams Safety Committee has made recommendations the approval is in terms that are: in accordance with those recommendations; or where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph. Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or in the event of failure to reach such agreement - as determined by the Premier.	No compliance or incident issues, reviewed during IEA period.	Compliant	
Condition 030	ML1349	Soil	SOIL EROSION (30) The lease holder shall conduct operations in such a manner as not to cause or aggravate soil erosion and the lease holder shall observe and perform any instructions given or which may be given by the Minister with a view to minimising or preventing soil erosion.	Water Management Plan and MOP (on website) No issues / mon compliance during period against lease or condition.	Compliant	
Condition 031	ML1349	Traffic & Transport	ROADS (31) The lease holder shall pay to Singleton Shire Council, Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council Department or Chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area. PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act, 1961, in settlement of a claim for compensation for the same damage.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO.	Not triggered	
Condition 032	ML1349	Traffic & Transport	ROADS (32) In the event of operations being conducted on the surface of any road, track or firetrail traversing the subject area or in the event of such operations causing damage to or interference with any such road, track or firetrail the lease holder, at his own expense, shall if directed to do so by the Minister provide to the satisfaction of the Minister and alternate road, track or firetrail and, if required to do so by the Minister, the lease holder shall upon completion of operations rehabilitate the surface of the original road, track or firetrail to a condition satisfactory to the Minister.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO.	Not triggered	
Condition 033	ML1349	Water, Reporting	CATCHMENT AREAS 33 Operations shall be carried out in such a way as not to cause any pollution of the Hunter River Catchment Area. If the lease holder is using or about to use and process which in opinion of the Minister is likely to cause contamination of the waters of the said Catchment Area the lease holder shall refrain from using or cease using as the case may require such process within twenty-four (24) hours of the receipt by the lease holder of a notice in writing under the hand of the Minister requiring the lease holder to do so. The lease holder shall comply with any regulations now in force or hereafter to be in force for the protection from pollution of the said Catchment Area.	Water Management Plan (on website)	Compliant	
Condition 041	ML1349	Public Infrastructure & Utilities	TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES (41) The lease holder shall as far as is practicable so conduct operations as not to interfere with or impair the stability or efficiency of any transmission line, communication line or pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.	Not triggered.	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 045	ML1349	Administration	ADDITIONAL INFORMATION (45) The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister. information regarding the ownership of the land within the subject; information regarding the ownership of the coal within the subject area prior to 1st January, 1982; an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished by the lease holder; information regarding the financial viability of the lease holder and operations within and associated with the subject area; and information regarding shareholdings in the lease holder.	Note	Not triggered	
			SERVICE OF NOTICES (46) Within a period of three months from the date of this authority or a period of three months from the date of service of the notice of renewal, or within such further time as the Director-General may allow the lease holder shall serve on each owner and occupier of the private land and on each occupier of the Crown land and held under a pastoral lease within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface. The notice shall be accompanied by an adequate plan and description of the subject area. If there are ten (10) or more Owners or occupiers affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.	Note	Not triggered	
Condition 047	ML1349	Administration	INSPECTORS (47) (a) Where the Inspector under the Mining Act 1992 is of the opinion that any condition of this authority relating to operations within the subject area, or any provisions of the Mining Act, 1992, relating to operations within the subject area, are not being complied with by the lease holder, the Inspector may serve on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:- to cease operations within the subject area in contravention of that condition or Act; and to carry out within the specified time works necessary to rectify or remedy the situation. (b) The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph(a) of this condition. The Director General may confirm, vary or revoke any such direction. (c) A notice referred to in this condition may be served on the Colliery Manager.	Note	Not triggered	
			INDEMNITIES (48) The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any working now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other condition of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act of thing which the lease holder may be licensed or compelled to do hereunder.	Note	Not triggered	
Condition 049	ML1349	Administration	INDEMNITIES (49) The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the even of any damage resulting from mining operations under or near the subject area.	Note	Not triggered	
Condition 050	ML1349	Administration	PROSPECTING (GENERAL)(50) Where the lease holder desires to commence prospecting operations in the subject area the lease holder shall notify the Director-General in writing and shall comply with such additional conditions as the Minister may impose including any condition requiring the lodgement of an additions bond or other form of security for rehabilitation of the area affected by such operations. PROSPECTING (GENERAL) Where the lease holder notifies the Director-General pursuant to sub-paragraph (a) of this condition the lease holder shall furnish with that notification details of the type of prospecting methods that would be adopted and the extent and location of the area that would be affected by them	Not triggered (no exploration)	Not triggered	
			General Requirements The:-Frequency of monitoring:-Frequency of reporting; and-Format of reporting;for any condition hereunder will be as stated in Annexure E or, where no statement is provided in Annexure E, as stated in the relevant "Management Plan" as specified in Annexure E, or, where no Plan is specified in Annexure E or where the Plan makes no statement, as specified in the condition hereunder.	Note	Not triggered	
DSC Annexure D Condition 1.1	ML1349	Dams	General Requirements The Dams Safety Committee ("the DSC") may modify the content of Annexure E, or any associated Management Plan, or the frequency of monitoring or reporting format, of reporting for any condition hereunder from time to time.	Note	Not triggered	
DSC Annexure D Condition 1.2	ML1349	Dams	General Requirements Where the DSC has modified the conditions as per Condition 1,2 and has advised the liaison officer appointed under Condition 22 in writing, those modified conditions replace any condition hereunder and shall have the same effect as if they were part of the approval.	Not triggered	Not triggered	
DSC Annexure D Condition 1.3	ML1349	Dams	General Requirements The company shall arrange for DSC staff to inspect the workings from time to time when required by the Committee, and in particular when any significant features are encountered in the workings.	Not triggered	Not triggered	
DSC Annexure D Condition 1.4	ML1349	Dams	Plans Supplied to the DSC Several conditions require the company to submit plans to the DSC. Apart from the district plans that may be required under condition 4 and the position of the face required under condition 23, these plans shall share the same scale and base map to facilitate the comparison and correlation between different factors.	Not triggered	Not triggered	
DSC Annexure D Condition 10.1	ML1349	Dams, Reporting	Variations From time to time the company may desire to alter the approved mining within the notification area in a minor way (termed a "minor variation"). It may wish to add an extra cutthrough, increase or decrease the width of a panel/longwall, etc. Applications for minor variations to approvals shall be made to the Chief Inspector of Coal Mines, who will refer the application to the DSC.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per condition.	Compliant	
DSC Annexure D Condition 11.1	ML1349	Dams	Variations The Committee requires all proposed variations, even small variations, be referred to it (via the Chief Inspector) for its consideration. To expedite the approval process where the proposed variation is urgent and very minor, DSC staff will give a decision by phone, fax or email to the company and inform the Chief Inspector of their decision. The company will then approach the Chief Inspector for formal approval or otherwise, with both parties aware of the Committee's decision. This procedure should only be followed in urgent situations.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per condition.	Compliant	
DSC Annexure D Condition 11.2	ML1349	Dams	Variations The usual procedure is to submit a written application, with appropriate supporting documentation, to the Chief Inspector of Coal Mines, who will then forward this to the DSC for its consideration. The company should also send a copy of the application to the DSC so that it may begin processing it. This will allow for a quick reply.Where the variation is sufficiently extensive (as determined by the DSC) the Company will be required to submit a full application to mine within the notification area.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per condition.	Compliant	
DSC Annexure D Condition 11.3	ML1349	Dams	Variations The Chief Inspect of coal Mines shall not approve minor variation unless an enforcement by the DSC has been received.	Note	Not triggered	
DSC Annexure D Condition 11.4	ML1349	Dams	Completion of Monitoring Regardless of the status of mining or location of the active face, all monitoring and reporting shall continue as specified until the committee considers that it is no longer required, or that the frequency of the monitoring can be altered. The company may apply to the Committee for modification to the frequency of monitoring, or for the discontinuance of monitoring.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per condition. Monitoring is carried out in accordance with MOP. No completion monitoring undertaken as mine is in C&M period during audit.	Compliant	
DSC Annexure D Condition 12.1	ML1349	Dams	Committee's Emergency Powers The Minister, on notice from the Committee, may at any time or times suspend for a period of time, cancel, alter, omit from or add to this consent or the conditions of this consent.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
DSC Annexure D Condition 13.2	ML1349	Dams	Committee's Emergency Powers Regardless of the consent of any management plan, the Committee may require by notice in writing the company to:- Cease any or all mining at the Ravensworth Underground Mine until such time as the Committee agrees that mining may recommence;- Undertake investigations as specified by the Committee; and/or- Undertake remedial works as specified by the Committee.	Not triggered	Not triggered	
DSC Annexure D Condition 15.1	ML1349	Dams	Repair of Damage to Prescribed Dams Prior to mining commencing the company is to satisfy the Committee that the safety (as determined by the Committee) of the dam or storage will be restored by the owner if, in the opinion of the Committee, it has been compromised by the effects of mining. Such restoration by the owner is to be within a time acceptable to the Committee.	Not triggered	Not triggered	
DSC Annexure D Condition 17.1	ML1349	Dams	Monitoring Management Plans The company shall prepare a Management Plan encompassing all of the monitoring programs required by the Committee.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per conditon. Monitoring is carrid out in accordance with MOP. No completion monitoring undertaken as mine is in C&M period during audit.	Compliant	
DSC Annexure D Condition 17.2	ML1349	Dams	Monitoring Management Plans The plan required above is to be submitted to the DSC for its approval prior to the commencement of mining in the notification area.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per conditon. Monitoring is carrid out in accordance with MOP. No completion monitoring undertaken as mine is in C&M period during audit.	Compliant	
DSC Annexure D Condition 17.3	ML1349	Dams	Monitoring Management Plans The plan required above shall be reviewed by the company at intervals not exceeding 12 months. The review process shall include forwarding a copy of the plan to the DSC it a request for comments.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per conditon. Monitoring is carrid out in accordance with MOP. No completion monitoring undertaken as mine is in C&M period during audit.	Compliant	
DSC Annexure D Condition 19.1	ML1349	Dams	Statistical Reports The company shall report in writing to the DSC the total tonnage of coal extracted, and otherstatistics related to the approval at intervals as specified in Annexure E.	MOP Plans, MOP approval and Susp to Mining Operations for RUM. No mining occurring. No variations to mining method as per conditon. Monitoring is carrid out in accordance with MOP. No completion monitoring undertaken as mine is in C&M period during audit.	Compliant	
DSC Annexure D Condition 2.1	ML1349	Dams	Correspondence with the DSC All correspondence with the Committee in regard to this approval shall be clearly labelled Ravensworth Underground-1.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period.	Not triggered	
DSC Annexure D Condition 2.2	ML1349	Dams	Correspondence with the DSC Reports required under the Ravensworth-1 approval shall be sent to:The Executive EngineerN.S.W Dams Safety-CommitteeFloor 3, Macquarie Tower,10 Valentine Avenue,Parramatta N.S.W 2150 P.O Box 3720Fax: (02) 98957354Phone: (02) 98957363Email: mining@damsafety.nsw.gov.au	Not triggered. No correspondence to DSC relating to this tenement and Dam during period.	Not triggered	
DSC Annexure D Condition 2.3	ML1349	Dams	Correspondence with the DSC Copies of any reports or plans required to be provided to the Committee shall also be provided to the Senior Inspector of Coal Mines, Maitland.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 20	ML1349	Dams	Compliance Reports The company shall submit a statement of it's compliance with the required conditions every 6 months, or at intervals determined by the Committee form time to time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period.	Not triggered	
DSC Annexure D Condition 21.1	ML1349	Dams	Monitoring, Reporting and Extraction Schedule The company shall submit an updated Monitoring, Reporting and Extraction Schedule monthly, or at intervals, specified by the Committee from time to time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 21.2	ML1349	Dams	Monitoring, Reporting and Extraction Schedule The schedule shall include target dates for starting and finishing each panel, or other tasks required by the Committee.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 21.3	ML1349	Dams	Monitoring, Reporting and Extraction Schedule The schedule shall include the dates for supplying reports, or completing other tasks required by the Committee.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 21.4	ML1349	Dams	Monitoring, Reporting and Extraction Schedule The schedule shall be in a format as determined by the Committee from time to time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
Dsc Annexure D Condition 22.1	ML1349	Dams	Liaison Officer The company shall appoint a suitably qualified and experienced person, acceptable to the Committee, as a liaison officer for the period when there is active mining in the notification area and for additional period afterwards as determined by the Committee.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
DSC Annexure D Condition 23.1	ML1349	Dams	Reports on the Location of the Face The company shall provide a plan to the DSC showing the location of any active faces, to the satisfaction of the Committee, weekly or at intervals as specified by the Committee from time to time. These reports are to continue until such time as the Committee agrees that it should cease, regardless of whether there is active mining in the notification area.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 24.1	ML1349	Dams	Cessation of this Approval No mining shall be undertaken in the approved area after 31 December 2015 unless such date is extended by the Committee.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 3.1	ML1349	Dams	Notification of Commencement of Mining So that the DSC is aware that mining in an approved area has commenced (and can therefore expect to receive reports of monitoring) the company shall notify the DSC that mining has commenced in the notification area within seven days of the commencement of mining.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 4.1	ML1349	Dams	Inspection of Workings The company shall carry out weekly visual inspections of the workings whenever mining in the notification area, and for 6 months before and after mining in the notification area, where practicable. Reports of these inspections shall be forwarded to the DSC within seven days after the expiration of each month, or at intervals determined by the Committee from time to time. Any unusual incidents of concern shall be reported immediately to the Committee.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 8.1	ML1349	Dams	Emergency Water Conditions The DSC shall be notified immediately if:(a) Water monitoring indicated that total outflow is significantly greater than total inflow;(b) A significant groundwater flow into any of the subject workings or within 300 metres of them is observed;(c) Significantly increasing water flows are encountered at any time during the development of workings; or(d) Any visible flow is discoloured by the presence of clay, sand or silt.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 8.2	ML1349	Dams	Emergency Water Conditions If, in the opinion of the Committee, a significant change in the groundwater inflows or discolouration of water flows is noted, the Committee may require chemical, biological, nuclear or other testing to be carried out, or additional monitoring, and for these to be reported to the Committee at frequencies specified by the Committee from time to time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 8.3	ML1349	Dams	Emergency Water Conditions Water monitoring under condition 8 will operate in addition to all water monitoring requirements and inflow trigger levels specified in the Contingency Plan required under section 16	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 9.1	ML1349	Dams	Subsidence and Strain Monitoring Before mining, the company shall submit a proposal for a subsidence monitoring program as part of the Monitoring Management Plan required under Condition 17, below, for approval by the Committee. The company shall comply fully with the approved Monitoring Management Plan.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 9.2	ML1349	Dams	Subsidence and Strain Monitoring Provisions of the subsidence monitoring program shall be established as soon as possible and shall be measured at frequencies as specified in Annexure E.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 9.3	ML1349	Subsidence, Dams, Reporting	Subsidence and Strain Monitoring The results of these surveys shall be submitted to the DSC within one (1) month of the completion of the survey. Brief comments on the results of the survey, and a plan showing the extent of workings at the time of the survey, shall be included with each of the surveys submitted to the DSC. The results shall be provided in a format on media as approved by the Committee from time-to-time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 9.4	ML1349	Subsidence, Dams, Reporting	Subsidence and Strain Monitoring A plan of scale 1:2000, or as specified by the Committee from time-to-time, shall be prepared showing the locations of the survey lines and the position of each of the survey marks. A transparency of such plan(s) together with two prints shall be forwarded to the DSC at the same time as the first survey results.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D Condition 9.5	ML1349	Subsidence, Dams, Reporting	Subsidence and Strain Monitoring During the survey any surface cracking observed in the vicinity of the survey lines shall be recorded on the plan referred to in condition 9.4, and a copy of this plan submitted with each survey. If no cracking is observed, or there has been no change since the previous survey, then a short written note to this effect is to be included with the survey.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 1.1	ML1349	Dams	General Requirements The:-Frequency of monitoring;-Frequency of reporting; and-Format of reporting;for any condition hereunder will be as stated in Annexure E or, where no statement is provided in Annexure E, as stated in the relevant "Management Plan" as specified in Annexure E, or, where no Plan is specified in Annexure E or where the Plan makes no statement, as specified in the condition hereunder.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 1.2	ML1349	Dams	General Requirements The Dams Safety Committee ("the DSC") may modify the content of Annexure E, or any associated Management Plan, or the frequency of monitoring or reporting format, of reporting for any condition hereunder from time to time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 1.3	ML1349	Dams	General Requirements Where the DSC has modified the conditions as per Condition 1,2 and has advised the liaison officer appointed under Condition 22 in writing, those modified conditions replace any condition hereunder and shall have the same effect as if they were part of the approval.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
DSC Annexure D1 Condition 1.4	ML1349	Dams	General Requirements The company shall arrange for DSC staff to inspect the workings from time to time when required by the Committee, and in particular when any significant features are encountered in the workings.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 2.1	ML1349	Dams	Inspections and Repair of Embankment Before mining within the notification area, or before some other time as deterined by the Committee from time to time, the company shall submit a proposal for a program of inspections of the embankment, as part of the Monitoring Management Plan required under Annexure D Condition 17, for approval by the committee. The company shall cmpy fully with the approved Monitoring Management Plan.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 2.2	ML1349	Dams	Inspections and Repair of Embankment Inspections of the embankment shall be undertaken at intervals as specified in Annexure E. Monitoring shall continue after extraction in each panel has been completed, until the committee agrees that inspections may cease.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 2.3	ML1349	Dams	Inspections and Repair of Embankment The company shall prepare and submit to the Committee a report on the results of the monitoring monthly, or at intervals as specified in Annexure E. The details of the presentaton shall be determined by the Committee from time to time.	Not triggered during the audit period.	Not triggered	
DSC Annexure D1 Condition 2.4	ML1349	Dams	Inspections and Repair of Embankment Damage identified during inspections shall be repaired by the dam owner and/or company, as required under Condition 15.1 of Annexure D, as soon as practicable. Actions taken shall be reported to the Committee as soon as possible.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 2.5	ML1349	Dams	Inspections and Repair of Embankment After extraction of each panel the company shall arrange for an inspection and review of the embankment by a dams safety specialist and provide a copy of the report to the Committee and to the dam owner within one month of completion of the panel, or at a time as specified in Annexure E. The report shall identify unsafe conditions, and recommend actions to rectify damage.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 2.6	ML1349	Dams	Inspections and Repair of Embankment Damage identified by the inspection and report required in Condition 2.5 Annexure 1 shall be repaired by the dam owner and/or company, as required under Condition 15.1 of Annexure D, as soon as practicable.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 3.1	ML1349	Dams	Tailings Management Before mining within the notification area, or before some other time as deterined by the Committee from time to time, the company shall submit a proposal for a program of tailings management, as part of the Monitoring Management Plan required under Annexure D Condition 17, for approval by the committee. The company shall cmpy fully with the approved Monitoring Management Plan.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
DSC Annexure D1 Condition 3.2	ML1349	Dams, Reporting	Tailings Management The company shall prepare and submit to the Committee a report on the management of tailings monthly, or at intervals as specified in Annexure E. The details of the presentation shall be determined by the Committee from time to time.	Not triggered. No correspondence to DSC relating to this tenement and Dam during period. Suspension of ML conditions 2019-2021 during reporting period.	Not triggered	
Mining Act Condition 001	ML1349	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_202006_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1349	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	ML 1349 email - paid by Commercial Dept.	Compliant	
Mining Act Condition 003	ML1349	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	ML 1349 email - paid by Commercial Dept.	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1357	Administration	1. Notice to Landholders (a) Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. A plan identifying each landholder and individual land parcel subject to the lease area, and a description of the lease area must accompany the notice. (b) If there are ten or more landholders, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area. If a notice is made under condition 1(b), compliance with condition 1(a) is not required.	Not triggered	Not triggered	
Condition 002	ML1357	Land Management	2. Rehabilitation Any disturbance resulting from the activities carried out under this mining lease must be rehabilitated to the satisfaction of the Minister.	MOP (on website). Rehab in accordance with approved MOP	Compliant	
Condition 003	ML1357	Annual Report, Mine Operations Plan	3. Mining Operations Plan and Annual Rehabilitation Report (a) The lease holder must comply with an approved Mining Operations Plan (MOP) in carrying out any significant surface disturbing activities, including mining operations, mining purposes and prospecting. The lease holder must apply to the Minister for approval of a MOP. An approved MOP must be in place prior to commencing any significant surface disturbing activities, including mining operations, mining purposes and prospecting. (b) The MOP must identify the post mining land use and set out a detailed rehabilitation strategy which: (i) identifies areas that will be disturbed; (ii) details the staging of specific mining operations, mining purposes and prospecting; (iii) identifies how the mine will be managed and rehabilitated to achieve the post mining land use; (iv) identifies how mining operations, mining purposes and prospecting will be carried out in order to prevent and or minimise harm to the environment; and (v) reflects the conditions of approval under: the Environmental Planning and Assessment Act 1979; the Protection of the Environment Operations Act 1997; and any other approvals relevant to the development including the conditions of this mining lease. (c) The MOP must be prepared in accordance with the ESG3: Mining Operations Plan (MOP) Guidelines September 2013 published on the Department's website at www.resources.nsw.gov.au/environment (d) The lease holder may apply to the Minister to amend an approved MOP at any time. (e) It is not a breach of this condition if: (i) the operations which, but for this condition 3(e) would be a breach of condition 3(a), were necessary to comply with a lawful order or direction given under the Environmental Planning and Assessment Act 1979, the Protection of the Environment Operations Act 1997, the Mine Health and Safety Act 2004 / Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007 / Coal Mine Health and Safety Regulation 2006 or the Work Health and Safety Act 2011; and (ii) the Minister had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. (f) The lease holder must prepare a Rehabilitation Report to the satisfaction of the Minister. The report must: (i) provide a detailed review of the progress of rehabilitation against the performance measures and criteria established in the approved MOP; (ii) be submitted annually on the grant anniversary date (or at such other times as agreed by the Minister); and (iii) be prepared in accordance with any relevant annual reporting guidelines published on the Department's website at www.resources.nsw.gov.au/environment . Note: The Rehabilitation Report replaces the Annual Environmental Management Report.	Annual Review (2018-2020) and MOP (website)	Compliant	
Condition 004	ML1357	Reporting	Non-Compliance Reporting (a) The lease holder must notify the Department upon becoming aware of any breaches of the conditions of this mining lease or breaches of the Mining Act or Regulations. (b) Notifications under condition 4(a) must be provided in the form specified on the Department's website within seven (7) days of the mining lease holder becoming aware of the breach.	Annual Review (2018-2020) and MOP (website) details any non compliances	Compliant	
Condition 005	ML1357	Incident	Environmental Incident Report The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997. Definitions Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.	Annual Review (2018-2020) and MOP (website) details any non compliances	Compliant	
Condition 006	ML1357	Subsidence	6. Extraction Plan (a) In this condition: (i) approved Extraction Plan means a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: I. submitted to the Secretary on or before 31 December 2014; and II. approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning & Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction Plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction Plan addressing: built features; public safety; or subsidence monitoring.	Not triggered	Not triggered	
Condition 007	ML1357	Administration	7. Resource Recovery The lease holder must optimise recovery of the minerals that are the subject of this mining lease to the extent economically feasible.	Refer to approved MOP (2021-2023) and (2021-2022) RUM	Compliant	
Condition 008	ML1357	Security Deposit	8. Group Security The lease holder is required to provide and maintain a security deposit to secure funding for the fulfilment of obligations of all or any kind under the mining lease, including obligations of all or any kind under the mining lease that may arise in the future. The amount of the security deposit to be provided has been assessed by the Minister at \$24,935,000. The leases covered by the group security include: Consolidated Coal Leas Nos 723 and 739 (Act 1973) Coal Lease Nos 380 and 580 (Act 1973)	List of ROC Guarantees - excel	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 009	ML1357	Administration	9. Cooperation Agreement The lease holder must make every reasonable attempt, and be able to demonstrate its attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as: access arrangements ☐ operational interaction procedures ☐ dispute resolution information exchange ☐ well location timing of drilling ☐ potential resource extraction conflicts; and ☐ rehabilitation issues.	MOP approval letters and lease plan MOP Satisfactory LETT0005205 CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)	Compliant	
Condition 010	ML1357	Dams	10. Prescribed Dam (a) Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area of the Ravensworth South Tailings Facility and the Ravensworth West Notification Area without the prior written approval of the Minister and subject to any conditions stipulated. (b) Where the lease holder desires to mine within the notification area he or she must: (i) at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and (ii) provide such information as the Minister may direct. (c) The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraph is complied with if: (i) the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). (ii) the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. (iii) the Secretary has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal. (iv) the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and (v) where the Dams Safety Committee has made recommendations the approval is in terms that are: -in accordance with those recommendations; or -where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph. (vi) Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: -as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or -in the event of failure to reach such agreement - as determined by the Premier. (d) The Minister, on notice from the Dams Safety Committee, may at any time or times: (i) cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given. (ii) suspend for a period of time, alter, omit from or add to any approval given or conditions imposed.	Not triggered	Not triggered	
Condition Note	ML1357	Reporting	Exploration Reporting Note: Exploration Reports (Geological and Geophysical) The lease holder must lodge reports to the satisfaction of the Minister in accordance with section 163C of the Mining Act 1992 and in accordance with clause 57 of the Mining Regulation 2010. Reports must be prepared in accordance with Exploration Reporting: A guide for reporting on exploration and prospecting in New South Wales (Department of Trade and Investment; Regional Infrastructure and Services 2010).	CL378_Reporting_Index_201711_A_01_R EPORT CL378_Reporting_Index_201811_A_01_R EPORT	Compliant	
Mining Act Condition 001	ML1357	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 2928 of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	Group reporting CL378_Reporting_Index_201711_A_01_R EPORT CL378_Reporting_Index_201811_A_01_R EPORT	Compliant	
Mining Act Condition 002	ML1357	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	Group reporting 2700B 20.09.18 PAYMENT_ML1357 (1) 2700B 20.09.18 PAYMENT_ML1357 2700B 12.09.19 APPROVAL_ML1357 ML 1357 Ravensworth	Compliant	
Mining Act Condition 003	ML1357	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	2700B 20.09.18 PAYMENT_ML1357 (1) 2700B 20.09.18 PAYMENT_ML1357 2700B 12.09.19 APPROVAL_ML1357 ML 1357 Ravensworth	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1393	Access to Information, Property	1. Notice to Landholders Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice. If there are ten or more landholders affected, the leaseholder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area.	Not triggered	Not triggered	
Condition 002	ML1393	Reporting	2. Environmental Harm The proponent shall implement all practicable measure to prevent and/or minimise any harm to the environment that may result from the construction, operation or rehabilitation of the development.	EMS, Management Plans, Monitoring, Inspections. Refer to suite of site EMPs, Procedures, Plans, Monitoring Data etc	Compliant	
Condition 003	ML1393	Mine Operations Plan	Mining Operations Plan (MOP) (a) Mining operations must not be carried out otherwise than in accordance with: a Mining Operation Plan (MOP) which has been approved by the Director-General of the Department of Primary Industries. (b) The MOP must: (i) identify areas that will be disturbed by mining operations; (ii) detail the staging of specific mining operations; (iii) identify how the mine will be managed to allow mine closure; (iv) identify how mining operations will be carried out on site in order to prevent and or minimise harm to the environment; (v) reflect the conditions of approval under- the Environmental Planning and Assessment Act 1979- the Protection of the Environment Operations Act 1997- and any other approvals relevant to the development including the conditions of this lease; and (vi) have regard to any relevant guidelines adopted by the Director-General. (c) The titleholder may apply to the Director-General to amend an approved MOP at any time. (d) It is not a breach of this condition if: (i) the operations constituting the breach were necessary to comply with a lawful order of direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection Operations Act 1997 or the Occupational Health and Safety Act 2000; and (ii) the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. (e) A MOP ceases to have affect 7 years after date of approval or other such period as identified by the Director-General. An approved amendment to the MOP under condition 5 does not constitute an approval for the purpose of this paragraph unless otherwise identified by the Director-General.	MOP (website)	Compliant	
Condition 004	ML1393	Reporting	4. ENVIRONMENTAL MANAGEMENT REPORTING The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.	Annual Review on website	Compliant	
Condition 006	ML1393	Reporting	6. ENVIRONMENTAL MANAGEMENT REPORTING Additional environmental reports may be required on specific surface disturbing operations or environmental incidents from time to time as directed in writing by the Director-General and must be lodged as instructed.	Annual Review on website	Compliant	
Condition 007	ML1393		7. REHABILITATION Disturbed land must be rehabilitated to a sustainable/agreed end land use to the satisfaction of the Director-General.	s240 notice - Cumnock rehab direction (2018) detailed in MOP	Compliant	
Condition 008	ML1393	Subsidence	8. Extraction plan (a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.	Not triggered	Not triggered	
Condition 010	ML1393	Administration	10. Control of Operations (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:- (i) cease working the lease; or (ii) Cease that part of the operation not complying with the act or conditions until in the opinion of the environmental officer the situation is rectified. (b) The lease holder must comply with any given direction the director general may confirm vary or revoke any such direction. (c) a direction referred to in this condition may be served on the Mine Manager.	Not triggered	Not triggered	
Condition 011	ML1393	Reporting	11. Reports The lease holder must provide an exploration report, within a period of twenty-eight days after each anniversary of the date this lease has effect or at such other date as the Director-General may stipulate, of each year. The report must be to the satisfaction of the Director-General and contain the following:(a) Full particulars, including results, interpretation and conclusions, of all exploration conducted during the twelve months period;(b) Details of expenditure incurred in conducting that exploration;(c) A summary of all geological findings acquired through mining or development evaluation activities;(d) particulars of exploration proposed to be conducted in the next twelve months period;(e) All plans, maps, sections and other data necessary to satisfactorily interpret the report.	Not triggered	Not triggered	
Condition 012	ML1393	Reporting	12. Licence to Use Reports (a) The lease holder grants to the Minister, by way of a non-exclusive licence, the right in copyright to publish, print, adapt and reproduce all exploration reports lodged in any form and for the full duration of copyright. (b) The non-exclusive licence will operate as a consent for the purposes of section 365 of the Mining Act 1992.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 013	ML1393	Administration	<p>13. Confidentiality</p> <p>(a) All exploration reports submitted in accordance with the conditions of this lease will be kept confidential while the lease is in force, except in cases where:</p> <p>the lease holder has agreed that specified reports may be made non-confidential.</p> <p>reports deal with exploration conducted exclusively on areas that have ceased to be part of the lease.</p> <p>(b) Confidentiality will be continued beyond the termination of a lease where application for a flow-on title was lodged during the currency of the lease. The confidentiality will last until that flow-on title or any subsequent flow-on title, has terminated.</p> <p>(c) The Director-General may extend the period of confidentiality.</p>	Not triggered	Not triggered	
Condition 014	ML1393	Administration	<p>14. TERMS OF THE NON-EXCLUSIVE LICENCE</p> <p>The terms of the non-exclusive copyright licence granted under condition 12 are: (a) the Minister may sub-licence others to publish, print, adapt and reproduce but not on-licence reports.</p> <p>(b) The Minister and any sub-licence will acknowledge the lease holder's and any identifiable consultant's ownership of copyright in any reproduction of the reports, including storage of reports onto an electronic database.</p> <p>(c) the lease holder does not warrant ownership of all copyright works in any report and, the lease holder will use best endeavours to identify those parts of the report for which the lease holder owns the copyright.</p> <p>(d) there is no royalty payable by the Minister for the licence.</p> <p>(e) if the lease holder has reasonable grounds to believe that the Minister has exercised his rights under the non-exclusive copyright licence in a manner which adversely affects the operations of the lease holder, that licence is revocable on the giving of a period of not less than three months notice.</p>	Not triggered	Not triggered	
Condition 016	ML1393	Administration, Public Safety	<p>16. Safety</p> <p>Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site inductions, Site Safety Management System, Auhorised, trained and competent personnel. Site is secure, cameras, fences, inspections etc	Compliant	
Condition 017	ML1393	Administration	<p>17. EXPLORATORY DRILLING</p> <p>(a) At least twenty eight days prior to commencement of drilling operations the lease holder must notify the relevant Department of Climate Change and Environment regional hydrologist of the intention to drill exploratory drill holes together with information on the location of the proposed holes.</p> <p>(b) If the lease holder drills exploratory drill holes he must satisfy the Director-General that:-</p> <p>all cored holes are accurately surveyed and permanently marked in accordance with Departmental guidelines so that their location can be easily established;</p> <p>all holes cored or otherwise are sealed to prevent the collapse of the surrounding surface;</p> <p>all drill holes are permanently sealed with cement plugs to prevent surface discharge of groundwaters;</p> <p>if any drill hole meets natural or noxious gases it is plugged or sealed to prevent their escape;</p> <p>if any drill hole meets an artesian or sub-artesian flow it is effectively sealed to prevent contamination of aquifers.</p> <p>once any drill hole ceased to be used the hole must be sealed in accordance with Department guidelines. Alternatively, the hole must be sealed as instructed by the Director-General.</p> <p>once any drill hole ceases to be used the land and its immediate vicinity is left in a clean, tidy and stable condition.</p>	Not triggered	Not triggered	
Condition 018	ML1393	Soil, Water, Reporting	<p>18. PREVENTION OF SOIL EROSION AND POLLUTION</p> <p>Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard</p>	Water Management Plan, MOP (website)	Compliant	
Condition 019	ML1393	Infrastructure & Site Services	<p>19. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.</p>	Not triggered	Not triggered	
Condition 021	ML1393	Traffic & Transport	<p>21. ROADS AND TRACKS</p> <p>(a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate.</p> <p>(b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.</p>	<p>a) Refer to MOP 2021-2023 Plan 3C. All disturbance in accordance with MOP.</p> <p>b) Not triggered. No damage to roads.</p>	Not triggered	
Condition 025	ML1393	Administration	<p>25. RESOURCE RECOVERY</p> <p>(a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, he may give notice in writing to the lease holder requiring the holder to recover such minerals.</p> <p>(b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery.</p> <p>(c) The lease holder must, when requested by the Director-General, provide such information as the Director-general may specify about the recovery of the mineral resource of the lease area.</p> <p>(d) The Director-General shall issue no such notice unless the matter has firstly been thoroughly discussed with and a report to the Director-General has incorporated the views of the lease holder.</p> <p>(e) The lease holder may object to the requirements of any notice issued under this condition and on receipt of such an objection the Minister shall refer it to a Warden for inquiry and report under Section 334 of the Mining Act, 1992.</p> <p>(f) After considering the Warden's report the Minister shall decide whether to withdraw, modify or maintain the requirements specified in the original notice and shall give the lease holder written notice of the decision. The lease holder must comply with the requirements of this notice.</p>	MOP (website)	Compliant	
Condition 026	ML1393	Administration	<p>26. INDEMNITY</p> <p>The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Note	Not triggered	
Condition 028	ML1393	Administration	<p>28. SECURITY</p> <p>(a) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of obligations under CL 378, CL 392, MPL 311, ML 1300, ML 1325, ML 1327, ML 1421, ML 1502 and ML 1526 is extended to apply to this lease.</p> <p>(b) If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfil the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder.</p>	Not triggered. Comment added to obligation.	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 029	ML1393	Dams	<p>29. Prescribed Dam</p> <p>Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Void 5West TailingsDamwithout the prior written approval of the Minister and subject to any conditions he may stipulate.</p> <p>Where the lease holder desires to mine within the notification area he must at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of mining system to be implemented must accompany the notice; and provide such information as the Minister may direct.</p> <p>The Minister, must not, except in the circumstances set out in sub paragraph (ii), grant approval unless sub paragraph (i) of this paragraph has been complied with. This sub paragraph is complied with if:</p> <p>The Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b).</p> <p>the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined.</p> <p>the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal.</p> <p>the Dams Safety Committee has made it's recommendations concerning the mining proposal or has informed the minister in writing that it does not propose to make any such recommendations; and</p> <p>where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>in accordance with those recommendations; o</p> <p>where the minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph.</p> <p>Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam:</p> <p>as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or</p> <p>in the event of failure to reach such agreement - as determined by the Premier.</p> <p>The Minister on notice from the Dams Safety Committee may at any time or times:</p> <p>cancel any approval given where a notice pursuant to section 18 of the Dams Safety Act 1978 is given</p> <p>suspend for a period of time, alter, omit from or add to any approval given or conditions imposed</p>	<p>There has been no requirement to mine within any part of the lease area which is within the notification area of the Ravensworth 5 Void West Tailings Dam during the audot period.</p>	Not triggered	
Mining Act Condition 001	ML1393	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Regl)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	<p>Report submission ML1393</p>	Compliant	
Mining Act Condition 002	ML1393	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	<p>2800B 16.08.18 PAYMENT_ML1393 2018 2800B 15.05.19 APPROVAL_ML1393_2019 2800B 27.08.20 APPROVAL_ML1393 2020</p>	Compliant	
Mining Act Condition 003	ML1393	Annual Administrative Levy	<p>Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.</p>	<p>2800B 16.08.18 PAYMENT_ML1393 2018 2800B 15.05.19 APPROVAL_ML1393_2019 2800B 27.08.20 APPROVAL_ML1393 2020</p>	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1416	Notification	<p>Notice to Landholders</p> <p>(a) Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. A plan identifying each landholder and individual land parcel subject to the lease area, and a description of the lease area must accompany the notice.</p> <p>(b) If there are ten or more landholders, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area. If a notice is made under condition 1(b), compliance with condition 1(a) is not required.</p>	Not triggered	Not triggered	
Condition 002	ML1416	Biodiversity	<p>Rehabilitation</p> <p>Any disturbance resulting from the activities carried out under this mining lease must be rehabilitated to the satisfaction of the Minister.</p> <p>Mining Operations Plan and Annual Rehabilitation Report</p> <p>(a) The lease holder must comply with an approved Mining Operations Plan (MOP) in carrying out any significant surface disturbing activities, including mining operations, mining purposes and prospecting. The lease holder must apply to the Minister for approval of a MOP. An approved MOP must be in place prior to commencing any significant surface disturbing activities, including mining operations, mining purposes and prospecting.</p> <p>(b) The MOP must identify the post mining land use and set out a detailed rehabilitation strategy which:</p> <p>(i) identifies areas that will be disturbed;</p> <p>(ii) details the staging of specific mining operations, mining purposes and respecting;</p> <p>(iii) identifies how the mine will be managed and rehabilitated to achieve the post mining land use;</p> <p>(iv) identifies how mining operations, mining purposes and prospecting will be carried out in order to prevent and or minimise harm to the environment; and</p> <p>(v) reflects the conditions of approval under:</p> <p>the Environmental Planning and Assessment Act 1979;</p> <p>the Protection of the Environment Operations Act 1997; and</p> <p>Mining Lease Conditions (Coal) 2013 Version Date: 27 October 2017</p> <p>any other approvals relevant to the development including the conditions of this mining lease.</p>	Not triggered - no rehabilitation around Pit Top area of RUM	Not triggered	
Condition 003	ML1416	Mine Operations Plan	<p>(c) The MOP must be prepared in accordance with the ESG3: Mining Operations Plan (MOP) Guidelines September 2013 published on the Department's website at www.resourcesandenergy.nsw.gov.au/miners-and-explorers/rules-andforms/pgf/environmental-guidelines</p> <p>(d) The lease holder may apply to the Minister to amend an approved MOP at any time.</p> <p>(e) It is not a breach of this condition if:</p> <p>(i) the operations which, but for this condition 3(e) would be a breach of condition 3(a), were necessary to comply with a lawful order or direction given under the Environmental Planning and Assessment Act 1979, the Protection of the Environment Operations Act 1997, the Work Health and Safety (Mines and Petroleum Sites) Act 2013 and Work Health and Safety (Mines and Petroleum Sites) Regulation 2014 or the Work Health and Safety Act 2011; and</p> <p>(ii) the Minister had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out.</p> <p>(f) The lease holder must prepare a Rehabilitation Report to the satisfaction of the Minister.</p> <p>The report must:</p> <p>(i) provide a detailed review of the progress of rehabilitation against the performance measures and criteria established in the approved MOP;</p> <p>(ii) be submitted annually on the grant anniversary date (or at such other times as agreed by the Minister); and</p> <p>(iii) be submitted with the annual compliance report.</p>	MOP (website)	Compliant	
Condition 004	ML1416	Reporting	<p>Non-Compliance Reporting</p> <p>(a) The lease holder must notify the Department upon becoming aware of any breaches of the conditions of this mining lease or breaches of the Mining Act or Regulations;</p> <p>(b) Notifications under condition 4(a) must be provided in the form specified on the Department's website within seven (7) days of the mining lease holder becoming aware of the breach.</p>	Annual Review (website)	Compliant	
Condition 005	ML1416	Incident	<p>Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p>	Annual Review (website)	Compliant	
Condition 006	ML1416	Subsidence	<p>Extraction Plan</p> <p>(a) In this condition:</p> <p>(i) approved Extraction Plan means a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>a subsidence management plan relating to the mining operations subject to this lease:</p> <p>submitted to the Secretary on or before 31 December 2014; and</p> <p>approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning & Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction Plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction Plan addressing:</p> <p>built features;</p> <p>public safety; or</p> <p>subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 007	ML1416	Mine Planning	<p>Resource Recovery</p> <p>The lease holder must optimise recovery of the minerals that are the subject of this mining lease to the extent economically feasible.</p>	Annual Review & MOP (website)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 008	ML1416	Security Deposit	Group Security The lease holder is required to provide and maintain a security deposit to secure funding for the fulfilment of obligations of all or any kind under the mining lease, including obligations of all or any kind under the mining lease that may arise in the future. The amount of the security deposit to be provided as a group security has been assessed by the Minister at \$4,213,001. The leases covered by the group security include: Mining Lease 1398 (Act 1992) Mining Lease 1416 (Act 1992) Mining Lease 1477 (Act 1992) Mining Lease 1495 (Act 1992) Mining Lease 1506 (Act 1992) Mining Lease 1564 (Act 1992) Mining Lease 1581 (Act 1992) Mining Lease 1591 (Act 1992) Mining Lease 1595 (Act 1992) Mining Lease 1625 (Act 1992)	Security Deposit Payment pdf	Compliant	
Condition 009	ML1416	Administration	Cooperation Agreement The lease holder must make every reasonable attempt, and be able to demonstrate its attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as: access arrangements operational interaction procedures dispute resolution information exchange well location timing of drilling potential resource extraction conflicts; and rehabilitation issues.	MOP approval letters and lease plan MOP Satisfactory LETT0005205 CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)	Compliant	
Mining Act Condition 001	ML1416	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1416	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	27008 20.09.18 PAYMENT_ML1357 27008 12.09.19 APPROVAL_ML1357	Compliant	
Mining Act Condition 003	ML1416	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	27008 20.09.18 PAYMENT_ML1357 27008 12.09.19 APPROVAL_ML1357	Compliant	
Mining Act Condition 004	ML1416		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	An application to extend the suspension until 2021 was approved on the 15 March 2019. The suspension takes effect from 7 March 2019 for a period until 12 July 2021. RUM is scheduled for closure on 31 July 2024.	Compliant	
Note	ML1416	Reporting	Exploration Reporting Note: Exploration Reports (Geological and Geophysical) The lease holder must lodge reports to the satisfaction of the Minister in accordance with section 163C of the Mining Act 1992 and in accordance with clause 59 of the Mining Regulation 2016. Reports must be prepared in accordance with Exploration Reporting: A guide for reporting on exploration and prospecting in New South Wales.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1477	Administration	EXTRACTION OF COAL 1. The lease holder shall extract as large a percentage of the coal in the subject area as is possible consistent with the provisions of the Coal Mines Regulation Act 1982 and the Regulations thereunder and shall comply with any direction given or which may be given in this regard by the Minister.	MOP (on website). RUM remains in C&M. Suspension of Operatiois Note	Compliant	
Condition 002	ML1477	Mine Operations Plan	MINING OPERATIONS PLAN 2.1 Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:- (a) ongoing mining operations and environmental management; and (b) ongoing monitoring of the project. 2.2 The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement. 2.3A Plan must be lodged with the Director-General:- (a) prior to the commencement of operations; (b) subsequently as appropriate prior to the expiry of any current Plan; and (c) in accordance with any direction issued by the Director-General. 2.4 The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:- (a) area(s) proposed to be disturbed under the Plan; (b) mining and rehabilitation methods(s) to be used and their sequence; (c) areas to be used for disposal of tailings/waste; (d) existing and proposed surface infrastructure; (e) progressive rehabilitation schedules; (f) areas of particular environmental sensitivity; (g) water management systems (including erosion and sediment controls); (h) proposed resource recovery, and (i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation. 2.5 The Plan when lodged will be reviewed by the Department of Mineral Resources. 2.6 The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement 2.7 If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time. 2.8 During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.	MOP (on website). RUM remains in C&M.	Compliant	
Condition 003	ML1477	Annual Report	ANNUAL ENVIRONMENTAL MANAGEMENT REPORT 3.1 Within 12 months of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General. 3.2 The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:- (a) the accepted Mining Operations Plan; (b) development consent requirements and conditions; (c) Environment Protection Authority and Department of Land and Water Conservation Licences and approvals; (d) any other statutory environmental requirements; (e) details of any variations to environmental approvals applicable to the lease area, and (f) where relevant, progress towards final rehabilitation objectives. 3.3 After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice. 3.4 The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies.	Annual Reviews (2018-2020) on website	Compliant	
Condition 019	ML1477	Land Management	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) 19. The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.	Not triggered	Not triggered	
Condition 020	ML1477	Public Infrastructure & Utilities	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) 20. If required to do so by the Minister and within such time as may be stipulated by the Minister the lease holder shall carry out to the satisfaction of the Minister surveys of structures, buildings and pipelines on adjacent landholdings to determine the effect of operations on any such structures, buildings and pipelines.	Not triggered	Not triggered	
Condition 022	ML1477	Infrastructure & Site Services	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) 22. Upon completion of operations on the surface of the subject area or upon the expiry or sooner determination of this authority or any renewal thereof, the lease holder shall remove from such surface buildings, machinery, plant, equipment, constructions and works as may be directed by the Minister and such surface shall be rehabilitated and left in a clean, tide and safe condition to the satisfaction of the Minister.	Not triggered	Not triggered	
Condition 023	ML1477	Land Management	MANAGEMENT AND REHABILITATION OF LANDS (GENERAL) 23. If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.	Not triggered	Not triggered	
Condition 027	ML1477	Soil	TREES (PLANTING AND PROTECTION OF) FLORA AND FAUNA AND ARBOREAL SCREENS 27. The lease holder shall conduct operations in such a manner as not to cause or aggravate soil erosion and the lease holder shall observe and perform any instructions given or which may be given by the Minister with a view to minimising or preventing soil erosion.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 029 - Annexure A - Prescribed Dam	ML1477		<p>Prescribed Dam</p> <p>29</p> <p>(a) Notwithstanding any Mining Operations Plan, the lease holder ust not mine within any part of the lease area which is within the notification area of the Ravensworth Void 4 East Tailings - Saddle Dam or Ravensworth Void 3 Dam without prior written approval of the Minister and subject to any conditions he may stipulate.</p> <p>(b) Where the lease holder desiresto mine within the notificaton area he must:</p> <p>(i) at least twelve (12) months before mining is to commence or such lesser tome as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and</p> <p>(ii) provide such information as the Minister may direct.</p> <p>(c) The Minister must not, except in the circumstances set out omn sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with.</p> <p>(i) Tjis sub-paragraph is complied with if:</p> <p>(a) The Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (B).</p> <p>(b) the notifications referred to in clausue (a) are accompanied by a description or plan of the area to be mined.</p> <p>(c) the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal.</p> <p>(d) the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and</p> <p>(e) where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>(i) in accordance with these recommendations; or</p> <p>(ii) where the Minister does not accept the recommendations of the Dams Saftey Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing wiht the safety of the dam;</p> <p>(a) as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or</p> <p>(b) in the event of a failure to reach such an agreement - as determined by the Premier.</p> <p>(d) The Minister, on notice from the Dams Safety Committee, may at any time or times:</p> <p>(i) cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given.</p> <p>(ii) suspend for a period of time, alter, omit from or add to any approval given or conditions imposed.</p>	No mining has occurred / or is occurring in this area of ML1477.	Not triggered	
Condition 031	ML1477	Traffic & Transport	<p>ROADS</p> <p>31. The lease holder shall pay to Singleton Shire Council, Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council Department or chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area.</p> <p>PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act, 1961, in settlement of a claim for compensation for the same damage.</p>	This condition has not been triggered. No damage to roads as per Con 31.	Not triggered	
Condition 041	ML1477	Public Infrastructure & Utilities	<p>TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>41. The lease holder shall as far as is practicable so conduct operations as not to interfere with or impair the stability or efficiency of any transmission line, communication line or pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.</p>	Not triggered	Not triggered	
Condition 045	ML1477	Administration	<p>ADDITIONAL INFORMATION</p> <p>45. The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister.</p> <p>(a) information regarding the ownership of the land within the subject;</p> <p>(b) information regarding the ownership of the coal within the subject area prior to 1st January, 1982;</p> <p>(c) an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished by the lease holder;</p> <p>(d) information regarding the financial viability of the lease holder and operations within and associated with the subject area; and</p> <p>(e) information regarding shareholdings in the lease holder.</p>	Note	Not triggered	
Condition 046	ML1477	Administration	<p>SERVICES OF NOTICES</p> <p>46. Within a period of three months from the date of this authority or a period of three months from the date of service of the notice of renewal, or within such further time as the Director-General may allow the lease holder shall serve on each owner and occupier of the private land and on each occupier of the Crown land and held under a pastoral lease within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface. the notice shall be accompanied by an adequate plan and description of the subject area.</p> <p>If there are ten (10) or more Owners or occupiers affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.</p>	Note	Not triggered	
Condition 047	ML1477	Inspections	<p>INSPECTIONS</p> <p>47. (a) Where an Inspector under the Mining Act 1992 is of the opinion that any condition of this authority relating to operations within the subject area, or any provision of the Mining Act, 1992 relating to operations within the subject area, are not being compelled with by the lease holder, the Inspector may serve on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:</p> <p>(i) to cease operations within the subject area in contravention of that condition or Act; and</p> <p>(ii) to carry out within the specified time works necessary to rectify or remedy the situation.</p> <p>(b) The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph (a) of this condition. The Director-general may confirm, vary or revoke any such direction.</p> <p>(c) A notice referred to in his condition may served on the Colliery Manager.</p>	Note	Not triggered	
Condition 048	ML1477	Administration	<p>INDEMNITIES</p> <p>48. The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any working now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other condition of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act of thing which the lease holder may be licensed or compelled to do hereunder.</p>	Note	Not triggered	
Condition 049	ML1477	Administration	<p>INDEMNITIES</p> <p>49. The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the even of any damage resulting from mining operations under or near the subject area.</p>	Note	Not triggered	
Condition 050	ML1477	Prospecting & Exploration	<p>PROSPECTING (GENERAL)</p> <p>50. (a) Where the lease holder desires to commence prospecting operations in the subject area the lease holder shall notify the Director-General in writing and shall comply with such additional conditions as the Minister may impose including any condition requiring the lodgement of an additions bond or other form of security for rehabilitation of the area affected by such operations.</p> <p>(b)Where the lease holder notifies the Director-General pursuant to sub-paragraph (a) of this condition the lease holder shall furnish with that notification details of the type of prospecting methods that would be adopted and the extent and location of the area that would be affected by them.</p>	Not triggered	Not triggered	
Condition 051	ML1477	Security Deposit	<p>SECURITY DEPOSIT</p> <p>51. (a) The lease holder shall, within two (2) months of being requested by the Director-General, lodge with the Minister the sum of \$NIL in accordance with Instructions for Manner of Lodgement of Security Deposits as security for the fulfillment of the obligations of the lease holder under this authority. In the event that the lease holder fails to fulfil any of its obligations under this authority the said sum may be applied at the discretion of the Minister towards the cost of fulfilling such obligations. For the purposes of this clause a lease holder shall be deemed to have failed to fulfil its obligations under this authority, it fails to comply with any condition or provision of this authority, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision of this authority or of any provision of the Act or regulations made thereunder.</p> <p>(b) The Minister may at any time after the commencement of this authority or any renewal thereof, vary the amount of security required in accordance with this condition.</p> <p>(c) Where the amount of security has been increased pursuant to clause (b) hereof the lease holder shall, within two (2) months of being requested by the Minister, lodge a security for the amount of security required, in which case the Minister shall refund or release to the lease holder the security previously lodged</p>	Security Deposit Payment ML1477 Dept of Planning and Environment AUD2499999 (Resource Pacific)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 054	ML1477	Administration	ROYALTY AT ADDITIONAL RATE 54. The lease holder shall during the term of this authority pay to the Minister royalty at the additional rate as prescribed by the Regulations for coal recovered by open cut mining methods from the area.	Not triggered	Not triggered	
Mining Act Condition 001	ML1477	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 2928 of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	EROL submission accepted ML1477	Compliant	
Mining Act Condition 002	ML1477	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	Payments made for the audit period.	Compliant	
Mining Act Condition 003	ML1477	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	30008 12.12.19 APPROVAL_ML1477_ML1625 30008 13.12.18 PAYMENT_ML1625_ML1477	Compliant	
Schedule A - Extraction plan	ML1477		Extraction Plan (a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.	30008 12.12.19 APPROVAL_ML1477_ML1625 30008 13.12.18 PAYMENT_ML1625_ML1477	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1485	Administration	<p>NOTICE TO LANDHOLDERS</p> <p>1.(a) Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. A plan identifying each landholder and individual land parcel subject to the lease area, and a description of the lease area must accompany the notice.</p> <p>(b) If there are ten or more landholders, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area. If a notice is made under condition 1(b), compliance with condition 1(a) is not required.</p>	Not triggered	Not triggered	
Condition 002	ML1485	Land Management	<p>REHABILITATION</p> <p>2. Any disturbance resulting from the activities carried out under this mining lease must be rehabilitated to the satisfaction of the Minister.</p>	No rehabilitation to this ML. All rehab in accordance with MOP. Refer to website.	Compliant	
Condition 003	ML1485	Annual Report, Mine Operations Plan	<p>MINING OPERATIONS PLAN AND ANNUAL REHABILITATION REPORT</p> <p>3. (a) The lease holder must comply with an approved Mining Operations Plan (MOP) in carrying out any significant surface disturbing activities, including mining operations, mining purposes and prospecting. The lease holder must apply to the Minister for approval of a MOP. An approved MOP must be in place prior to commencing any significant surface disturbing activities, including mining operations, mining purposes and prospecting.</p> <p>(b) The MOP must identify the post mining land use and set out a detailed rehabilitation strategy which:</p> <p>(i) identifies areas that will be disturbed;</p> <p>(ii) details the staging of specific mining operations, mining purposes and prospecting;</p> <p>(iii) identifies how the mine will be managed and rehabilitated to achieve the post mining land use;</p> <p>(iv) identifies how mining operations, mining purposes and prospecting will be carried out in order to prevent and or minimise harm to the environment; and</p> <p>(v) reflects the conditions of approval under:</p> <p>the Environmental Planning and Assessment Act 1979;</p> <p>the Protection of the Environment Operations Act 1997; and</p> <p>any other approvals relevant to the development including the conditions of this mining lease.</p> <p>(c) The MOP must be prepared in accordance with the ESG3: Mining Operations Plan (MOP) Guidelines September 2013 published on the Department's website at www.resources.nsw.gov.au/environment</p> <p>(d) The lease holder may apply to the Minister to amend an approved MOP at any time.</p> <p>(e) It is not a breach of this condition if:</p> <p>(i) the operations which, but for this condition 3(e) would be a breach of condition 3(a), were necessary to comply with a lawful order or direction given under the Environmental Planning and Assessment Act 1979, the Protection of the Environment Operations Act 1997, the Mine Health and Safety Act 2004 / Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007 / Coal Mine Health and Safety Regulation 2006 or the Work Health and Safety Act 2011; and</p> <p>(ii) the Minister had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out.</p> <p>(f) The lease holder must prepare a Rehabilitation Report to the satisfaction of the Minister. The report must:</p> <p>(i) provide a detailed review of the progress of rehabilitation against the performance measures and criteria established in the approved MOP;</p> <p>(ii) be submitted annually on the grant anniversary date (or at such other times as agreed by the Minister); and</p> <p>(iii) be prepared in accordance with any relevant annual reporting guidelines published on the Department's website at www.resources.nsw.gov.au/environment.</p> <p>Note: The Rehabilitation Report replaces the Annual Environmental Management Report.</p>	Refer to Annual Review on website	Compliant	
Condition 004	ML1485	Reporting	<p>Non-Compliance Reporting</p> <p>(a) The lease holder must notify the Department upon becoming aware of any breaches of the conditions of this mining lease or breaches of the Mining Act or Regulations.</p> <p>(b) Notifications under condition 4(a) must be provided in the form specified on the Department's website within seven (7) days of the mining lease holder becoming aware of the breach.</p>	Refer to Annual Review on website	Compliant	
Condition 005	ML1485	Incident	<p>Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p> <p>Definitions</p> <p>Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.</p>	Refer to Annual Review on website for reporting of incidents / NC	Compliant	
Condition 006	ML1485	Subsidence	<p>EXTRACTION PLAN</p> <p>6. (a) In this condition:</p> <p>(i) APPROVED Extraction Plan means a plan, being:</p> <p>(1) an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>(2) a subsidence management plan relating to the mining operations subject to this lease:</p> <p>(i) submitted to the Secretary on or before 31 December 2014; and</p> <p>(ii) approved by the Secretary.</p> <p>(iii) relevant development consent means a development consent or project approval issued under the Environmental Planning & Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction Plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction Plan addressing:</p> <p>(a) built features;</p> <p>(b) public safety; or</p> <p>(c) subsidence monitoring.</p>	Not triggered. Site in C&M.	Not triggered	
Condition 007	ML1485	Administration	<p>RESOURCE RECOVERY</p> <p>7. The lease holder must optimise recovery of the minerals that are the subject of this mining lease to the extent economically feasible.</p>	Not triggered. Site in C&M.	Not triggered	
Condition 008	ML1485	Security Deposit	<p>GROUP SECURITY</p> <p>8. The lease holder is required to provide and maintain a security deposit to secure funding for the fulfilment of obligations of all or any kind under the mining lease, including obligations of all or any kind under the mining lease that may arise in the future.</p> <p>The amount of the security deposit to be provided has been assessed by the Minister at \$15,585,000.</p> <p>The leases covered by the group security include: Mining Lease 1484 (Act 1992) and Mining Lease 1485 (Act 1992)</p>	List of ROC Guarantees	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 009	ML1485	Administration	COOPERATION AGREEMENT 9. The lease holder must make every reasonable attempt, and be able to demonstrate its attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as: access arrangements ☐ operational interaction procedures ☐ dispute resolution ☐ information exchange ☐ well location ☐ timing of drilling ☐ potential resource extraction conflicts; and ☐ rehabilitation issues.	MOP approval letters and lease plan MOP Satisfactory LETT0005205 CCL723 CL739 CL738 CL380 CL580 ML1325 ML1357 ML1393 ML1502 ML1576 ML1669 ML1683 Ravensworth Operations - MOP Amendment B Approval letter (Jul 2019) RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)	Compliant	
Condition 010	ML1485	Land Management	REHABILITATION MANAGEMENT PLAN 10. The joint title holders must prepare a Rehabilitation Management Plan to the satisfaction of the DRE's Director Environmental Sustainability.	MOP (website)	Compliant	
Condition 011	ML1485	Administration	MINISTERIAL CONSENT 11. Unless with the permission of the Minister first had and obtained, and subject to such conditions as the Minister considers necessary, the lease holder shall not mine for, work, win or remove any coal from any part of the subject area being within a distance of 40.23 metres on either side of the middle thread of Bayswater/Saltwater Creek.	Not triggered	Not triggered	
Condition 012	ML1485	Dams	PRESCRIBED DAM 12. (a) Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Void 5 Tailings Dam or Ravensworth South Tailings Dam or the notification areas of Ravensworth East, Ravensworth West or Ravensworth South without the prior written approval of the Minister and subject to any conditions stipulated. (b) Where the lease holder desires to mine within the notification area he or she must: (i) at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and (ii) provide such information as the Minister may direct. (c) The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraph is complied with if: (i) the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). (ii) the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. (iii) the Secretary has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal. (iv) the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and (v) where the Dams Safety Committee has made recommendations the approval is in terms that are: - in accordance with those recommendations; or - where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph. (vi) Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: - as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or - in the event of failure to reach such agreement - as determined by the Premier. (d) The Minister, on notice from the Dams Safety Committee, may at any time or times: (i) cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given. (ii) suspend for a period of time, alter, omit from or add to any approval given or conditions imposed.	Not triggered. No mining in area during period.	Not triggered	
Mining Act Condition 001	ML1485	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	Is this the annual review? Grant = August Report due = September AR submitted March - attach a copy of the approval to submit in March from Secretary	Compliant	
Mining Act Condition 002	ML1485	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	ML1485 - Dec 18 AGL Recharge - ML1485 ML 1485 AGL Macquarie Pty Ltd - Inv 22041265 10.11.2019 (1) RE ML Invoices 1484 and 1485 3000B 22.11.18 PAYMENT_ML1485_ML1495_ML1484	Compliant	
Mining Act Condition 003	ML1485	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	ML1485 - Dec 18 AGL Recharge - ML1485 ML 1485 AGL Macquarie Pty Ltd - Inv 22041265 10.11.2019 (1) RE ML Invoices 1484 and 1485 3000B 22.11.18 PAYMENT_ML1485_ML1495_ML1484	Compliant	
Mining Act Condition 004	ML1485		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	ML_1485_20170713_D28_ES_SUS (2)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1495	Administration	Extraction of Coal The lease holder shall extract as large a percentage of the coal in the subject area as is possible consistent with the provisions of the Coal Mines Regulation Act 1982 and the Regulations thereunder and shall comply with any direction given or which may be given in this regard by the Minister.	Refer to MOP and Annual Review on website for coal extraction.	Compliant	
Condition 002	ML1495	Mine Operations Plan	Mining Operations Plan (MOP) Mining operations including mining purposes, must be conducted in accordance with Mining Operations Plan (the Plan) approved by the Director General. The Plan together with environmental conditions of development consent and other approvals will for the basis for:- ongoing mining operations and environmental management; and ongoing monitoring of the project. The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement. APlan must be lodged with the Director-General:- prior to the commencement of operations; subsequently as appropriate prior to the expiry or any current Plan; and in accordance with any direction issued by the Director-General. The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:- area(s) proposed to be disturbed under the Plan; mining and rehabilitation methods(s) to be used and their sequence; areas to be used for disposal of tailings/waste; existing and proposed surface infrastructure; progressive rehabilitation schedules; areas of particular environmental sensitivity; water management systems (including erosion and sediment controls); proposed resource recovery, and where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation. The Plan when lodged will be reviewed by the Department of Mineral Resources. The Director General may within two (2) months of the lodgement of a Plan, require modification and redelivery. If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time. During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.	Refer to MOP and Annual Review on website for coal extraction.	Compliant	
Condition 003	ML1495	Annual Report	Annual Environmental Management Report (AEMR) Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General. The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:- the accepted Mining Operations Plan; development consent requirements and conditions; Environment Protection Authority and Department of Land and Water Conservation Licences and approvals; any other statutory environmental requirements. details of any variations to environmental approvals applicable to the lease area, and where relevant, progress towards final rehabilitation objectives After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice. The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies.	Refer to MOP and Annual Review on website for coal extraction.	Compliant	
Condition 019	ML1495	Public Infrastructure & Utilities	Management and Rehabilitation of Lands (General) The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.	Not triggered - no rehab at RUM	Not triggered	
Condition 020	ML1495	Audit/Independent Review, Public Infrastructure & Utilities	Management and Rehabilitation of Lands (General) If required to do so by the Minister and within such time as may be stipulated by the Minister the lease holder shall carry out to the satisfaction of the Minister surveys of structures, buildings and pipelines on adjacent landholdings to determine the effect of operations on any such structures, buildings and pipelines.	Not triggered - no rehab at RUM	Not triggered	
Condition 022	ML1495	Infrastructure & Site Services	Management and Rehabilitation of Lands (General) Upon completion of operations on the surface of the subject area or upon the expiry or sooner determination of this authority or any renewal thereof, the lease holder shall remove from such surface buildings, machinery, plant, equipment, constructions and works as may be directed by the Minister and such surface shall be rehabilitated and left in a clean, tidy and safe condition to the satisfaction of the Minister.	Not triggered - no rehab at RUM	Not triggered	
Condition 023	ML1495		Management and Rehabilitation of Lands (General) If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.	Not triggered - no rehab at RUM	Not triggered	
Condition 027	ML1495	Flora, Fauna	Trees (Planting and Protection of) Flora and Fauna and Arboreal Screens If so directed by the Minister, the lease holder shall carry out operation in such a manner as to minimise disturbance to flora and fauna within the subject area.	Not triggered	Not triggered	
Condition 031	ML1495	Traffic & Transport	Roads The lease holder shall pay to SingletonShireCouncil, Department of Land and Water Conservation or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council or Department or Chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area. PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act 1961, in settlement of a claim for compensation for the same damage.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO.	Not triggered	
Condition 041	ML1495	Public Infrastructure & Utilities	Transmission Lines, Communication Lines and Pipelines The lease holder shall as far as is practicable so conduct operations as not to interfere with or impair the stability or efficiency of any transmission line, communication line or pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 045	ML1495	Administration	Additional Information The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister:- information regarding the ownership of the land within the subject area; information regarding the ownership of the coal within the subject area prior to 1st January, 1982; an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished; information regarding the financial viability of the lease holder and operations within and associated with the subject area; and information regarding shareholdings in the lease holder.	Not triggered	Not triggered	
			Service of Notices Within a period of three (3)months from the date of this authority or a period of three months from the date of service of the notice of renewal, or within such further time as the Director-General may allow the lease holder shall serve on each owner and occupier of the private land and on each occupier of the Crown land and held under a pastoral lease within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface. The notice shall be accompanied by an adequate plan and description of the subject area. If there are ten (10) or more Owners or occupiers affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.	Not triggered	Not triggered	
Condition 046	ML1495	Administration	INSPECTORS Where the Inspector is of the opinion that any condition of this authority relating to operations within the subject area, or any provisions of the Mining Act, 1992, relating to operations within the subject area, are not being complied with by the lease holder, the Inspector may serve on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:-			
			to cease operations within the subject area in contravention of that condition or Act; and To carry out within the specified time, works necessary to rectify or remedy the situation.	Not triggered	Not triggered	
Condition 047	ML1495	Administration	The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph (a) of this condition. The Director-general may confirm, vary or revoke any such direction. A notice referred to in his condition may be served on the Colliery Manager.			
			Indemnities The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any working now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other condition of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act of thing which the lease holder may be licensed or compelled to do hereunder.	Not triggered	Not triggered	
Condition 048	ML1495	Administration	Indemnities The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the even of any damage resulting from mining operations under or near the subject area.	Not triggered	Not triggered	
			Prospecting (General)			
Condition 049	ML1495	Administration	Where the lease holder desires to commence prospecting operations in the subject area the lease holder shall notify the Director-General in writing and shall comply with such additional conditions as the Minister may impose including any condition requiring the lodgement of an additions bond or other form of security for rehabilitation of the area affected by such operations. Where the lease holder notifies the Director-General pursuant to sub-paragraph (a) of this condition the lease holder shall furnish with that notification details of the type of prospecting methods that would be adopted and the extent and location of the area that would be affected by them.	Not triggered	Not triggered	
			Security The lease holder shall, within two (2) months of being requested by the Director-General, lodge with the Minister the sum of \$NIL in accordance with Instructions for Manner of Lodgement of Security Deposits as security for the fulfilment of the obligations of the lease holder under this authority. In the event that the lease holder fails to fulfil any of its obligations under this authority the said sum may be applied at the discretion of the Minister towards the cost of fulfilling such obligations. For the purposes of this clause a lease holder shall be deemed to have failed to fulfil its obligations under this authority, it fails to comply with any condition or provision of this authority, any provision of the Act of regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision of this authority or of any provision of the Act or regulations made thereunder. The Minister may at may time after the commencement of this authority or any renewal thereof, vary the amount of security required in accordance with this condition. Where the amount of security has been increased pursuant to Clause (b) hereof the lease holder shall, within two (2) months of being requested by the Minister, lodge a security for the amount of security required, in which case the Minister shall refund or release to the lease holder the security previously lodged.	Security Deposit ML1495 Dept of Planning and Environment AUD2499999 (Resource Pacific)	Compliant	
Condition 050	ML1495	Administration	Royalty at Additional Rate The lease holder shall during the term of this authority pay to the Minister royalty at the additional rate as prescribed by the Regulations for coal recovered by open cut mining methods from the area.	Not triggered	Not triggered	
			Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_202006_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 001	ML1495	Annual Report	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	30008 14.11.19 APPROVAL_ML1495 30008 26.11.20 APPROVAL_ML1495 RE ML Payments 1495	Compliant	
			Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	30008 14.11.19 APPROVAL_ML1495 30008 26.11.20 APPROVAL_ML1495 RE ML Payments 1495	Compliant	
Mining Act Condition 002	ML1495	Annual Rental Fee	Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Schedule A - Extraction plan	ML1495		(a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary.	Not triggered	Not triggered	
			(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.			

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1502	Administration	1. EXTRACTION OF COAL The lease holder shall extract as large a percentage of the coal in the subject area as is practicable consistent with the provisions of the Coal Mines Regulations Act 1982 and the Regulations thereunder and shall comply with any direction given or which may be given in this regard by the Minister.	Refer to MOP and Annual Review on websites	Compliant	
Condition 002	ML1502	Mine Operations Plan	2. Mining Operations Plan (MOP) (1) Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:- (a) ongoing mining operations and environmental management; and (b) ongoing monitoring of the project. (2) The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement (3) A Plan must be lodged with the Director-General:- (a) prior to the commencement of operations; (b) subsequently as appropriate prior to the expiry of any current Plan; and (c) in accordance with any direction issued by the Director-General. (4) The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:- (a) area(s) proposed to be disturbed under the Plan; (b) mining and rehabilitation method(s) to be used and their sequence; (c) areas to be used for disposal of tailings/waste; (d) existing and proposed surface infrastructure; (e) progressive rehabilitation schedules; (f) areas of particular environmental sensitivity; (g) water management systems (including erosion and sediment controls); (h) proposed resource recovery, and (i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation. (5) The Plan when lodged will be reviewed by the Department of Mineral Resources. (6) The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement. (7) If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time. (8) During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.	MOP (website)	Compliant	
Condition 003	ML1502	Annual Report	3. Annual Environmental Management Report (AEMR) (1) Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General. (2) The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:- (a) the accepted Mining Operations Plan; (b) development consent requirements and conditions; (c) Department of Environment and Conservation and Department of Planning Licences and approvals; (d) any other statutory environmental requirements; (e) details of any variations to environmental approvals applicable to the lease area, and (f) where relevant, progress towards final rehabilitation objectives. (3) After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice. (4) The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies and the local council.	Annual Review (website)	Compliant	
Condition 019	ML1502	Administration	19. The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.	Not triggered.	Not triggered	
Condition 020	ML1502	Land Management	20. If required to do so by the Minister and within such time as may be stipulated by the Minister the lease holder shall carry out to the satisfaction of the Minister surveys of structures, buildings and pipelines on adjacent landholdings to determine the effect of operations on any such structures, buildings and pipelines.	Not triggered.	Not triggered	
Condition 022	ML1502	Land Management	22. Upon completion of operations on the surface of the subject area or upon the expiry or sooner determination of this authority or any renewal thereof, the lease holder shall remove from such surface buildings, machinery, plant, equipment, constructions and works as may be directed by the Minister and such surface shall be rehabilitated and left in a clean, tide and safe condition to the satisfaction of the Minister.	Not triggered.	Not triggered	
Condition 023	ML1502	Land Management	23. If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister and within such time as may be allowed by the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.	Refer to MOP (2021-2023) and Cumnock Remediation Plan. Section 240 notice. Action still ongoing. DOC18 742576 s240(1c) Direction - Cumnock Rehab October 2018	Compliant	
Condition 027	ML1502	Flora, Fauna	Trees (Planting and Protection of) Flora and Fauna and Arboreal Screens If so directed by the Minister, the lease holder shall carry out operation in such a manner as to minimise disturbance to flora and fauna within the subject area.	Not triggered	Not triggered	
Condition 031	ML1502	Traffic & Transport	31. Roads The lease holder shall pay to SingletonShireCouncil, Department of Land and Water Conservation or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council or Department or Chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area. PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act 1961, in settlement of a claim for compensation for the same damage.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO.	Not triggered	
Condition 041	ML1502	Infrastructure & Site Services	41. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES The leaseholder shall so far as is practicable so conduct operations as not to interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.	This condition has not been triggered.	Not triggered	
Condition 045	ML1502	Access to Information	45. ADDITIONAL INFORMATION The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister:- (a) information regarding the ownership of the land within the subject area; (b) information regarding the ownership of the coal within the subject area prior to 1st January, 1982; (c) an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished; (d) information regarding the financial viability of the lease holder and operations within and associated with the subject area; and (e) information regarding shareholdings in the lease holder.	This condition has not been triggered.	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 046	ML1502	Administration	46. SERVICE OF NOTICES Within a period of three months from the date of this authority or a period of three months from the date of service of the notice of renewal, or within such further time as the Director-General may allow the lease holder shall serve on each owner and occupier of the private land and on each occupier of the Crown land and held under a pastoral lease within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface. the notice shall be accompanied by an adequate plan and description of the subject area. If there are ten (10) or more Owners or occupiers affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.	This condition has not been triggered.	Not triggered	
Condition 047	ML1502	Administration	47. INSPECTORS (a) Where the Inspector under the Mining Act 1992 is of the opinion that any condition of this authority relating to operations within the subject area, or any provisions of the Mining Act, 1992, relating to operations within the subject area, are not being complied with by the lease holder, the Inspector may serve on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:- to cease operations within the subject area in contravention of that condition or Act; and to carry out within the specified time works necessary to rectify or remedy the situation. (b) The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph(a) of this condition. The Director General may confirm, vary or revoke any such direction. (c) A notice referred to in this condition may be served on the Colliery Manager.	This condition has not been triggered.	Not triggered	
Condition 048	ML1502	Administration	48. Indemnities The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any working now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other condition of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act of thing which the lease holder may be licensed or compelled to do hereunder.	This condition has not been triggered.	Not triggered	
Condition 049	ML1502	Administration	49. Indemnities The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the even of any damage resulting from mining operations under or near the subject area.	This condition has not been triggered.	Not triggered	
Condition 050	ML1502	Administration	50. Prospecting (General) Where the lease holder desires to commence prospecting operations in the subject area the lease holder shall notify the Director-General in writing and shall comply with such additional conditions as the Minister may impose including any condition requiring the lodgement of an additions bond or other form of security for rehabilitation of the area affected by such operations. Where the lease holder notifies the Director-General pursuant to sub-paragraph (a) of this condition the lease holder shall furnish with that notification details of the type of prospecting methods that would be adopted and the extent and location of the area that would be affected by them.	This condition has not been triggered.	Not triggered	
Condition 051	ML1502	Administration	51. Security Deposit Joint Security (extended) The joint security of \$2,854,000 lodged with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of its obligations under Coal Lease 378 and 392 (Act 1973), MPL 311 (Act 1973), Mining Lease 1300, 1325, 1327, 1373, 1393 and 1421 is extended to apply to this lease.	141002 Cumnock Deed of Security Deposit Bond (1)	Compliant	
Condition 054	ML1502	Administration	54. Royalty at Additional Rate The lease holder shall during the term of this authority pay to the Minister royalty at the additional rate as prescribed by the Regulations for coal recovered by open cut mining methods from the area.	This condition has not been triggered.	Not triggered	
Mining Act Condition 001	ML1502	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Regl)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	CL378_Reporting_Index_201711_A_01_R EPORT.pdf CL378_Reporting_Index_201811_A_01_R EPORT.pdf	Compliant	
Mining Act Condition 002	ML1502	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	2800b 14.02.19 PAYMENT_ML1502_2019 2800b 15.02.18 APPROVAL_ML1502 2018 2800b 13.02.20 APPROVAL_ML1502_2020 ML1502 - Mar 2020 (1) ML1502 - Mar 2019 ML1502 - Mar 2018 (1)	Compliant	
Mining Act Condition 003	ML1502	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	2800b 14.02.19 PAYMENT_ML1502_2019 2800b 15.02.18 APPROVAL_ML1502 2018 2800b 13.02.20 APPROVAL_ML1502_2020 ML1502 - Mar 2020 (1) ML1502 - Mar 2019 ML1502 - Mar 2018 (1)	Compliant	
Mining Act Condition 004	ML1502		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Schedule A Extraction plan	ML1502		(a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary.	Not triggered	Not triggered	
			(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.			

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 002	ML1506	Mine Operations Plan	<p>MINING OPERATIONS PLAN (MOP)</p> <p>2.1 Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:-</p> <p>(a) ongoing mining operations and environmental management; and</p> <p>(b) ongoing monitoring of the project.</p> <p>2.2 The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement</p> <p>2.3 A Plan must be lodged with the Director-General:-</p> <p>(a) prior to the commencement of operations;</p> <p>(b) subsequently as appropriate prior to the expiry of any current Plan; and</p> <p>(c) in accordance with any direction issued by the Director-General.</p> <p>2.4 The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:-</p> <p>(a) area(s) proposed to be disturbed under the Plan;</p> <p>(b) mining and rehabilitation methods(s) to be used and their sequence;</p> <p>(c) areas to be used for disposal of tailings/waste;</p> <p>(d) existing and proposed surface infrastructure;(e) progressive rehabilitation schedules;</p> <p>(f) areas of particular environmental sensitivity;</p> <p>(g) water management systems (including erosion and sediment controls);</p> <p>(h) proposed resource recovery, and</p> <p>(i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation.</p> <p>2.5 The Plan when lodged will be reviewed by the Department of Mineral Resources.</p> <p>2.6 The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement.</p> <p>2.7 If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time.</p> <p>2.8 During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.</p>	Refer to MOP on website	Compliant	
Condition 003	ML1506	Reporting	<p>ANNUAL ENVIRONMENTAL MANAGEMENT REPORT</p> <p>3.1 Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General.</p> <p>3.2 The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:-</p> <p>(a) the accepted Mining Operations Plan;</p> <p>(b) development consent requirements and conditions;</p> <p>(c) Environment Protection Authority and Department of Land and Water Conservation Licences and approvals;</p> <p>(d) any other statutory environmental requirements;</p> <p>(e) details of any variations to environmental approvals applicable to the lease area, and</p> <p>(f) where relevant, progress towards final rehabilitation objectives.</p> <p>3.3 After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice.</p> <p>3.4 The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies.</p>	Annual Review (on website)	Compliant	
Condition 015	ML1506	Mine Planning	<p>DUMPS</p> <p>15. The lease holder shall comply with any direction, given or which may be given by the Inspector regarding the dumping, depositing r removal of material extracted as well as the stabilisation and revegetation of any dumps of coal, minerals, mine residues, tailings or overburden situated on the subject area or the associated colliery holding.</p>	Not triggered	Not triggered	
Condition 016	ML1506	Administration	<p>DUMPS</p> <p>16. The lease holder shall comply with any direction given or which may be given by the Minister regarding the spraying of coal dumps on the subject area.</p>	Not triggered	Not triggered	
Condition 017	ML1506	Air Quality	<p>DUST</p> <p>17. The lease holder shall take such precautions as are necessary to abate any dust nuisance.</p>	AQGGMP on website	Compliant	
Condition 018	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>18. The lease holder shall not interfere with any fences on or adjacent to the subject area unless with he prior written approval of the owner thereof or the Minister and subject to such conditions as the Minister may stipulate.</p>	Not triggered	Not triggered	
Condition 019	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>19. The lease holder shall observe any instruction given or which may be given by the Minister with a view to minimising or preventing public inconvenience or damage to public or private property.</p>	Not triggered - no rehab at RUM	Not triggered	
Condition 020	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>20. If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by the lease holder.</p>	Not triggered - no rehab at RUM	Not triggered	
Condition 021	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>21. If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by the lease holder.</p>	Not triggered - no rehab at RUM	Not triggered	
Condition 022	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>22. Upon completion of operations on the surface of the subject area or upon the expiry or sooner determination of this authority or any renewal thereof, the lease holder shall remove from such surface buildings, machinery, plant, equipment, constructions and works as may be directed by the Minister and such surface shall be rehabilitated and left in a clean, tide and safe condition to the satisfaction of the Minister.</p>	Not triggered - no rehab at RUM	Not triggered	
Condition 023	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>23. If so directed by the Minister the lease holder shall rehabilitate to the satisfaction of the Minister any lands within the subject area which may have been disturbed by mining or prospecting operations whether such operations were or were not carried out by the lease holder.</p>	Not triggered - no rehab at RUM	Not triggered	
Condition 024	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>24. The lease holder shall take all precautions against causing outbreak of fire on the subject area.</p>	Bush MP 23112020154617-0001 20210302 March	Compliant	
Condition 025	ML1506	Land Management	<p>MANAGEMENT AND REHABILITATION OF LANDS (GENERAL)</p> <p>25. The lease holder shall provide and maintain to the satisfaction of the Minister efficient means to prevent contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam or reservoir, watercourse or catchment area or any undue interference to fish or their environment and shall observe and instruction given or which may be given by the Minister with a view to preventing or minimising the contamination, pollution, erosion or siltation of any river, stream, creek, tributary, lake, dam or reservoir, watercourse or catchment area, or any undue interference to fish or their environment.</p>	Not triggered - no rehab at RUM	Not triggered	
Condition 027	ML1506	Flora, Fauna	<p>PROTECTION OF FLORA AND FAUNA</p> <p>27. If so directed by the Minister, the lease holder shall carry out operation in such a manner as to minimise disturbance to flora and fauna within the subject area.</p>	Not triggered	Not triggered	
Condition 030	ML1506	Soil	<p>SOIL EROSION</p> <p>30. The lease holder shall conduct operations in such a manner as not to cause or aggravate soil erosion and the lease holder shall observe and perform any instructions given or which may be given by the Minister with aview to minimising or preventing soil erosion.</p>	Water Management Plan, MOP. (website)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 031	ML1506	Traffic & Transport	ROADS 31. The lease holder shall pay to Singleton ShireCouncil, Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority the cost incurred by such Council Department or chief Executive of making good any damage caused by operations carried on by or under the authority of the lease holder to any road adjoining or traversing the surface or the excepted surface, as the case may be of the subject area. PROVIDED HOWEVER that the amount to be paid by the lease holder as aforesaid shall be reduced by such sum of money if any as may be paid to the said Council the Department of Conservation and Land Management or the Chief Executive, Roads and Traffic Authority as the case may be from the Mine Subsidence Compensation Fund constituted under the Mine Subsidence Compensation Act, 1961, in settlement of a claim for compensation for the same damage.	This condition has not been triggered. No damage to roads as per Con 31. Obligation updated in CMO.	Not triggered	
Condition 032	ML1506	Traffic & Transport	ROADS 32. In the event of operations being conducted on the surface of any road, track or firetrail traversing the subject area or in the event of such operations causing damage to or interference with any such road, track or firetrail the lease holder, at his own expense, shall if directed to do so by the Minister provide to the satisfaction of the Minister and alternate road, track or firetrail and, if required to do so by the Minister, the lease holder shall upon completion of operations rehabilitate the surface of the original road, track or firetrail to a condition satisfactory to the Minister.	This condition not triggered. No damage to roads, track or fire trails. All disturbance within MOP for ROC and RUM. No additional disturbance undertaken during period. GDP register uploaded as evidence. MOP Plan 3C, RUM Plan 2 and 2A uploaded. ML1506 lease image uploaded.	Not triggered	
Condition 033	ML1506	Water	CATCHMENT AREAS 33. (a) Operations shall be carried out in such a way as not to cause any pollution of the Hunter River Catchment Area. (b) If the lease holder is using or about to use any process which in opinion of the Minister is likely to cause contamination of the waters of the said Catchment Area the lease holder shall refrain from using or cease using as the case may require such process within twenty-four (24) hours of the receipt by the lease holder of a notice in writing under the hand of the Minister requiring the lease holder the do so. (c) The lease holder shall comply with any regulations now in force or hereafter to be in force for the protection from pollution of the said Catchment Area.	Water Management Plan, MOP. (website) , AnnualReview	Compliant	
Condition 041	ML1506	Infrastructure & Site Services	TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES 41. The lease holder shall as far as is practicable so conduct operations as not to interfere with or impair the stability or efficiency of any transmission line, communication line or pipeline traversing the surface or the excepted surface of the subject area and shall comply with any direction given or which may be given by the Minister in this regard.	Not triggered	Not triggered	
Condition 043	ML1506	Aboriginal Cultural Heritage, Cultural Heritage	ABORIGINAL PLACE OR RELIC 43. The lease holder shall not knowingly destroy, deface or damage any aboriginal place or relic within the subject area except in accordance with an authority issued under the National Parks and Wildlife Act, 1974, and shall take every precaution in drilling, excavating or disturbing the land against any such destruction, defacement or damage.	ACHMP (website)	Compliant	
Condition 045	ML1506	Administration	ADDITIONAL INFORMATION 45. The lease holder shall if directed by the Minister and within such time as the Minister may stipulate furnish to the Minister.(a) information regarding the ownership of the land within the subject;(b) information regarding the ownership of the coal within the subject area prior to 1st January, 1982;(c) an indemnity in a form approved by the Minister indemnifying the Crown and the Minister against any wrong payment effected as a result of incorrect information furnished by the lease holder;(d) information regarding the financial viability of the lease holder and operations within and associated with the subject area; and(e) information regarding shareholdings in the lease holder.	Not triggered	Not triggered	
Condition 046	ML1506	Administration	SERVICE OF NOTICES 46. Within a period of three months from the date of this authority or a period of three months from the date of service of the notice of renewal, or within such further time as the Director-General may allow the lease holder shall serve on each owner and occupier of the private land and on each occupier of the Crown land and held under a pastoral lease within the subject area a notice in writing indicating that this authority has been granted or renewed and whether the authority includes the surface. the notice shall be accompanied by an adequate plan and description of the subject area. If there are ten (10) or more Owners or occupiers affected the lease holder may serve the notice by publication in a newspaper circulating in the region where the subject area is situated. The notice shall indicate that this authority has been granted or renewed, state whether the authority includes the surface and shall contain an adequate plan and description of the subject area.	Not triggered	Not triggered	
Condition 047	ML1506	Inspections	INSPECTORS 47. (a) Where the Inspector under the Mining Act 1992 is of the opinion that any condition of this authority relating to operations within the subject area, or any provisions of the Mining Act, 1992, relating to operations within the subject area, are not being complied with by the lease holder, the Inspector may serve on the lease holder a notice stating that and give particulars of the reason why, and may in such notice direct the lease holder:- (i) to cease operations within the subject area in contravention of that condition or Act; and (ii) to carry out within the specified time works necessary to rectify or remedy the situation. (b) The lease holder shall comply with the directions contained in any notice served pursuant to sub paragraph (a) of this condition. The Director-general may confirm, vary or revoke any such direction. (c) A notice referred to in his condition may served on the Colliery Manager.	Not triggered	Not triggered	
Condition 048	ML1506	Administration	INDEMNITIES 48. The lease holder shall indemnify and keep indemnified the Crown from and against all actions suits and claims and demands of whatsoever nature and all costs charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction maintenance or working of any working now existing or to be made by the lease holder within the boundaries of the subject area or in connection with any of the operations notwithstanding that all other condition of this authority shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act of thing which the lease holder may be licensed or compelled to do hereunder.	Not triggered	Not triggered	
Condition 049	ML1506	Administration	INDEMNITIES 49. The lease holder shall save harmless the Crown from payment of compensation and from and against all claims, actions, suits or demands whatsoever in the even of any damage resulting from mining operations under or near the subject area.	Not triggered	Not triggered	
Condition 051	ML1506	Security Deposit	SECURITY DEPOSIT 51. (a) The lease holder shall, within two (2) months of being requested by the Director-General, lodge with the Minister the sum of \$40,000 (forty thousand dollars) in accordance with Instructions for Manner of Lodgement of Security Deposits as security for the fulfilment of the obligations of the lease holder under this authority. In the event that the lease holder fails to fulfil any of its obligations under this authority the said sum may be applied at the discretion of the Minister towards the cost of fulfilling such obligations. For the purposes of this clause a lease holder shall be deemed to have failed to fulfil its obligations under this authority, it fails to comply with any condition or provision of this authority, any provision of the Act of regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision of this authority or of any provision of the Act or regulations made thereunder. (b) The lease holder must provide the security required by sub-clause (a) in one of the following forms: (i) cash, or (ii) a security certificate in such form and given such surety as may from time to time be approved by the Minister. (c) The Minister may at any time after the commencement of this authority or any renewal thereof, vary the amount of security required in accordance with this condition.	Dept of Planning and Environment AUD2499999 (Resource Pacific) ML1506 Security Deposit Payment ML1506	Compliant	
Condition 057	ML1506	Construction	SPECIAL CONDITIONS 57. The lease holder shall ensure a conveyor or overhead bridge over the railway crossing is built and used by Nardell Coal Corporation Pty Ltd in a manner which is acceptable to Ravensworth Coal Terminal Pty Ltd.	ML 1506 RCT Letter - conveyor and transpiration area	Compliant	
Condition 058	ML1506	Traffic & Transport	SPECIAL CONDITIONS 58. The use of the access road, (located as shown by lettering "C" on the attached diagram "X"), and operated by Ravensworth Coal Terminal Pty Ltd, is not interrupted or otherwise affected by Nardell's coal stockpiling activities.	ML1506_2.pdf shows nominated road that can still be seen in ML1506_1.jpg ML1506_2	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 059	ML1506	Construction	SPECIAL CONDITIONS 59. The transpiration system currently situated on that part of the land within the mining lease application (as shown as lettering "A" on the attached diagram "X") is relocated to an alternative location acceptable to Ravensworth Coal Terminal Pty Ltd.	ML506_2.pdf shows nominated transpiration area and ML1506_3.jpg shows new location ML1506_3	Compliant	
Mining Act Condition 001	ML1506	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Regl)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 2928 of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1506	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	3000 ML1506 ResourcePacific-Remittance 2020 3000 ML1506 ResourcePacific-Remittance 2019 3000 ML1506 ResourcePacific- Inv 2019 3000 ML1506 ResourcePacific- Inv 2020 3000B 12.04.18 APPROVAL_ML1506_ML1591	Compliant	
Mining Act Condition 003	ML1506	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	3000 ML1506 ResourcePacific-Remittance 2020 3000 ML1506 ResourcePacific-Remittance 2019 3000 ML1506 ResourcePacific- Inv 2019 3000 ML1506 ResourcePacific- Inv 2020 3000B 12.04.18 APPROVAL_ML1506_ML1591	Compliant	
Schedule A - Extraction Plan	ML1506		(a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary. (ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1576	Access to Information, Property	<p>1. Notice to Landholders</p> <p>Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.</p> <p>If there are ten or more landholders affected, the leaseholder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1576	Mine Operations Plan	<p>2. Mining Operations Plan (MOP)</p> <p>(1) Mining operations, including mining purposes, must be conducted in accordance with a Mining Operations Plan (the Plan) satisfactory to the Director-General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:-</p> <p>(a) ongoing mining operations and environmental management; and</p> <p>(b) ongoing monitoring of the project.</p> <p>(2) The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement</p> <p>(3) A Plan must be lodged with the Director-General:-</p> <p>(a) prior to the commencement of operations;</p> <p>(b) subsequently as appropriate prior to the expiry of any current Plan; and</p> <p>(c) in accordance with any direction issued by the Director-General.</p> <p>(4) The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:-</p> <p>(a) area(s) proposed to be disturbed under the Plan;</p> <p>(b) mining and rehabilitation method(s) to be used and their sequence;</p> <p>(c) areas to be used for disposal of tailings/waste;</p> <p>(d) existing and proposed surface infrastructure;</p> <p>(e) Existing flora and fauna on the site;</p> <p>(f) progressive rehabilitation schedules;</p> <p>(g) areas of particular environmental sensitivity;</p> <p>(h) water management systems (including erosion and sediment controls);</p> <p>(i) proposed resource recovery, and</p> <p>(j) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation.</p> <p>(5) The Plan when lodged will be reviewed by the Department of Mineral Resources.</p> <p>(6) The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement.</p> <p>(7) If a requirement in accordance with clause (6) is not issued within two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time.</p> <p>(8) During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.</p>	MOP (website)	Compliant	
Condition 003	ML1576	Annual Report	<p>3. Annual Environmental Management Report (AEMR)</p> <p>(1) Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General.</p> <p>(2) The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:-</p> <p>(a) the accepted Mining Operations Plan;</p> <p>(b) development consent requirements and conditions;</p> <p>(c) Department of Environment and Conservation and Department of Planning Licences and approvals;</p> <p>(d) any other statutory environmental requirements;</p> <p>(e) details of any variations to environmental approvals applicable to the lease area, and</p> <p>(f) where relevant, progress towards final rehabilitation objectives.</p> <p>(3) After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice.</p> <p>(4) The lease holder shall, as and when directed by the Minister, co-operate with the director-general to conduct and facilitate review of the AEMR involving other government agencies and the local council.</p>	Annual Report (website)	Compliant	
Condition 004	ML1576	Subsidence	<p>(a) In this condition:</p> <p>(i) approved Extraction Plan means being a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>a subsidence management plan relating to the mining operations subject to this lease:</p> <p>submitted to the Secretary on or before 31 December 2014; and</p> <p>approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing:</p> <p>built features;</p> <p>public safety; or</p> <p>subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 006	ML1576	Administration	<p>6. Control of Operations</p> <p>(a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:-</p> <p>(i) cease working the lease; or</p> <p>(ii) Cease that part of the operation not complying with the act or conditions until in the opinion of the environmental officer the situation is rectified.</p> <p>(b) The lease holder must comply with any given direction the director general may confirm vary or revoke any such direction.</p> <p>(c) a direction referred to in this condition may be served on the Mine Manager.</p>	Not triggered	Not triggered	
Condition 007	ML1576	Reporting	<p>7. Reports</p> <p>The lease holder must provide an exploration report, within a period of twenty-eight days after each anniversary of the date this lease has effect or at such other date as the Director-General may stipulate, of each year. The report must be to the satisfaction of the Director-General and contain the following:(a) Full particulars, including results, interpretation and conclusions, of all exploration conducted during the twelve months period;(b) Details of expenditure incurred in conducting that exploration;(c) A summary of all geological findings acquired through mining or development evaluation activities;(d) particulars of exploration proposed to be conducted in the next twelve months period;(e) All plans, maps, sections and other data necessary to satisfactorily interpret the report.</p>	ML1357_20170306_1_GSNWSW to RSO Letter Group Geoscientific Reporting Approval - Ravensworth Surface 060317 (5) Report submission ML1576	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 008	ML1576	Reporting	8. Licence to Use Reports (a) The lease holder grants to the Minister, by way of a non-exclusive licence, the right in copyright to publish, print, adapt and reproduce all exploration reports lodged in any form and for the full duration of copyright. (b) The non-exclusive licence will operate as a consent for the purposes of section 365 of the Mining Act 1992.	Not triggered	Not triggered	
Condition 009	ML1576	Administration	9. Confidentiality (a) All exploration reports submitted in accordance with the conditions of this lease will be kept confidential while the lease is in force, except in cases where: the lease holder has agreed that specified reports may be made non-confidential. reports deal with exploration conducted exclusively on areas that have ceased to be part of the lease. (b) Confidentiality will be continued beyond the termination of a lease where application for a flow-on title was lodged during the currency of the lease. The confidentiality will last until that flow-on title or any subsequent flow-on title, has terminated. (c) The Director-General may extend the period of confidentiality.	Not triggered	Not triggered	
Condition 010	ML1576	Administration	10. TERMS OF THE NON-EXCLUSIVE LICENCE The terms of the non-exclusive copyright licence granted under condition8(a) are: (a) the Minister may sub-licence others to publish, print, adapt and reproduce but not on-licence reports. (b) the Minister and any sub-licence will acknowledge the lease holder's and any identifiable consultant's ownership of copyright in any reproduction of the reports, including storage of reports onto an electronic database. (c) the lease holder does not warrant ownership of all copyright works in any report and, the lease holder will use best endeavours to identify those parts of the report for which the lease holder owns the copyright. (d) there is no royalty payable by the Minister for the licence. (e) if the lease holder has reasonable grounds to believe that the Minister has exercised his rights under the non-exclusive copyright licence in a manner which adversely affects the operations of the lease holder, that licence is revocable on the giving of a period of not less than three months notice.	Not triggered	Not triggered	
Condition 011	ML1576	Blast	11. Blasting a) Ground Vibration The lease holder must ensure that the ground vibration peak particle velocity generated by any blasting within the lease area does not exceed 10 mm/second and does not exceed 5 mm/second in more than 5% of the total number of blasts over a period of 12 months at any dwelling or occupied premises as the case may be, unless determined otherwise by the OEH. b)Blast Overpressure The lease holder must ensure that the blast overpressure noise level generated by any blasting within the lease area does not exceed 120 dB (linear) and does not exceed 115 dB (linear) in more than 5% of the total number of blasts over a period of 12 months, at any dwelling or occupied premises, as the case may be, unless determined otherwise by the OEH.	Blast Management Plan, Monthly Reporting, Annual Reivew (website)	Compliant	
Condition 012	ML1576	Administration, Public Safety	12. Safety Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 013	ML1576		13. REHABILITATION (a) Land disturbed must be rehabilitated to stable and permanent form suitable for a subsequent land use acceptable to the Director-general and in accordance with the Mining Operations Plan so that:- there is no adverse environmental effect outside the disturbed area and that the land is properly drained and protected from soil erosion. the state of the land is compatible with the surrounding land and land use requirements. the landforms, soils, hydrology and flora require no greater maintenance than that in surrounding land. in cases where revegetation is required and native vegetation has been removed or damaged, the original species must be re-established with close reference to the flora survey included in the Mining Operations Plan. If the original vegetation was not native, any re-established vegetation must be appropriate to the area and at an acceptable density. the land does not pose a threat to public safety. (b) Any topsoil that is removed must be stored and maintained in a manner acceptable to the Director-General.	MOP, Annual Reivew, Inspections, Monitoring,	Compliant	
Condition 014	ML1576		14. Rehabilitation The lease holder must comply with any direction given by the Director-General regarding the stabilisation and regeneration of any mine residues, tailings or overburden dumps situated on the lease area.	MOP, Annual Reivew, Inspections, Monitoring,	Compliant	
Condition 015	ML1576	Administration	15. EXPLORATORY DRILLING (1) At least twenty eight days prior to commencement of drilling operations the lease holder must notify the relevant Department ofPlanning regional hydrogeologist of the intention to drill exploratory drill holes together with information on the location of the proposed holes. (2) If the lease holder drills exploratory drill holes he must satisfy the Director-General that:- all cored holes are accurately surveyed and permanently marked in accordance with Departmental guidelines so that their location can be easily established; all holes cored or otherwise are sealed to prevent the collapse of the surrounding surface; all drill holes are permanently sealed with cement plugs to prevent surface discharge of groundwaters; if any drill hole meets natural or noxious gases it is plugged or sealed to prevent their escape; if any drill hole meets an artesian or sub-artesian flow it is effectively sealed to prevent contamination of aquifers. once any drill hole ceased to be used the hole must be sealed in accordance with Department guidelines. Alternatively, the hole must be sealed as instructed by the Director-General. once any drill hole ceases to be used the land and its immediate vicinity is left in a clean, tidy and stable condition.	Not triggered	Not triggered	
Condition 016	ML1576	Soil, Water, Reporting	16. PREVENTION OF SOIL EROSION AND POLLUTION Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.	Water Management Plan, Annual Review, (website) - nil NC	Compliant	
Condition 017	ML1576	Infrastructure & Site Services	17. TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.	Not triggered	Not triggered	
Condition 018	ML1576	Land Management	18. Fences and Gates (a) Activities on the lease must not interfere with or damage fences without the prior written approval of the owner thereof or the Minister and subject to any conditions the Minister may stipulate. (b) Gates within the lease area must be closed or left open in accordance with the requirements of the landholder.	Not triggered	Not triggered	
Condition 019	ML1576	Traffic & Transport	19. ROADS AND TRACKS (a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate. (b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.	a) All disturbance in accordance with MOP 2021-2023 (and 2018-2020). No additional tracks / roads developed. B) not triggered. E	Compliant	
Condition 020	ML1576	Traffic & Transport, Land Management	20. Roads and Tracks Access tracks must be kept to a minimum and be positioned so that they do not cause any unnecessary damage to the land. Temporary access tracks must be ripped, topsoiled and revegetated as soon as possible after they are no longer required for mining operations. The design and construction of access tracks must be in accordance with specifications fixed by the Department ofPlanning.	Area forms part of Rav West. No new tracks or roads developed. All disturbance in accordance/ approved under MOP.	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 021	ML1576		<p>21. Trees and Timber</p> <p>(a) The lease holder must not fell trees, strip bark or cut timber on the lease without the consent of the landholder who is entitled to the use of the timber, or if such a landholder refuses consent or attaches unreasonable conditions to the consent, without the approval of a warden.</p> <p>(b) The lease holder must not cut destroy, ringbark or remove any timber or other vegetation cover on the lease area except such as directly obstructs or prevents the carrying on of operations. Any clearing not authorised under the Mining Act 1992 must comply with the provisions of the Native Vegetation Act 1997.</p> <p>(c) The lease holder must obtain all necessary approvals or licences before using timber from any Crown land within the lease area.</p>	Not triggered	Not triggered	
Condition 023	ML1576	Administration	<p>23. RESOURCE RECOVERY</p> <p>(a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, he may give notice in writing to the lease holder requiring the holder to recover such minerals.</p> <p>(b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery.</p> <p>(c) The lease holder must, when requested by the Director-General, provide such information as the Director-general may specify about the recovery of the mineral resource of the lease area.</p> <p>(d) The Director-General shall issue no such notice unless the matter has firstly been thoroughly discussed with and a report to the Director-General has incorporated the views of the lease holder.</p> <p>(e) The lease holder may object to the requirements of any notice issued under this condition and on receipt of such an objection the Minister shall refer it to a Warden for inquiry and report under Section 334 of the Mining Act, 1992.</p> <p>(f) After considering the Warden's report the Minister shall decide whether to withdraw, modify or maintain the requirements specified in the original notice and shall give the lease holder written notice of the decision. The lease holder must comply with the requirements of this notice.</p>	MOP and Annual Review	Compliant	
Condition 024	ML1576	Administration	<p>24. INDEMNITY</p> <p>The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 026	ML1576	Administration	<p>26. SECURITY</p> <p>(a) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of obligations under Consolidated Coal Lease 723 (Act 1973) and Mining Lease 1357 (Act 1992) is extended to apply to this lease.</p> <p>(b) If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfil the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder.</p>	Not triggered during audit period.	Not triggered	
Condition 028	ML1576	Administration	<p>28. Special Conditions</p> <p>If the licence holder becomes aware of any drill holes that extend to seams that have potential to be mined underground, but appear not to have been plugged and sealed in accordance with contemporary standards, the licence holder shall inform the Department of Primary Industries in writing, of that matter.</p>	Not triggered during audit period.	Not triggered	
Condition 029	ML1576	Administration	<p>29. Special Conditions</p> <p>The lease holder shall undertake assessment and management of the risk of spontaneous combustion in mining and overburden emplacement. Spontaneous combustion risk management shall be documented in the Mining Operations Plan (see condition 2) and Annual Environmental Management Report (see Condition 3) by the leaseholder.</p>	ROC Spontaneous Combustion Principle Mining Hazard Management Plan	Compliant	
Condition 030	ML1576	Administration	<p>30. Special Conditions</p> <p>The leaseholder will monitor all blasts within the Ravensworth West development area in the first three (3) months of operation in order to:</p> <p>confirm vibration levels at the overland conveyor HC1, the coal preration plant and the Hunter River pipeline(s); and</p> <p>determine the 'K' factor for the purpose of later blasts and vibration level prediction when blasting closer to the infrastructure.]</p>	HVO Blast Protocol Rav North - Conveyor Corridor Tenements Deed 15112010	Compliant	
Condition 031	ML1576	Administration	<p>The leaseholder shall provide a copy of all blast monitoring results at these locations to Coal & Allied.</p> <p>31. Special Conditions</p> <p>Prior to any blasting taking place in the subject area within 500 metres of any Coal & Allied property or mining lease boundary, agreement over the blasting notification and evacuation procedures to be followed by both parties must be reached.</p>	Rav North - Conveyor Corridor Tenements Deed 15112010	Compliant	
Condition 032	ML1576	Administration, Blast	<p>32. Special Conditions</p> <p>the leaseholder will ensure that issues such as avoiding periods of heavy shift-change traffic from Hunter Valley Operations are addressed in it's application to Singleton Shire Council to temporarily close Lemington Road for the purposes of blasting in the subject area.</p>	Not triggered	Not triggered	
Condition 033	ML1576	Administration	<p>33. Special Conditions</p> <p>The parties will reach agreement on the interactions in respect of mining in other areas of Ravensworth West development area prior to mining commencing in those areas.</p>	RavNth - Blasting Commitments Agreement - Executed - 30 May 2011 Access and Compensation Deed - ML 1337 ML 1359 ML 1325 and MLA 520 - 20 Feb 2020 Rav North - Conveyor Corridor Tenements Deed 15112010	Compliant	
Mining Act Condition 001	ML1576	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	Report submission ML1576	Compliant	
Mining Act Condition 002	ML1576	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	28008 12.03.20 APPROVAL_ML1683 ML1576 ML1669 2020 28008 14.03.19 Approval_ML1683 ML1669 ML1576 2019 28008 14.03.18 APPROVAL_ML1683 ML1669 ML1576 2018	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Mining Act Condition 003	ML1576	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	28008 12.03.20 APPROVAL_ML1683 ML1576 ML1669 2020 28008 14.03.19 Approval_ML1683 ML1669 ML1576 2019 28008 14.03.18 APPROVAL_ML1683 ML1669 ML1576 2018	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1580	Property	<p>NOTICE TO LANDHOLDERS</p> <p>1. Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice. If there are ten or more landholder affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1580	Administration	<p>ENVIRONMENTAL HARM</p> <p>2. The proponent shall 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.</p>	Not triggered	Not triggered	
Condition 003	ML1580	Mine Operations Plan	<p>MINING OPERATIONS PLAN</p> <p>(a) Mining operations must not be carried out otherwise than in accordance with a Mining Operation Plan (MOP) which has been approved by the Director-general of the Department of Primary Industries - Mineral Resources.</p> <p>(b) The MOP must:</p> <p>(i) identify areas that will be disturbed by mining operations;</p> <p>(ii) detail the staging of specific mining operations;</p> <p>(iii) identify how the mine will be managed to allow mine closure;</p> <p>(iv) identify how mining operations will be carried out on site in order to prevent and or minimise harm to the environment;</p> <p>(v) reflect the conditions of approval under- the Environmental Planning and Assessment Act 1979- the Protection of the Environment Operations Act 1997- and any other approvals relevant to the development including the conditions of this lease; and</p> <p>(vi) have regard to any relevant guidelines adopted by the Director-General.</p> <p>(c) The titleholder may apply to the Director-General to amend an approved MOP at any time.</p> <p>(d) It is not a breach of this condition if:</p> <p>(i) the operations constituting the breach were necessary to comply with a lawful order of direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection Operations Act 1997 or the Occupational Health and Safety Act 2000; and</p> <p>(ii) the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out.</p> <p>(e) A MOP ceases to have affect 7 years after date of approval or other such period as identified by the Director-General. An approved amendment to the MOP under condition 5 does not constitute an approval for the purpose of this paragraph unless otherwise identified by the Director-General.</p>	MOP (website)	Compliant	
Condition 004	ML1580	Annual Report	<p>ENVIRONMENTAL MANAGEMENT REPORTING</p> <p>4. The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.</p>	Annual Review (website)	Compliant	
Condition 005	ML1580	Annual Report	<p>ENVIRONMENTAL MANAGEMENT REPORTING</p> <p>5. The EMR must:</p> <p>(a) report against compliance with the MOP;(b) report on progress in respect of rehabilitation completion criteria;(c) report on the extent of compliance with regulatory requirements; and(d) have regard to any relevant guidelines adopted by the Director-General.</p>	Annual Review (website)	Compliant	
Condition 006	ML1580	Annual Report	<p>ENVIRONMENTAL MANAGEMENT REPORTING</p> <p>6. Additional environmental reports may be required on specific surface disturbing operations or environmental incidents from time to time as directed in writing by the Director-General and must be lodged as instructed.</p>	Annual Review (website)	Compliant	
Condition 007	ML1580	Land Management	<p>REHABILITATION</p> <p>7. Disturbed land must be rehabilitated to a sustainable/agreed end land use to the satisfaction of the Director-General.</p>	Not triggered (RUM) RUM MOP Annual Review	Not triggered	
Condition 008	ML1580	Subsidence	<p>(a) In this condition:</p> <p>(i) approved Extraction Plan means being a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>a subsidence management plan relating to the mining operations subject to this lease:</p> <p>submitted to the Secretary on or before 31 December 2014; and</p> <p>approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing:</p> <p>built features;</p> <p>public safety; or</p> <p>subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 010	ML1580	Administration	<p>CONTROL OPERATIONS</p> <p>10. (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:-</p> <p>(i) cease working the lease; or</p> <p>(ii) cease that part of the operation not complying with the Act or conditions; until in the opinion of the Environmental Officer the situation is rectified.</p> <p>(b) The lease holder must comply with any direction given. The Director-General may confirm, vary or revoke any such direction.</p> <p>(c) A direction referred to in this condition may be served on the Mine Manager.</p>	Not triggered	Not triggered	
Condition 011	ML1580	Reporting	<p>REPORTS</p> <p>11. The lease holder must provide an exploration report, within a period of twenty-eight days after each anniversary of the date this lease has effect or at such other date as the Director-General may stipulate, of each year. The report must be to the satisfaction of the Director General and contain the following:</p> <p>(a) Full particulars, including results, interpretation and conclusions, of all exploration conducted during the twelve months period;(b) Details of expenditure incurred in conducting that exploration;(c) A summary of all geological findings acquired through mining or development evaluation activities;(d) particulars of exploration proposed to be conducted in the next twelve months period;(e) All plans, maps, sections and other data necessary to satisfactorily interpret the report;</p>	EROL submission accepted ML1580ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Condition 012	ML1580	Administration	<p>LICENCE TO USE REPORTS</p> <p>12. (a) The lease holder grants to the Minister, by way of a non-exclusive licence, the right in copyright to publish, print, adapt and reproduce all exploration reports lodged in any form and for the full duration of copyright.</p> <p>(b) The non-exclusive licence will operate as a consent for the purposes of second 365 of the Mining Act 1992.</p>	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 013	ML1580	Reporting	<p>CONFIDENTIALITY</p> <p>13. (a) All exploration reports submitted in accordance with the conditions of this lease will be kept confidential while the lease is in force, except in cases where:</p> <p>(i) the lease holder has agreed that specified reports may be made non-confidential.</p> <p>(ii) reports deal with exploration conducted exclusively on areas that have ceased to be part of the lease.'</p> <p>(b) Confidentiality will be continued beyond the termination of a lease where application for a flow-on title was lodged during the currency of the lease. The confidentiality will last until that flow-on title or any subsequent flow-on title, has terminated.</p> <p>(c) The Director-General may extend the period of confidentiality.</p>	Not triggered	Not triggered	
Condition 014	ML1580	Administration	<p>TERMS OF THE NON-EXCLUSIVE LICENCE</p> <p>14. The terms of the non-exclusive copyright licence granted under condition 8 (a) are:</p> <p>(a) the Minister may sub-licence others to publish, print, adapt and reproduce but not on-licence reports.</p> <p>(b) the Minister and any sub-licence will acknowledge the lease holder's and any identifiable consultant's ownership of copyright in any reproduction of the reports, including storage of reports onto an electronic database.</p> <p>(c) the lease holder does not warrant ownership of all copyright works in any report and, the lease holder will use best endeavors to identify those parts of the report for which the lease holder owns the copyright.</p> <p>(d) there is no royalty payable by the Minister for the licence.</p> <p>(e) if the lease holder has reasonable grounds to believe that the Minister has exercised his rights under the non-exclusive copyright licence in a manner which adversely affects the operations of the lease holder, that licence is revocable on the giving of a period of not less than three months notice.</p>	Not triggered	Not triggered	
Condition 016	ML1580	Administration	<p>SAFETY</p> <p>16. Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 017	ML1580	Prospecting & Exploration	<p>EXPLORATORY DRILLING</p> <p>17. (1) At least twenty eight days prior to commencement of drilling operations the lease holder must notify the relevant Department of Climate Change and Environment regional hydrologist of the intention to drill exploratory drill holes together with information on the location of the proposed holes.</p> <p>(2) If the lease holder drills exploratory drill holes he must satisfy the Director-General that:-</p> <p>(a) all cored holes are accurately surveyed and permanently marked in accordance with Departmental guidelines so that their location can be easily established;</p> <p>(b) all holes cored or otherwise are sealed to prevent the collapse of the surrounding surface;</p> <p>(c) all drill holes are permanently sealed with cement plugs to prevent surface discharge of groundwaters;</p> <p>(d) if any drill hole meets natural or noxious gases it is plugged or sealed to prevent their escape;</p> <p>(e) if any drill hole meets an artesian or sub-artesian flow it is effectively sealed to prevent contamination of aquifers.</p> <p>(f) once any drill hole ceased to be used the hole must be sealed in accordance with Department guidelines. Alternatively, the hole must be sealed as instructed by the Director-General.</p> <p>(g) once any drill hole ceases to be used the land and its immediate vicinity is left in a clean, tidy and stable condition.</p>	Not triggered	Not triggered	
Condition 018	ML1580	Soil	<p>PREVENTION OF SOIL EROSION AND POLLUTION</p> <p>18. Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.</p>	Water Management Plan, Annual Review (website)	Compliant	
Condition 019	ML1580	Public Infrastructure & Utilities	<p>TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>19. Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.</p>	Not triggered	Not triggered	
Condition 021	ML1580	Traffic & Transport	<p>ROADS AND TRACKS</p> <p>21. (a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate.</p> <p>(b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.</p>	All disturbance within MOP for ROC and RUM. No additional disturbance undertaken during period. No damage to roads or tracks. No triggered.	Compliant	
Condition 025	ML1580	Mine Planning	<p>RESOURCE RECOVERY</p> <p>25. (a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, he may give notice in writing to the lease holder requiring the holder to recover such minerals.</p> <p>(b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery.</p> <p>(c) The lease holder must, when requested by the Director-General, provide such information as the Director-general may specify about the recovery of the mineral resource of the lease area.</p> <p>(d) The Director-General shall issue no such notice unless the matter has firstly been thoroughly discussed with and a report to the Director-General has incorporated the views of the lease holder.</p> <p>(e) The lease holder may object to the requirements of any notice issued under this condition and on receipt of such an objection the Minister shall refer it to a Warden for inquiry and report under Section 334 of the Mining Act, 1992.</p> <p>(f) After considering the Warden's report the Minister shall decide whether to withdraw, modify or maintain the requirements specified in the original notice and shall give the lease holder written notice of the decision. The lease holder must comply with the requirements of this notice.</p>	MOP (website)	Compliant	
Condition 026	ML1580	Administration	<p>INDEMNITY</p> <p>26. The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 027	ML1580	Security Deposit	<p>SECURITY</p> <p>(a) The security in the sum of \$10,000 must be given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfillment by the lease holder of obligations under this lease. If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfil the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder.</p> <p>(b) The lease holder must provide the security required by sub-clause (a) in one of the following forms:</p> <p>(i) cash,</p> <p>(ii) a security certificate in a form approved by the Minister and issued by an authorised deposit-lacking institution.</p>	List of ROC Guarantees	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 029	ML1580		<p>(a) Notwithstanding any Mining Operations Plan, the lease holder ust not mine within any part of the lease area which is within the notification area of the Ravensworth Void 4 East Tailings - Saddle Dam without prior written approval of the Minister and subject to any conditions he may stipulate.</p> <p>(b) Where the lease holder desiresto mine within the notification area he must:</p> <p>(i) at least twelve (12) months before mining is to commence or such lesser tome as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and</p> <p>(ii) provide such information as the Minister may direct.</p> <p>(c) The Minister must not, except in the circumstances set out omn sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with.</p> <p>(i) Tjis sub-paragraph is complied with if:</p> <p>(a) The Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (B).</p> <p>(b) the notifications referred to in clausue (a) are accompanied by a description or plan of the area to be mined.</p> <p>(c) the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal.</p> <p>(d) the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and</p> <p>(e) where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>(i) in accordance with these recommendations; or</p> <p>(ii) where the Minister does not accept the recommendations of the Dams Saftey Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing whith the safety of the dam;</p> <p>(a) as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or</p> <p>(b) in the event of a failure to reach such an agreement - as determined by the Premier.</p> <p>(d) The Minister, on notice from the Dams Safety Committee, may at any time or times:</p> <p>(i) cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given.</p> <p>(ii) suspend for a period of time, alter, omit from or add to any approval given or conditions imposed.</p>	Not triggered. No mining in area during period.	Not triggered	
Mining Act Condition 001	ML1580	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Regl)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1580	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	1468 ML1580 Glencore Newpac - Remittance 2020 1468 ML1580 Glencore Newpac - Remittance 2019 1468 ML1580 Glencore Newpac - Remittance 2018 1468 ML1580 Glencore Newpac - Inv 2020 1468 ML1580 Glencore Newpac - Inv 2019 1468 ML1580 Glencore Newpac - Inv 2018	Compliant	
Mining Act Condition 003	ML1580	Annual Administrative Levy	<p>Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.</p>	1468 ML1580 Glencore Newpac - Remittance 2020 1468 ML1580 Glencore Newpac - Remittance 2019 1468 ML1580 Glencore Newpac - Remittance 2018 1468 ML1580 Glencore Newpac - Inv 2020 1468 ML1580 Glencore Newpac - Inv 2019 1468 ML1580 Glencore Newpac - Inv 2018	Compliant	
Mining Act Condition 004	ML1580		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1581	Administration	<p>METHOD OF OPERATION</p> <p>1. Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.</p> <p>If there are ten or more landholder affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1581	Mine Operations Plan	<p>MINING OPERATIONS PLAN (MOP)</p> <p>2.1 Mining operations including mining purposes, must be conducted in accordance with Mining Operations Plan (the Plan) approved by the Director General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:-</p> <p>(i) ongoing mining operations and environmental management; and</p> <p>(ii) ongoing monitoring of the project.</p> <p>2.2 The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement.</p> <p>2.3 A Plan must be lodged with the Director-General:-</p> <p>(a) prior to commencement of mining operations (including mining purposes);</p> <p>(b) subsequently as appropriate prior to the expiry of any current Plan; and</p> <p>(c) in accordance with any direction issued by the Director-General.</p> <p>2.4 The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:-</p> <p>(a) area(s) proposed to be disturbed under the Plan;</p> <p>(b) mining and rehabilitation methods(s) to be used and their sequence;</p> <p>(c) areas to be used for disposal of tailings/waste;</p> <p>(d) existing and proposed surface infrastructure;</p> <p>(e) progressive rehabilitation schedules;</p> <p>(f) areas of particular environmental sensitivity;</p> <p>(g) water management systems (including erosion and sediment controls);</p> <p>(h) proposed resource recovery, and</p> <p>(i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation.</p> <p>2.5 The Plan when lodged will be reviewed by the Department.</p> <p>2.6 The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement.</p> <p>2.7 If a requirement in accordance with clause (6) is not issued within (2) two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time.</p> <p>2.8 During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.</p>	MOP (website)	Compliant	
Condition 003	ML1581	Annual Report	<p>ANNUAL ENVIRONMENTAL MANAGEMENT REPORT (AEMR)</p> <p>3.1 Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General.</p> <p>3.2 The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:-</p> <p>(a) the accepted Mining Operations Plan;</p> <p>(b) development consent requirements and conditions;</p> <p>(c) Environment Protection Authority and Department of Land and Water Conservation Licences and approvals;</p> <p>(d) any other statutory environmental requirements;</p> <p>(e) details of any variations to environmental approvals applicable to the lease area, and</p> <p>(f) where relevant, progress towards final rehabilitation objectives.</p> <p>3.3 After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice.</p> <p>3.4 The lease holder shall, as and when directed by the Minister, co-operate with the Director-General to conduct and facilitate review of the AEMR involving other government agencies and local council.</p>	Annual Review (website)	Compliant	
Condition 004	ML1581	Subsidence	<p>(a) In this condition:</p> <p>(i) approved Extraction Plan means being a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>a subsidence management plan relating to the mining operations subject to this lease:</p> <p>submitted to the Secretary on or before 31 December 2014; and</p> <p>approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing:</p> <p>built features;</p> <p>public safety; or</p> <p>subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 006	ML1581	Administration	<p>CONTROL OPERATIONS</p> <p>6. (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:-</p> <p>(i) cease working the lease; or</p> <p>(ii) cease that part of the operation not complying with the Act or conditions; until in the opinion of the Environmental Officer the situation is rectified.</p> <p>(b) The lease holder must comply with any direction given. The Director-General may confirm, vary or revoke any such direction.</p> <p>(c) A direction referred to in this condition may be served on the Mine Manager.</p>	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 011	ML1581	Blast	<p>BLASTING</p> <p>11. (a) Ground Vibration. The lease holder shall design all blasts on the basis that the ground vibration peak particle velocity generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises not owned by the lease holder, the holder authority under the Mining Act, or not subject to a valid agreement with the lease holder, with respect to the effects of blasting.</p> <p>(b) Blast Overpressure. The lease holder shall design blasts on the basis that the blast overpressure noise level generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises not owned by the lease holder, the holder authority under the Mining Act, or not subject to a valid agreement with the lease holder, with respect to the effects of blasting.</p>	Blast Management Plan, Monthly Monitoring Reports, Annual Review - website	Compliant	
Condition 012	ML1581	Administration	<p>SAFETY</p> <p>12. Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 013	ML1581	Land Management	<p>REHABILITATION</p> <p>13. (a) Land disturbed must be rehabilitated to stable and permanent form suitable for a subsequent land use acceptable to the Director-general and in accordance with the Mining Operations Plan so that:-</p> <p>(i) there is no adverse environmental effect outside the disturbed area and that the land is properly drained and protected from soil erosion.</p> <p>(ii) the state of the land is compatible with the surrounding land and land use requirements.</p> <p>(iii) the landforms, soils, hydrology and flora require no greater maintenance than that in surrounding land.</p> <p>(iv) in cases where revegetation is required and native vegetation has been removed or damaged, the original species must be re-established with close reference to the flora survey included in the Mining Operations Plan. If the original vegetation was not native, any re-established vegetation must be appropriate to the area and at an acceptable density.</p> <p>(v) the land does not pose a threat to public safety.</p> <p>(b) Any topsoil that is removed must be stored and maintained in a manner acceptable to the Director-General.</p>	Not triggered - Relates to RUM - RUM MOP and Annul Review	Not triggered	
Condition 014	ML1581	Land Management	<p>REHABILITATION</p> <p>14. The lease holder must comply with any direction given by the Director-General regarding the stabilisation and regeneration of any mine residues, tailings or overburden dumps situated on the lease area.</p>	Not triggered - Relates to RUM - RUM MOP and Annul Review	Not triggered	
Condition 016	ML1581	Soil	<p>PREVENTION OF SOIL EROSION AND POLLUTION</p> <p>16. Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.</p>	Water Management Plan, Annual Review (website)	Compliant	
Condition 017	ML1581	Public Infrastructure & Utilities	<p>TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>17. Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.</p>	Not triggered	Not triggered	
Condition 018	ML1581	Property	<p>FENCES AND GATES</p> <p>18.(a) Activities on the lease must not interfere with or damage fences without the prior written approval of the owner thereof or the Minister and subject to any conditions the Minister may stipulate.</p> <p>(b) Gates within the lease area must be closed or left open in accordance with the requirements of the landowner.</p>	Not triggered	Not triggered	
Condition 019	ML1581	Traffic & Transport	<p>ROADS AND TRACKS</p> <p>19. (a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate.</p> <p>(b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.</p>	All disturbance within MOP for ROC and RUM. No additional disturbance undertaken during period.	Compliant	
Condition 020	ML1581	Traffic & Transport	<p>ROADS AND TRACKS</p> <p>20. Access tracks must be kept to a minimum and be positioned so that they do not cause any unnecessary damage to the land. Temporary access tracks must be ripped, topsoiled and revegetated as soon as possible after they are no longer required for mining operations. The design and construction of access tracks must be in accordance with specifications fixed by the Department of Infrastructure, Planning and Natural Resources.</p>	As per condition 19. All disturbance within MOP for ROC and RUM. No additional disturbance undertaken during period.	Compliant	
Condition 021	ML1581	Flora	<p>TREES AND TIMBER</p> <p>21. (a) The lease holder must not fell trees, strip bark or cut timber on the lease without the consent of the landholder who is entitled to the use of the timber, or if such a landholder refuses consent or attaches unreasonable conditions to the consent, without the approval of a warden.</p> <p>(b) The lease holder must not cut destroy, ringbark or remove any timber or other vegetation cover on the lease area except such as directly obstructs or prevents the carrying on of operations. Any clearing not authorised under the Mining ACT 1992 must comply with the provisions of the Native Vegetation Act 1997.</p> <p>(c) The lease holder must obtain all necessary approvals or licences before using timber from any Crown land within the lease area.</p>	Not triggered	Not triggered	
Condition 024	ML1581	Administration	<p>INDEMNITY</p> <p>24. The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 026	ML1581	Security Deposit	<p>SECURITY</p> <p>26. (a) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfillment by the lease holder of obligations under MLs 1398, 1416, 1495, 1506 and 1654 is extended to apply to his lease.</p> <p>(b) If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the cost fulfilling such obligation. For the purpose of this clause the lease holder shall deemed to have failed to fulfil the obligations of the lease if the lease older fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed of given pursuant to a condition or provision hereof or of any provision of the Act or regulations made hereunder.</p>	List of ROC Guarantees	Compliant	
Mining Act Condition 001	ML1581	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1581	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	3000B 13.06.19 Approval_ML1595_ML1581 3000B 21.06.18 APPROVAL_ML1581	Compliant	
Mining Act Condition 003	ML1581	Annual Administrative Levy	<p>Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.</p>	3000B 13.06.19 Approval_ML1595_ML1581 3000B 21.06.18 APPROVAL_ML1581	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Mining Act Condition 004	ML1581		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1591	Administration, Property	METHOD OF OPERATION 1. Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice. If there are ten or more landholder affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.	Not triggered	Not triggered	
Condition 002	ML1591	Mine Operations Plan	MINING OPERATIONS PLAN (MOP) 2.1 Mining operations including mining purposes, must be conducted in accordance with Mining Operations Plan (the Plan) approved by the Director General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:- (a) ongoing mining operations and environmental management; and (b) ongoing monitoring of the project. 2.2 The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement. 2.3 A Plan must be lodged with the Director-General:- (a) prior to commencement of mining operations (including mining purposes); (b) subsequently as appropriate prior to the expiry of any current Plan; and (c) in accordance with any direction issued by the Director-General. 2.4 The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:- (a) area(s) proposed to be disturbed under the Plan; (b) mining and rehabilitation methods(s) to be used and their sequence; (c) areas to be used for disposal of tailings/waste; (d) existing and proposed surface infrastructure; (e) progressive rehabilitation schedules; (f) areas of particular environmental sensitivity; (g) water management systems (including erosion and sediment controls); (h) proposed resource recovery, and (i) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation. 2.5 The Plan when lodged will be reviewed by the Department. 2.6 The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement. 2.7 If a requirement in accordance with clause (6) is not issued within (2) two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time. 2.8 During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.	MOP (website)	Compliant	
Condition 003	ML1591	Annual Report	ANNUAL ENVIRONMENTAL MANAGEMENT REPORT (AEMR) 3.1 Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General. 3.2 The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:- (a) the accepted Mining Operations Plan; (b) development consent requirements and conditions; (c) Environment Protection Authority and Department of Land and Water Conservation Licences and approvals; (d) any other statutory environmental requirements; (e) details of any variations to environmental approvals applicable to the lease area, and (f) where relevant, progress towards final rehabilitation objectives. 3.3 After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice. 3.4 The lease holder shall, as and when directed by the Minister, co-operate with the Director-General to conduct and facilitate review of the AEMR involving other government agencies and local council.	Annual Review (website)	Compliant	
Condition 006	ML1591	Administration	CONTROL OPERATIONS 6. (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:- (i) cease working the lease; or (ii) cease that part of the operation not complying with the Act or conditions; until in the opinion of the Environmental Officer the situation is rectified. (b) The lease holder must comply with any direction given. The Director-General may confirm, vary or revoke any such direction. (c) A direction referred to in this condition may be served on the Mine Manager.	Not triggered	Not triggered	
Condition 012	ML1591	Mine Planning	SAFETY 12. Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 013	ML1591	Land Management	REHABILITATION 13. (a) Land disturbed must be rehabilitated to stable and permanent form suitable for a subsequent land use acceptable to the Director-general and in accordance with the Mining Operations Plan so that:- (i) there is no adverse environmental effect outside the disturbed area and that the land is properly drained and protected from soil erosion. (ii) the state of the land is compatible with the surrounding land and land use requirements. (iii) the landforms, soils, hydrology and flora require no greater maintenance than that in surrounding land. (iv) in cases where revegetation is required and native vegetation has been removed or damaged, the original species must be re-established with close reference to the flora survey included in the Mining Operations Plan. If the original vegetation was not native, any re-established vegetation must be appropriate to the area and at an acceptable density. (v) the land does not pose a threat to public safety. (b) Any topsoil that is removed must be stored and maintained in a manner acceptable to the Director-General.	Not triggered- relates to product stockpile for RUM/ROC - MOP and AR	Not triggered	
Condition 014	ML1591	Land Management	REHABILITATION 14. The lease holder must comply with any direction given by the Director-General regarding the stabilisation and regeneration of any mine residues, tailings or overburden dumps situated on the lease area.	Not triggered- relates to product stockpile for RUM/ROC - MOP and AR	Not triggered	
Condition 016	ML1591	Soil	PREVENTION OF SOIL EROSION AND POLLUTION 16. Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.	Water Management Plan and Annual Review (website)	Compliant	
Condition 017	ML1591	Public Infrastructure & Utilities	TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES 17. Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.	Not triggered	Not triggered	
Condition 018	ML1591	Property	FENCES AND GATES 18. (a) Activities on the lease must not interfere with or damage fences without the prior written approval of the owner thereof or the Minister and subject to any conditions the Minister may stipulate. (b) Gates within the lease area must be closed or left open in accordance with the requirements of the landowner.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 019	ML1591	Traffic & Transport	ROADS AND TRACKS 19. (a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate. (b) The lease holder must pay to the designated authority in control of the road (generally Local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.	a) This lease area covers Product Stockpile area. All disturbance in accordance with MOP. B) not triggered	Compliant	
Condition 020	ML1591	Traffic & Transport	ROADS AND TRACKS 20. Access tracks must be kept to a minimum and be positioned so that they do not cause any unnecessary damage to the land. Temporary access tracks must be ripped, topsoiled and revegetated as soon as possible after they are no longer required for mining operations. The design and construction of access tracks must be in accordance with specifications fixed by the Department of Infrastructure, Planning and Natural Resources.	As per condition 19. This lease area covers Product Stockpile area. All disturbance in accordance with MOP. See MOP Plan 3C and RUM MOP Plan 2A.	Compliant	
Condition 021	ML1591	Flora	TREES AND TIMBER 21. (a) The lease holder must not fell trees, strip bark or cut timber on the lease without the consent of the landholder who is entitled to the use of the timber, or if such a landholder refuses consent or attaches unreasonable conditions to the consent, without the approval of a warden. (b) The lease holder must not cut, destroy, ringbark or remove any timber or other vegetation cover on the lease area except such as directly obstructs or prevents the carrying on of operations. Any clearing not authorised under the Mining ACT 1992 must comply with the provisions of the Native Vegetation Act 1997. (c) The lease holder must obtain all necessary approvals or licences before using timber from any Crown land within the lease area.	Not triggered	Not triggered	
Condition 024	ML1591	Administration	INDEMNITY 24. The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.	Not triggered	Not triggered	
Condition 026	ML1591	Security Deposit	SECURITY 26. (a) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of obligations under Mining Leases 1447, 1506,1416,1398,1495,1564 and 1581 (Act 1992) is extended to apply to his lease. (b) If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the cost fulfilling such obligation. For the purpose of this clause the lease holder shall deemed to have failed to fulfil the obligations of the lease if the lease older fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed of given pursuant to a condition or provision hereof or of any provision of the Act or regulations made hereunder.	List of ROC Guarantees	Compliant	
Mining Act Condition 001	ML1591	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Regl)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1591	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	30008 12.04.18 APPROVAL_ML1506_ML1591 (1)	Compliant	
Mining Act Condition 003	ML1591	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	30008 12.04.18 APPROVAL_ML1506_ML1591 (1)	Compliant	
Mining Act Condition 004	ML1591		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1595	Property	<p>NOTICE TO LANDHOLDERS</p> <p>01. Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.</p> <p>If there are ten or more landholder affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1595	Mine Operations Plan	<p>MINING OPERATIONS PLAN (MOP)</p> <p>2.1 Mining operations including mining purposes, must be conducted in accordance with Mining Operations Plan (the Plan) approved by the Director General. The Plan together with environmental conditions of development consent and other approvals will form the basis for:-</p> <p>(i) ongoing mining operations and environmental management; and</p> <p>(ii) ongoing monitoring of the project.</p> <p>2.2 The Plan must be prepared in accordance with the Director-General's guidelines current at the time of lodgement.</p> <p>2.3 A Plan must be lodged with the Director-General:-</p> <p>(a) prior to commencement of mining operations (including mining purposes);</p> <p>(b) subsequently as appropriate prior to the expiry of any current Plan; and</p> <p>(c) in accordance with any direction issued by the Director-General.</p> <p>2.4 The Plan must present a schedule of proposed mine development for a period of up to seven (7) years and contain diagrams and documentation which identify:-</p> <p>(a) area(s) proposed to be disturbed under the Plan;</p> <p>(b) mining and rehabilitation methods(s) to be used and their sequence;</p> <p>(c) areas to be used for disposal of tailings/waste;</p> <p>(d) existing and proposed surface infrastructure;</p> <p>(e) existing flora and fauna onsite</p> <p>(f) progressive rehabilitation schedules;</p> <p>(g) areas of particular environmental sensitivity;</p> <p>(h) water management systems (including erosion and sediment controls);</p> <p>(i) proposed resource recovery, and</p> <p>(j) where the mine will cease extracting during the term of the Plan, a closure plan including final rehabilitation objectives/methods and post mining land use/vegetation.</p> <p>2.5 The Plan when lodged will be reviewed by the Department.</p> <p>2.6 The Director General may within two (2) months of the lodgement of a Plan, require modification and relodgement.</p> <p>2.7 If a requirement in accordance with clause (6) is not issued within (2) two months of the lodgement of a Plan, lease holder may proceed with implementation of the Plan submitted subject to the lodgement of the required security deposit within the specified time.</p> <p>2.8 During the life of the Mining Operations Plan, proposed modifications to the Plan must be lodged with the Director-General and will be subject to the review process outlined in (5)-(7) above.</p>	MOP (website)	Compliant	
Condition 003	ML1595	Annual Report	<p>ANNUAL ENVIRONMENTAL MANAGEMENT REPORT (AEMR)</p> <p>3.1 Within 12 month of the commencement of mining operation and therefore annually or, at such other times as may be allowed by the Director-general, the lease holder must lodge an Annual Environmental Management Report (AEMR) with the Director General.</p> <p>3.2 The AEMR must be prepared in accordance with the Director-General's guidelines current at the time of reporting and contain a review and forecast of performance for the preceding and ensuing twelve months in terms of:-</p> <p>(a) the accepted Mining Operations Plan;</p> <p>(b) development consent requirements and conditions;</p> <p>(c) Environment Protection Authority and Department of Land and Water Conservation Licences and approvals;</p> <p>(d) any other statutory environmental requirements;</p> <p>(e) details of any variations to environmental approvals applicable to the lease area, and</p> <p>(f) where relevant, progress towards final rehabilitation objectives.</p> <p>3.3 After considering an AEMR the Director-General may, by notice in writing, direct the lease holder to undertake operations, remedial actions of supplementary studies in the manner and within the period specified in the notice to ensure that operations on the lease area are conducted in accordance with sound mining and environmental practice.</p> <p>3.4 The lease holder shall, as and when directed by the Minister, co-operate with the Director-General to conduct and facilitate review of the AEMR involving other government agencies and local council.</p>	Annual Review (website)	Compliant	
Condition 006	ML1595	Administration	<p>CONTROL OPERATIONS</p> <p>6. (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:-</p> <p>(i) cease working the lease; or</p> <p>(ii) cease that part of the operation not complying with the Act or conditions; until in the opinion of the Environmental Officer the situation is rectified.</p> <p>(b) The lease holder must comply with any direction given. The Director-General may confirm, vary or revoke any such direction.</p> <p>(c) A direction referred to in this condition may be served on the Mine Manager.</p>	Not triggered	Not triggered	
Condition 011	ML1595	Blast	<p>BLASTING</p> <p>11. (a) Ground Vibration. The lease holder shall design all blasts on the basis that the ground vibration peak particle velocity generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises not owned by the lease holder, the holder authority under the Mining Act, or not subject to a valid agreement with the lease holder, with respect to the effects of blasting.</p> <p>(b) Blast Overpressure. The lease holder shall design blasts on the basis that the blast overpressure noise level generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises not owned by the lease holder, the holder authority under the Mining Act, or not subject to a valid agreement with the lease holder, with respect to the effects of blasting.</p>	Blast Management Plan, Monthly Monitoring Reports, Annual Review - website	Compliant	
Condition 012	ML1595	Administration	<p>SAFETY</p> <p>12. Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 013	ML1595	Land Management	<p>REHABILITATION</p> <p>13. (a) Land disturbed must be rehabilitated to stable and permanent form suitable for a subsequent land use acceptable to the Director-general and in accordance with the Mining Operations Plan so that:-</p> <p>(i) there is no adverse environmental effect outside the disturbed area and that the land is properly drained and protected from soil erosion.</p> <p>(ii) the state of the land is compatible with the surrounding land and land use requirements.</p> <p>(iii) the landforms, soils, hydrology and flora require no greater maintenance than that in surrounding land.</p> <p>(iv) in cases where revegetation is required and native vegetation has been removed or damaged, the original species must be re-established with close reference to the flora survey included in the Mining Operations Plan. If the original vegetation was not native, any re-established vegetation must be appropriate to the area and at an acceptable density.</p> <p>(v) the land does not pose a threat to public safety.</p> <p>(b) Any topsoil that is removed must be stored and maintained in a manner acceptable to the Director-General.</p>	Not triggered -- relates to Highway Dam and Temp Tailings Dam. AR, MOP, No work undertaken	Not triggered	
Condition 014	ML1595	Land Management	<p>REHABILITATION</p> <p>14. The lease holder must comply with any direction given by the Director-General regarding the stabilisation and regeneration of any mine residues, tailings or overburden dumps situated on the lease area.</p>	Not triggered -- relates to Highway Dam and Temp Tailings Dam. AR, MOP, No work undertaken	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 016	ML1595	Soil	PREVENTION OF SOIL EROSION AND POLLUTION 16. Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted. Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.	Water Management Plan, Monthly Monitoring Report, Annual Review (website)	Compliant	
Condition 017	ML1595	Public Infrastructure & Utilities	TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES 17. Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions he may stipulate.	Not triggered	Not triggered	
Condition 018	ML1595	Property	FENCES AND GATES 18. (a) Activities on the lease must not interfere with or damage fences without the prior written approval of the owner thereof or the Minister and subject to any conditions the Minister may stipulate. (b) Gates within the lease area must be closed or left open in accordance with the requirements of the landowner	Not triggered	Not triggered	
Condition 019	ML1595	Traffic & Transport	ROADS AND TRACKS 19. (a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate. (b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.	Not triggered	Not triggered	
Condition 020	ML1595	Traffic & Transport	ROADS AND TRACKS 20. Access tracks must be kept to a minimum and be positioned so that they do not cause any unnecessary damage to the land. Temporary access tracks must be ripped, topsoiled and revegetated as soon as possible after they are no longer required for mining operations. The design and construction of access tracks must be in accordance with specifications fixed by the Department of Infrastructure, Planning and Natural Resources.	a) This lease area covers Highway Dam and Temp Tailings Dam - RUM. All disturbance in accordance with MOP. No additional tracks, roads or disturbance during period. b) Not triggered	Compliant	
Condition 021	ML1595	Flora	TREES AND TIMBER 21. (a) The lease holder must not fell trees, strip bark or cut timber on the lease without the consent of the landholder who is entitled to the use of the timber, or if such a landholder refuses consent or attaches unreasonable conditions to the consent, without the approval of a warden. (b) The lease holder must not cut destroy, ringbark or remove any timber or other vegetation cover on the lease area except such as directly obstructs or prevents the carrying on of operations. Any clearing not authorised under the Mining ACT 1992 must comply with the provisions of the Native Vegetation Act 1997. (c) The lease holder must obtain all necessary approvals or licences before using timber from any Crown land within the lease area.	a) This lease area covers Highway Dam and Temp Tailings Dam - RUM. All disturbance in accordance with MOP. No additional tracks, roads or disturbance during period.	Compliant	
Condition 024	ML1595	Administration	INDEMNITY 24. The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.	Not triggered	Not triggered	
Condition 026	ML1595	Security Deposit	SECURITY 26. (a) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of obligations under Mining Leases 1398 (Act 1992), Mining Lease 1416 (Act 1992), Mining Lease 1477 (Act 1992), Mining Lease 1495 (Act 1992), Mining Lease 1506 (Act 1992), Mining Lease 1564 (1992) and Mining Lease 1581 (Act 1992) is extended to apply to this lease. (b) If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the cost fulfilling such obligation. For the purpose of this clause the lease holder shall deemed to have failed to fulfil the obligations of the lease if the lease older fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed of given pursuant to a condition or provision hereof or of any provision of the Act or regulations made hereunder.	List of ROC Guarantees	Compliant	
Mining Act Condition 001	ML1595	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1595	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	3000 ML1595 ResourcePacific- Inv 2020 3000 ML1595 ResourcePacific- Remittance 2020 30008 13.06.19 Approval ML1595 ML1581 (1)	Compliant	
Mining Act Condition 003	ML1595	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	3000 ML1595 ResourcePacific- Inv 2020 3000 ML1595 ResourcePacific- Remittance 2020 30008 13.06.19 Approval ML1595 ML1581 (1)	Compliant	
Mining Act Condition 004	ML1595		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1625	Property	Notice to Landholders Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice. If there are ten or more landholder affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.	Not triggered	Not triggered	
Condition 002	ML1625	Reporting	Environmental Harm The proponent shall implement all practicable measure to prevent and/or minimise any harm to the environment that may result from the construction, operation or rehabilitation of the development.	Not triggered	Not triggered	
Condition 003	ML1625	Mine Operations Plan	Mining Operations Plan (MOP) (a) Mining operations must not be carried out otherwise than in accordance with: a Mining Operation Plan (MOP) which has been approved by the Director-general of the Department of Primary Industries. (b) The MOP must: (i) identify areas that will be disturbed by mining operations; (ii) detail the staging of specific mining operations; (iii) identify how the mine will be managed to allow mine closure; (iv) identify how mining operations will be carried out on site in order to prevent and or minimise harm to the environment; (v) reflect the conditions of approval under- the Environmental Planning and Assessment Act 1979- the Protection of the Environment Operations Act 1997- and any other approvals relevant to the development including the conditions of this lease; and (vi) have regard to any relevant guidelines adopted by the Director-General. (c) The titleholder may apply to the Director-General to amend an approved MOP at any time. (d) It is not a breach of this condition if: (i) the operations constituting the breach were necessary to comply with a lawful order of direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection Operations Act 1997 or the Occupational Health and Safety Act 2000; and (ii) the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out. (e) A MOP ceases to have affect 7 years after date of approval or other such period as identified by the Director-General. An approved amendment to the MOP under condition 5 does not constitute an approval for the purpose of this paragraph unless otherwise identified by the Director-General.	MOP (website)	Compliant	
Condition 004	ML1625	Reporting	Environment Management Reporting The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.	Annual Review (website)	Compliant	
Condition 005	ML1625	Reporting	Environment Management Reporting The EMR must: (a) report against compliance with the MOP; (b) report on progress in respect of rehabilitation completion criteria; (c) report on the extent of compliance with regulatory requirements; and (d) have regard to any relevant guidelines adopted by the Director-General.	Annual Review (website)	Compliant	
Condition 006	ML1625	Reporting	Environment Management Reporting Additional environmental reports may be required on specific surface disturbing operations or environmental incidents from time to time as directed in writing by the Director-General and must be lodged as instructed.	Annual Review (website)	Compliant	
Condition 007	ML1625		Rehabilitation Disturbed land must be rehabilitated to a sustainable/agreed end land use to the satisfaction of the Director-General.	Not triggered - related to RUM. No rehab as per MOP	Not triggered	
Condition 010	ML1625	Administration	Control of Operations (a) If an Environmental Officer of the Department believes that the lease holder is not complying with any provisions of the Act or any condition of this lease relating to the working of the lease, he may direct the lease holder to:- (i) cease working the lease; or (ii) Cease that part of the operation not complying with thae act or conditions until in the opinion of the enviroinmental officer the situation isi rectified. (b) The lease holder must comply with any given direction the director general may confirm vary or revoke any such direction. (c) a direction referred to in this condition may be served on the mine manager.	Not triggered	Not triggered	
Condition 015	ML1625	Blast	Blasting Ground Vibration: The lease holder shall design all blasts on the basis that the ground vibration peak particle velocity generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or occupied premises as the case may be, unless determined otherwise by the department of environment and climate change. Blast Overpressure: The lease holder shall design blasts on the basis that the blast overpressure noise level generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or ccupied premises as the case may be, unless determined otherwise by the department of environment and climate change.	Blast Management Plan, Annual Review, Monthly Monitoring Reports, - website	Compliant	
Condition 015b	ML1625	Blast	Blasting Blast Overpressure: The lease holder shall design blasts on the basis that the blast overpressure noise level generated by any blasting within the subject area, shall not exceed the levels in or conditions of the EPA Licence for the mine, at any dwelling or ccupied premises as the case may be, unless determined otherwise by the department of environment and climate change.	Blast Management Plan, Annual Review, Monthly Monitoring Reports, - website	Compliant	
Condition 016	ML1625	Public Safety	Safety Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be notified in writing to the Department and filled in or otherwise rendered safe to a standard acceptable to the Director-General.	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 017	ML1625	Administration	Exploratory Drilling (a) At least twenty eight days prior to commencement of drilling operations the lease holder must notify the relevant Department of Climate Change and Environment regional hydrologist of the intention to drill exploratory drill holes together with information on the location of the proposed holes. (b) If the lease holder drills exploratory drill holes he must satisfy the Director-General that:- all cored holes are accurately surveyed and permanently marked in accordance with Departmental guidelines so that their location can be easily established; all holes cored or otherwise are sealed to prevent the collapse of the surrounding surface; all drill holes are permanently sealed with cement plugs to prevent surface discharge of groundwaters; if any drill hole meets natural or noxious gases it is plugged or sealed to prevent their escape; if any drill hole meets an artesian or sub-artesian flow it is effectively sealed to prevent contamination of aquifers. once any drill hole ceased to be used the hole must be sealed in accordance with Department guidelines. Alternatively, the hole must be sealed as instructed by the Director-General. once any drill hole ceases to be used the land and its immediate vicinity is left in a clean, tidy and stable condition.	Not triggered	Not triggered	
Condition 018	ML1625	Soil	Prevention of Soil Erosion and Pollution Operations must be carried out in a manner that does not cause or aggravate air pollution, water pollution (including sedimentation) or soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted. Mining Operations Plan. For the purpose of this condition, water shall be taken to include any watercourse, waterbody or groundwaters. The lease holder must observe and perform any instructions given by the Director-general in this regard.	Water Management Plan; monthly monitoring reports, Annual Reviews (website)	Compliant	
Condition 019	ML1625	Public Infrastructure & Utilities	Transmission Lines, Communication Lines and Pipelines Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions stipulated.	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 020	ML1625	Land Management	Fences and Gates (a) Activities on the lease must not interfere with or damage fences without the prior written approval of the owner thereof or the Minister and subject to any conditions the Minister may stipulate. (b) Gates within the lease area must be closed or left open in accordance with the requirements of the landholder.	Not triggered	Not triggered	
Condition 021	ML1625	Traffic & Transport	Roads and Tracks (a) Operations must not affect any road unless in accordance with any accepted Mining Operations Plan or with the prior written approval of the Director-general and subject to any conditions he may stipulate. (b) The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.	a) This lease area covers ancillary site for RUM (shaft site). All disturbance in accordance with MOP. No additional tracks, roads or disturbance during period. GDP register also uploaded as evidence. b) Not triggered	Compliant	
Condition 021b	ML1625	Traffic & Transport	Roads and Tracks The lease holder must pay to the designated authority in control of the road (generally local council of the Roads and Traffic Authority) the cost incurred in fixing any damage to roads caused by operations carried out under the lease, less any amount paid or payable from the Mine Subsidence Compensation Fund.	See condition 21 above. No disturbance carried out during period. No damage to roads. Not triggered.	Compliant	
Condition 022	ML1625	Traffic & Transport, Land Management	Roads and Tracks Access tracks must be kept to a minimum and be positioned so that they do not cause any unnecessary damage to the land. Temporary access tracks must be ripped, topsoiled and revegetated as soon as possible after they are no longer required for mining operations. The design and construction of access tracks must be in accordance with specifications fixed by the Department of Infrastructure, Planning and Natural Resources.	a) This lease area covers ancillary site for RUM (shaft site). All disturbance in accordance with MOP. See RUM MOP 2 and RUM MOP Plan 2A. No additional tracks, roads or disturbance during period. GDP register also uploaded as evidence.	Compliant	
Condition 023	ML1625		Trees and Timber (a) The lease holder must not fell trees, strip bark or cut timber on the lease without the consent of the landholder who is entitled to the use of the timber, or if such a landholder refuses consent or attaches unreasonable conditions to the consent, without the approval of a warden. (b) The lease holder must not cut destroy, ringbark or remove any timber or other vegetation cover on the lease area except such as directly obstructs or prevents the carrying on of operations. Any clearing not authorised under the Mining ACT 1992 must comply with the provisions of the Native Vegetation Act 1997. (c) The lease holder must obtain all necessary approvals or licences before using timber from any Crown land within the lease area.	Not triggered	Not triggered	
Condition 026	ML1625	Administration	Indemnity The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.	Not triggered	Not triggered	
Condition 027	ML1625	Administration	Security (a) The security in the sum of \$160,000 must be given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfillment by the lease holder of obligations under this lease. If the lease holder fails to fulfil any one or more of the obligations under this lease, then the security held may be applied at the discretion of the Minister towards the costs of fulfilling such obligations. For the purpose of this clause the lease holder shall be deemed to have failed to fulfil the obligations of the lease if the lease holder fails to comply with any condition or provision hereof, any provision of the Act or regulations made thereunder or any condition or direction imposed or given pursuant to a condition or provision hereof or of any provision of the Act or regulations made thereunder. (b) The leaseholder must provide the security required by sub clause (a) in one of the following forms; (i) Cash; (ii) Security Certificate in a form approved by the minister and by an authorised deposit taking institution.	Dept of Planning and Environment AUD2499999 (Resource Pacific) ML1625	Compliant	
Mining Act Condition 001	ML1625	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1625	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	3000 ML1625 ResourcePacific- Inv 2020 3000 ML1625 ResourcePacific- Remittance 2020 3000B 12.12.19 APPROVAL_ML1477_ML1625 (1) 3000B 13.12.18 PAYMENT_ML1625_ML1477 (1)	Compliant	
Mining Act Condition 003	ML1625	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	3000 ML1625 ResourcePacific- Inv 2020 3000 ML1625 ResourcePacific- Remittance 2020 3000B 12.12.19 APPROVAL_ML1477_ML1625 (1) 3000B 13.12.18 PAYMENT_ML1625_ML1477 (1)	Compliant	
Mining Act Condition 004	ML1625		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Applival_Suspension of Operations Instruments (1)	Compliant	

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Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1667	Property	<p>NOTICE TO LANDHOLDERS</p> <p>1. (a) Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.</p> <p>(b) If there are ten or more landholders affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1667	Reporting	<p>ENVIRONMENTAL HARM</p> <p>2. (a) The lease holder 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 any activities under this lease.</p> <p>(b) For the purposes of this condition:</p> <p>(i) environment means components of the earth, including:</p> <p>(A) land, air and water, and</p> <p>(B) any layer of the atmosphere, and</p> <p>(C) any organic or inorganic matter and any living organism, and</p> <p>(D) human-made or modified structures and areas,</p> <p>and includes interacting natural ecosystems that include components referred to in paragraphs(A)-(C).</p> <p>(ii) harm to the environment includes any direct or indirect alteration of the environment that has the effect of degrading the environment and, without limiting the generality of the above, includes any act or omission that results in pollution, contributes to the extinction or degradation of any threatened species, populations or ecological communities and their habitats and causes impacts to places, objects and features of significance to Aboriginal people.</p>	Not triggered	Not triggered	
Condition 003	ML1667	Mine Operations Plan	<p>MINING OPERATIONS PLAN</p> <p>3. (a) Mining operations must not be carried out otherwise than in accordance with a Mining Operations Plan (MOP) which has been approved by the Director-General.</p> <p>(b) The MOP must:</p> <p>(i) identify areas that will be disturbed by mining operations;</p> <p>(ii) detail the staging of specific mining operations;</p> <p>(iii) identify how the mine will be managed to allow mine closure;</p> <p>(iv) identify how mining operations will be carried out in order to prevent and or minimise harm to the environment;</p> <p>(v) reflect the conditions of approval under:</p> <p>the Environmental Planning and Assessment Act 1979</p> <p>the Protection of the Environment Operations Act 1997</p> <p>and any other approvals relevant to the development including the conditions of this lease; and</p> <p>have regard to any relevant guidelines adopted by the Director-General.</p> <p>(c) The leaseholder may apply to the Director-General to amend an approved MOP at anytime.</p> <p>(d) It is not a breach of this condition if:</p> <p>(i) the operations constituting the breach were necessary to comply with a lawful order or direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection of the Environment Operations Act 1997, Mine Health and Safety Act 2004, Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007, Coal Mine Health and Safety Regulation 2006 or the Occupational Health and Safety Act 2000; and</p> <p>(ii) the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out</p> <p>(e) A MOP ceases to have effect 7 years after date of approval or other such period as identified by the Director-General.</p>	MOP (website)	Compliant	
Condition 004	ML1667	Annual Report	<p>ENVIRONMENTAL MANAGEMENT REPORT</p> <p>4. (a) The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.</p> <p>(b) The EMR must:</p> <p>(i) report against compliance with the MOP;</p> <p>(ii) report on progress in respect of rehabilitation completion criteria;</p> <p>(iii) report on the extent of compliance with regulatory requirements; and</p> <p>(iv) have regard to any relevant guidelines adopted by the Director-General;</p>	Annual Review (website)	Compliant	
Condition 005	ML1667	Incident	<p>Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p> <p>Definitions</p> <p>Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997</p>	MOP (website)	Compliant	
Condition 006	ML1667	Reporting	<p>ADDITIONAL ENVIRONMENTAL REPORTS</p> <p>6. Additional environmental reports may be required from time to time as directed in writing by the Director-General and must be lodged as instructed.</p>	MOP (website)	Compliant	
Condition 007	ML1667	Land Management	<p>REHABILITATION</p> <p>7. Any disturbance as a result of activities under this lease must be rehabilitated to the satisfaction of the Director-General.</p>	Annual Review, MOP, not triggered however - no active rehab or disturb on this lease	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 008	ML1667	Subsidence	<p>(a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 011	ML1667	Administration	<p>SAFETY</p> <p>11. Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be notified in writing to the Department and filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 012	ML1667	Soil	<p>PREVENTION OF SOIL EROSION AND POLLUTION</p> <p>12. Prospecting operations must be carried out in a manner that does not cause or aggravate air pollution, water (including groundwater) pollution, soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan.</p>	Water Management Plan; monthly monitoring reports, Annual Reviews (website)	Compliant	
Condition 013	ML1667	Public Infrastructure & Utilities	<p>TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>13. Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions stipulated.</p>	Not triggered	Not triggered	
Condition 014	ML1667	Traffic & Transport	<p>ROADS AND TRACKS</p> <p>14. (a) The lease holder must pay to the relevant roads authority in control of the road or track the reasonable costs incurred by the roads authority in making good any damage to roads or tracks caused by operations carried out under this lease less any amount paid or payable from the Mine Subsidence Compensation Fund. (b) During wet weather the use of any road or track must be restricted so as to prevent damage to the road or track. (c) Existing access tracks should be used for all operations where reasonably practicable. New access tracks must be kept to a minimum and be positioned in order to minimise damage to the land, watercourses or vegetation. (d) Temporary access tracks must be rehabilitated and revegetated to the satisfaction of the Director-General as soon as reasonably practicable after they are no longer required under this lease.</p>	<p>Lease area covers RUM UG (AGL) accessed area.</p> <p>a) Not triggered. No additional disturbance during period. No damage to access roads or tracks.</p> <p>b) ROC Surface Transport MP. Restricts use of driving in adverse weather.</p> <p>c) All tracks in accordance with MOP for RO/C and RUM. Refer to MOP Plans attached. No new tracks developed during period.</p> <p>d) No new tracks developed. Not triggered.</p>	Compliant	
Condition 017	ML1667	Administration	<p>RESOURCE RECOVERY</p> <p>17. (a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, notice in writing to the lease holder may be given requiring the holder to recover such minerals. (b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery. (c) The lease holder must, when requested by the Director-General, provide such information as the Director-General may specify about the recovery of the mineral resources of the lease area.</p>	MOP (website)	Compliant	
Condition 018	ML1667	Administration	<p>INDEMNITY</p> <p>18. The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 023	ML1667	Administration	<p>SUSPENSION OF MINING OPERATIONS</p> <p>23. The holder of a mining lease may not suspend mining operations in the mining area other than in accordance with the consent of the Minister.</p>	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	
Condition 024	ML1667	Property	<p>COOPERATION AGREEMENT</p> <p>24. The lease holder must make every reasonable attempt, and be able to demonstrate their attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as:</p> <ul style="list-style-type: none"> • access arrangements • operational interaction procedures • dispute resolution • information exchange • well location • timing of drilling • potential resource extraction conflicts and • rehabilitation issues. <p>Note: Exploration Reports (Geological and Geophysical) The lease holder must lodge reports to the satisfaction of the Director-General in accordance with section 163C of the Mining Act 1992 and in accordance with clause 57 of the Mining Regulation 2010. Reports must be prepared in accordance with Exploration Reporting: A guide for reporting on exploration and prospecting in New South Wales (Department of Trade and Investment; Regional Infrastructure and Services 2010).</p>	<p>RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1) Approved MOP No overlapping non-Glencore tenements</p>	Compliant	

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Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Mining Act Condition 001	ML1667	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	ML1348_202006_A_01_Annual ML1348_201906_A_01_Annual ML1348_201806_A_01_Annual	Compliant	
Mining Act Condition 002	ML1667	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	1468 ML1667 Glencore Newpac - Inv 2020 1468 ML1667 Glencore Newpac - Inv 2018 1468 ML1667 Glencore Newpac - Remittance 2018 1468 ML1667 Glencore Newpac - Remittance 2019 1468 ML1667 Glencore Newpac - Remittance 2020 1468 ML1667 Glencore Newpac - Inv 2019	Compliant	
Mining Act Condition 003	ML1667	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	1468 ML1667 Glencore Newpac - Inv 2020 1468 ML1667 Glencore Newpac - Inv 2018 1468 ML1667 Glencore Newpac - Remittance 2018 1468 ML1667 Glencore Newpac - Remittance 2019 1468 ML1667 Glencore Newpac - Remittance 2020 1468 ML1667 Glencore Newpac - Inv 2019	Compliant	
Mining Act Condition 004	ML1667		Clause 7A of Schedule 1B of the Mining Act 1992 consents to the suspension of mining operations from 07 March 2019 to 12 July 2021.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1668	Property	<p>NOTICE TO LANDHOLDERS</p> <p>1. (a) Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.</p> <p>(b) If there are ten or more landholders affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1668	Reporting	<p>ENVIRONMENTAL HARM</p> <p>2. (a) The lease holder 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 any activities under this lease.</p> <p>(b) For the purposes of this condition:</p> <p>(i). environment means components of the earth, including:</p> <p>(A) land, air and water, and</p> <p>(B) any layer of the atmosphere, and</p> <p>(C) any organic or inorganic matter and any living organism, and</p> <p>(D) human-made or modified structures and areas, and includes interacting natural ecosystems that include components referred to in paragraphs (A)-(C).</p> <p>(ii) harm to the environment includes any direct or indirect alteration of the environment that has the effect of degrading the environment and, without limiting the generality of the above, includes any act or omission that results in pollution, contributes to the extinction or degradation of any threatened species, populations or ecological communities and their habitats and causes impacts to places, objects and features of significance to Aboriginal people.</p>	Not triggered	Not triggered	
Condition 005	ML1668	Incident	<p>Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p> <p>Definitions</p> <p>Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.</p>	Not triggered	Not triggered	
Condition 006	ML1668	Reporting	<p>ADDITIONAL ENVIRONMENTAL REPORTS</p> <p>6. Additional environmental reports may be required from time to time as directed in writing by the Director-General and must be lodged as instructed.</p>	Not triggered	Not triggered	
Condition 007	ML1668	Land Management	<p>REHABILITATION</p> <p>7. Any disturbance as a result of activities under this lease must be rehabilitated to the satisfaction of the Director-General.</p>	Not triggered - related to RUM	Not triggered	
Condition 008	ML1668	Subsidence	<p>(a) In this condition:</p> <p>(i) approved Extraction Plan means being a plan, being:</p> <p>an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or</p> <p>a subsidence management plan relating to the mining operations subject to this lease:</p> <p>submitted to the Secretary on or before 31 December 2014; and</p> <p>approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease.</p> <p>(b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan.</p> <p>(c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease.</p> <p>(d) The lease holder must notify the Secretary within 48 hours of any:</p> <p>(i) incident caused by subsidence which has a potential to expose any person to health and safety risks;</p> <p>(ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or</p> <p>(iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing:</p> <p>built features;</p> <p>public safety; or</p> <p>subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 013	ML1668	Public Infrastructure & Utilities	<p>TRANSMISSION LINES, COMMUNICATION LINES AND PIPELINES</p> <p>13. Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions stipulated.</p>	Not triggered	Not triggered	
Condition 018	ML1668	Administration	<p>INDEMNITY</p> <p>18. The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 022	ML1668	Dams	<p>PRESCRIBED DAM</p> <p>22. (a) Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth Inpit Storage Dam and the Ravensworth Void 4 East Saddle Dam without the prior written approval of the Minister and subject to any conditions stipulated.</p> <p>(b) Where the lease holder desires to mine within the notification area he or she must:</p> <p>(i) at least twelve (12) months before mining is to commence or such lesser time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and</p> <p>(ii) provide such information as the Minister may direct.</p> <p>(c)The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraphis complied with if:</p> <p>(i) the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b).</p> <p>(ii) the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined.</p> <p>(iii) the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further information in connection with the mining proposal.</p> <p>(iv)the Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and</p> <p>(v) where the Dams Safety Committee has made recommendations the approval is in terms that are:</p> <p>- in accordance with those recommendations;</p> <p>- or where the Minister does not accept those recommendations or any of themin accordance with a determination under sub- paragraph (ii) of this paragraph.</p> <p>(vi) Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam:</p> <p>- as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978;</p> <p>- or in the event of failure to reach such agreementas determined by the Premier.</p> <p>(d)The Minister, on notice from the Dams Safety Committee, may at any time or times:</p> <p>(i) cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given</p> <p>(ii)suspend for a period of time, alter, omit from or add to any approval given or conditions imposed.</p>	<p>Not triggered. No mining in area during period.</p>	<p>Not triggered</p>	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1669	Property	<p>1. Notice to Landholders</p> <p>a) Within a period of three months from the date of grant/renewal of this lease or within such further time as the Minister may allow, the lease holder must serve on each landholder of the land a notice in writing indicating that this lease has been granted/renewed and whether the lease includes the surface. An adequate plan and description of the lease area must accompany the notice.</p> <p>b) If there are ten or more landholders affected, the lease holder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this lease has been granted/renewed; state whether the lease includes the surface and must contain an adequate plan and description of the lease area.</p>	Not triggered	Not triggered	
Condition 002	ML1669	Reporting	<p>2. Environmental Harm</p> <p>a) The lease holder 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 any activities under this lease.</p> <p>b) For the purpose of this condition:</p> <p>Environment means components of the earth, including:</p> <p>land, air and water, and any layer of the atmosphere, and any organic or inorganic matter and any living organisms, and human-made or modified structures and areas and includes interacting natural ecosystems that include components referred to above.</p> <p>Harm to the environment includes any direct or indirect alteration of the environment that has the effect of degrading the environment and, without limiting the generality of the above, includes any act or omission that results in pollution, contributes to the extinction or degradation of any threatened species, populations or ecological communities and their habitats and causes impacts to places, objects and features of significant to Aboriginal people.</p>	Not triggered	Not triggered	
Condition 003	ML1669	Mine Operations Plan	<p>3. Mining Operations Plan</p> <p>a) Mining operations must not be carried out otherwise than in accordance with a Mining Operations Plan (MOP) which has been approved by the Director-General.</p> <p>b) The MOP must:</p> <p>identify areas that will be disturbed by mining operations; detail the staging of specific mining operations; identify how the mine will be managed to allow mine closure; identify how mining operations will be carried out in order to prevent minimise harm to the environment; reflect the conditions of approval under:</p> <p>the Environmental Planning and Assessment Act 1979 the Protection of the Environment Operations Act 1997;</p> <p>and any other approvals relevant to the development including the conditions of this lease;</p> <p>and have regard to any relevant guidelines adopted by the Director-General.</p> <p>c) The leaseholder may apply to the Director-General to amend an approved MOP at any time.</p> <p>d) It is not a breach of this condition if:</p> <p>the operations constituting the breach were necessary to comply with a lawful order or direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection of the Environment Operations Act 1997, Mine Health and Safety Act 2004 / Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007 / Coal Mine Health and Safety Regulation 2006 or the Occupational Health and Safety Act 2000, and the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out.</p> <p>e) A MOP ceases to have effect 7 years after date of approval or other such period as identified by the Director-General.</p>	MOP (website)	Compliant	
Condition 004	ML1669	Annual Report	<p>4. Environment Management Report</p> <p>a) The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.</p> <p>b) The EMR must:</p> <p>report against compliance with the MOP; report on progress in respect of rehabilitation completion criteria; report on the extent of compliance with regulatory requirements; and have regard to any relevant guidelines adopted by the Director-General</p>	Annual Review (website)	Compliant	
Condition 005	ML1669	Reporting	<p>Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p> <p>Definitions</p> <p>Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.</p>	Not triggered	Not triggered	
Condition 006	ML1669	Reporting	<p>6. Additional Environmental Reports</p> <p>Additional environmental reports may be required from time to time as directed in writing by the Director-General and must be lodged as instructed.</p>	Not triggered	Not triggered	
Condition 007	ML1669		<p>7. Rehabilitation</p> <p>Any disturbance as a result of activities under this lease must be rehabilitated to the satisfaction of the Director-General.</p>	DOC18 742576 s240(1c) Direction - Cumnock Rehab October 2018 (1) ML 1669 MA s240 June 2019 EAMS generic LETT0005062	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 008	ML1669	Subsidence	<p>(a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 010	ML1669	Blast	<p>10. Blasting a) Ground Vibration The lease holder must ensure that the ground vibration peak particle velocity generated by any blasting within the lease area does not exceed 10 mm/second and does not exceed 5 mm/second in more than 5% of the total number of blasts over a period of 12 months at any dwelling or occupied premises as the case may be, unless determined otherwise by the OEH. b) Blast Overpressure The lease holder must ensure that the blast overpressure noise level generated by any blasting within the lease area does not exceed 120 dB (linear) and does not exceed 115 dB (linear) in more than 5% of the total number of blasts over a period of 12 months, at any dwelling or occupied premises, as the case may be, unless determined otherwise by the OEH.</p>	Blast Management Plan, Annual Review, Monthly Monitoring Reports, - website	Compliant	
Condition 011	ML1669	Administration, Public Safety	<p>11. Safety Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director - General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be notified in writing to the Department and filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 012	ML1669	Erosion & Sediment Control, Reporting	<p>12. Prevention of Soil Erosion and Pollution Prospecting operations must be carried out in a manner that does not cause or aggravate air pollution, water (including groundwater) pollution, soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan.</p>	Water Management Plan, Annual Review, Monthly Monitoring Reports, website - Nil NC	Compliant	
Condition 013	ML1669	Public Infrastructure & Utilities	<p>13. Transmission lines, Communication lines and Pipelines Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions stipulated.</p>	Not triggered	Not triggered	
Condition 014	ML1669	Traffic & Transport	<p>14. Roads & Tracks a) The lease holder must pay to the relevant roads authority in control of the road or track the reasonable costs incurred by the roads authority in, making good any damage to roads or tracks caused by operations carried out under this lease less any amount paid or payable from the Mine Subsidence Compensation Fund. b) During wet weather the use of any road or track must be restricted so as to prevent damage to the road or track. c) Existing access tracks should be used for all operations where reasonably practicable. New access tracks must be kept to a minimum and be positioned in order to minimise damage to the land, watercourses or vegetation. d) Temporary access tracks must be rehabilitated and revegetated to the satisfaction of the Director-General as soon as reasonably practicable after they are no longer required under this lease.</p>	<p>Lease area covers part of RUM. a) Not triggered. No additional disturbance during period. No damage to access roads or tracks. b) ROC Surface Transport MP. Restricts use of driving in adverse weather. c) All tracks in accordance with MOP for ROJC and RUM. Refer to MOP Plans attached. No new tracks developed during period. d) No new tracks developed. Not triggered.</p>	Compliant	
Condition 015	ML1669	Flora, Fauna	<p>15. Trees and Vegetation a) The lease holder must not fell trees, strip bark or cut timber on any land subject of this lease without the consent of the landholder who is entitled to the use of the timber. b) The lease holder must contact Forests NSW and obtain any required permit, licence or approval before taking timber from any Crown land within the lease area. Note: Any clearing not authorised under the Act must comply with the requirements of the Native Vegetation Act 2003. Any clearing or taking of timber on Crown Land is subject to the requirements of the Forestry Act 1916.</p>	a) Not triggered. No additional disturbance during period. No damage to access roads or tracks.	Not triggered	
Condition 017	ML1669	Administration	<p>17. Resource Recovery a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, notice in writing to the lease holder may be given requiring the holder to recover such Minerals. b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery. c) The lease holder must, when requested by the Director-General, provide such information as the Director-General may specify about the recovery of the mineral resources of the lease area.</p>	b) ROC Surface Transport MP. Restricts use of driving in adverse weather.	Compliant	
Condition 018	ML1669	Administration	<p>18. Indemnity If the lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that, all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 021	ML1669	Security Deposit	<p>21. Single Security (extended) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of obligations under Coal Lease No.378 (Act 1973), Mining Purposes Lease No.311 (Act 1973), Mining Lease No's 1325, 1327, 1373, 1393, 1421, 1502, 1526 and 1640 (Act 1992) are extended to apply to this lease.</p>	List of ROC Guarantees	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 022	ML1669	Dams	22. Prescribed Dam a) Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Liddell Cooling Water Dam without the prior written approval of the Minister and subject to any conditions stipulated. b)Where the lease holder desires to mine within the notification area he or she must: i) atleast twelve (12) months before mining is to commence or such lessertime as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and ii) provide such information as the Minister may direct. c)The Minister must not, except in the circumstances set out in sub-paragraph (ii),grant approval unless sub-paragraph (i) of this paragraph has been complied with.This sub-paragraph is complied with if: (i) the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b). (ii) the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined. (iii) the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further (iv) The Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and v) where the Dams Safety Committee has made recommendations theapproval is in terms that are: - in accordance with those recommendations; or - where the Minister does not accept those recommendations orany of them - in accordance with a determination under sub-paragraph (ii) of this paragraph. (vi) Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: - as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or - in the event of failure to reach such agreement - as determined by the Premier. d)The Minister, on notice from the Dams Safety Committee, may at any time or times: (i) cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given. (ii) suspend for a period of time, alter, omit from or add to any approval	No mining occurred in area. None during reporting period. OB dumping only. Not triggered	Compliant	
Condition 023	ML1669	Administration	23. Suspension of Mining Operations The holder of a mining lease may not suspend mining operations in the mining area other than in accordance with the consent of the Minister.	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	
Condition 024	ML1669	Administration	24. Cooperation Agreement The lease holder must make every reasonable attempt, and be able to demonstrate their attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as: access arrangements operational interaction procedures dispute resolution information exchange well location timing of drilling potential resource extraction conflicts and rehabilitation issues.	RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1) Approved MOP No overlapping non-Glencore tenements	Compliant	
Mining Act Condition 001	ML1669	Annual Report	Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 2928 of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period.Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.	CL0378_202010_A_01_Annual CL378_Reporting_Index_201911_A_01_R EPORT	Compliant	
Mining Act Condition 002	ML1669	Annual Rental Fee	Mining Act 1992 Division 3 Annual Rental FeeSection 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations.Mining Regulation 2016 Schedule 9 FeesMining Leases27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m	28008 12.03.20 APPROVAL_ML1683 ML1576 ML1669 2020 (1) 28008 14.03.19 Approval_ML1683 ML1669 ML1576 2019 (1)28008 14.03.18 APPROVAL_ML1683 ML1669 ML1576 2018 (1)	Compliant	
Mining Act Condition 003	ML1669	Annual Administrative Levy	Mining Act 1992 Division 4 Administrative LevySection 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable.Mining Act 1992 Division 4 Administrative LevySection 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.	28008 12.03.20 APPROVAL_ML1683 ML1576 ML1669 2020 (1) 28008 14.03.19 Approval_ML1683 ML1669 ML1576 2019 (1)28008 14.03.18 APPROVAL_ML1683 ML1669 ML1576 2018 (1)	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 001	ML1683	Property	<p>1. Notice to Landholders</p> <p>(a) Within a period of three months from the date of grant/renewal of this mining lease, the lease holder must serve on each landholder a notice in writing indicating that this mining lease has been granted/renewed and whether the lease includes the surface. A plan identifying each landholder and individual land parcel subject to the lease area, and a description of the lease area must accompany the notice.</p> <p>(b) If there are ten or more landholders, the leaseholder may serve the notice by publication in a newspaper circulating in the region where the lease area is situated. The notice must indicate that this mining lease has been granted/renewed; state whether the lease includes the surface and must contain a plan and description of the lease area. If a notice is made under condition 1(b), compliance with condition 1(a) is not required.</p>	Not triggered	Not triggered	
Condition 002	ML1683	Reporting	<p>2. Environmental Harm</p> <p>(a) The lease holder 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 any activities under this lease.</p> <p>(b) For the purpose of this condition:</p> <p>(i) Environment means components of the earth, including:</p> <p>land, air and water, and any layer of the atmosphere, and any organic or inorganic matter and any living organisms, and human-made or modified structures and areas and includes interacting natural ecosystems that include components referred to above.</p> <p>(ii) Harm to the environment includes any direct or indirect alteration of the environment that has the effect of degrading the environment and, without limiting the generality of the above, includes any act or omission that results in pollution, contributes to the extinction or degradation of any threatened species, populations or ecological communities and their habitats and causes impacts to places, objects and features of significant to Aboriginal people.</p>	Not triggered	Not triggered	
Condition 003	ML1683	Mine Operations Plan	<p>3. Mining Operations Plan</p> <p>(a) Mining operations must not be carried out otherwise than in accordance with a Mining Operations Plan (MOP) which has been approved by the Director-General. (b) The MOP must:</p> <p>identify areas that will be disturbed by mining operations; detail the staging of specific mining operations; identify how the mine will be managed to allow mine closure; identify how mining operations will be carried out in order to prevent minimise harm to the environment; reflect the conditions of approval under:</p> <p>the Environmental Planning and Assessment Act 1979 the Protection of the Environment Operations Act 1997; and any other approvals relevant to the development including the conditions of this lease; and have regard to any relevant guidelines adopted by the Director-General.</p> <p>(c) The leaseholder may apply to the Director-General to amend an approved MOP at any time.</p> <p>(d) It is not a breach of this condition if:</p> <p>the operations constituting the breach were necessary to comply with a lawful order or direction given under the Mining Act 1992, the Environmental Planning and Assessment Act 1979, Protection of the Environment Operations Act 1997, Mine Health and Safety Act 2004 / Coal Mine Health and Safety Act 2002 and Mine Health and Safety Regulation 2007 / Coal Mine Health and Safety Regulation 2006 or the Occupational Health and Safety Act 2000, and the Director-General had been notified in writing of the terms of the order or direction prior to the operations constituting the breach being carried out.</p> <p>(e) A MOP ceases to have effect 7 years after date of approval or other such period as identified by the Director-General.</p>	MOP (website)	Compliant	
Condition 004	ML1683	Annual Report	<p>4. Environment Management Report</p> <p>(a) The lease holder must lodge Environmental Management Reports (EMR) with the Director-General annually or at dates otherwise directed by the Director-General.</p> <p>(b) The EMR must:</p> <p>report against compliance with the MOP; report on progress in respect of rehabilitation completion criteria; report on the extent of compliance with regulatory requirements; and have regard to any relevant guidelines adopted by the Director-General</p>	Annual Review	Compliant	
Condition 005	ML1683	Reporting	<p>Environmental Incident Report</p> <p>The lease holder must provide environmental incident notifications and reports to the Secretary no later than seven (7) days after those environmental incident notifications and reports are provided to the relevant authorities under the Protection of the Environment Operations Act 1997.</p> <p>Definitions</p> <p>Environmental incident notifications and reports means any notifications and reports required to be provided to relevant authorities under Part 5.7 or Part 5.7A of the Protection of the Environment Operations Act 1997.</p>	Not triggered	Not triggered	
Condition 006	ML1683	Reporting	<p>6. Additional Environmental Reports</p> <p>Additional environmental reports may be required from time to time as directed in writing by the Director-General and must be lodged as instructed.</p>	Not triggered	Not triggered	
Condition 007	ML1683	Rehabilitation	<p>7. Rehabilitation</p> <p>Any disturbance as a result of activities under this lease must be rehabilitated to the satisfaction of the Director-General.</p>	DOC18 742576 s240(1c) Direction - Cummoock Rehab October 2018 (1) MOP - website	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 008	ML1683	Subsidence	<p>(a) In this condition: (i) approved Extraction Plan means being a plan, being: an extraction plan or subsidence management plan approved in accordance with the conditions of a relevant development consent and provided to the Secretary; or a subsidence management plan relating to the mining operations subject to this lease: submitted to the Secretary on or before 31 December 2014; and approved by the Secretary.</p> <p>(ii) relevant development consent means a development consent or project approval issued under the Environmental Planning and Assessment Act 1979 relating to the mining operations subject to this lease. (b) The lease holder must not undertake any underground mining operations that may cause subsidence except in accordance with an approved Extraction Plan. (c) The lease holder must ensure that the approved Extraction plan provides for the effective management of risks associated with any subsidence resulting from mining operations carried out under this lease. (d) The lease holder must notify the Secretary within 48 hours of any: (i) incident caused by subsidence which has a potential to expose any person to health and safety risks; (ii) significant deviation from the predicted nature, magnitude, distribution, timing and duration of subsidence effects, and of the potential impacts and consequences of those deviations on built features and the health and safety of any person; or (iii) significant failure or malfunction of a monitoring device or risk control measure set out in the approved Extraction plan addressing: built features; public safety; or subsidence monitoring.</p>	Not triggered	Not triggered	
Condition 010	ML1683	Blast	<p>10. Blasting (a) Ground Vibration The lease holder must ensure that the ground vibration peak particle velocity generated by any blasting within the lease area does not exceed 10 mm/second and does not exceed 5 mm/second in more than 5% of the total number of blasts over a period of 12 months at any dwelling or occupied premises as the case may be, unless determined otherwise by the Department of Environment, Climate Change and Water. (b) Blast Overpressure The lease holder must ensure that the blast overpressure noise level generated by any blasting within the lease area does not exceed 120 dB (linear) and does not exceed 115 dB (linear) in more than 5% of the total number of blasts over a period of 12 months, at any dwelling or occupied premises, as the case may be, unless determined otherwise by the Department of Environment, Climate Change and Water.</p>	Blast Management Plan, Annual Review, Monthly Monitoring Reports, - website	Compliant	
Condition 011	ML1683	Administration, Public Safety	<p>11. Safety Operations must be carried out in a manner that ensures the safety of persons or stock in the vicinity of the operations. All drill holes shafts and excavations must be appropriately protected, to the satisfaction of the Director-General, to ensure that access to them by persons and stock is restricted. Abandoned shafts and excavations opened up or used by the lease holder must be notified in writing to the Department and filled in or otherwise rendered safe to a standard acceptable to the Director-General.</p>	Site Safety Management System, Inspections, Cameras, Security, inductions	Compliant	
Condition 012	ML1683	Reporting	<p>12. Prevention of Soil Erosion and Pollution Prospecting operations must be carried out in a manner that does not cause or aggravate air pollution, water (including groundwater) pollution, soil contamination or erosion, unless otherwise authorised by a relevant approval, and in accordance with an accepted Mining Operations Plan.</p>	Water Management Plan, Annual Review, Monthly Monitoring Reports, Nil NC for period	Compliant	
Condition 013	ML1683	Public Infrastructure & Utilities	<p>13. Transmission lines, Communication lines and Pipelines Operations must not interfere with or impair the stability or efficiency of any transmission line, communication line, pipeline or any other utility on the lease area without the prior written approval of the Director-General and subject to any conditions stipulated.</p>	Not triggered	Not triggered	
Condition 014	ML1683	Traffic & Transport	<p>14. Roads and Tracks (a) The lease holder must pay to the relevant roads authority in control of the road or track the reasonable costs incurred by the roads authority in, making good any damage to roads or tracks caused by operations carried out under this lease less any amount paid or payable from the Mine Subsidence Compensation Fund. (b) During wet weather the use of any road or track must be restricted so as to prevent damage to the road or track. (c) Existing access tracks should be used for all operations where reasonably practicable. New access tracks must be kept to a minimum and be positioned in order to minimise damage to the land, watercourses or vegetation. (d) Temporary access tracks must be rehabilitated and revegetated to the satisfaction of the Director-General as soon as reasonably practicable after they are no longer required under this lease.</p>	<p>a) Not triggered. No additional disturbance during period. No damage to access roads or tracks. b) ROC Surface Transport MP. Restricts use of driving in adverse weather. c) All tracks n accordance with MOP for ROJC and RUM. Refer to MOP Plans attached. No new tracks developed during period. d) No new tracks developed. Not triggered.</p>	Compliant	
Condition 015	ML1683	Land Management	<p>15. Trees and Vegetation (a) The lease holder must not fell trees, strip bark or cut timber on any land subject of this lease without the consent of the landholder who is entitled to the use of the timber. (b) The lease holder must contact Forests NSW and obtain any required permit, licence or approval before taking timber from any Crown land within the lease area. Note: Any clearing not authorised under the Act must comply with the requirements of the Native Vegetation Act 2003. Any clearing or taking of timber on Crown Land is subject to the requirements of the Forestry Act 1916.</p>	Not triggered	Not triggered	
Condition 017	ML1683	Administration	<p>17. Resource Recovery (a) Notwithstanding any description of mining methods and their sequence or of proposed resource recovery contained within the Mining Operations Plan, if at any time the Director-General is of the opinion that minerals which the lease entitles the lease holder to mine and which are economically recoverable at the time are not being recovered from the lease area, or that any such minerals which are being recovered are not being recovered to the extent which should be economically possible or which for environmental reasons are necessary to be recovered, notice in writing to the lease holder may be given requiring the holder to recover such Minerals. (b) The notice shall specify the minerals to be recovered and the extent to which they are to be recovered, or the objectives in regard to resource recovery, but shall not specify the processes the lease holder shall use to achieve the specified recovery. (c) The lease holder must, when requested by the Director-General, provide such information as the Director-General may specify about the recovery of the mineral resources of the lease area.</p>	MOP (website)	Compliant	
Condition 018	ML1683	Administration	<p>18. Indemnity The lease holder must indemnify and keep indemnified the Crown from and against all actions, suits, claims and demands of whatsoever nature and all costs, charges and expenses which may be brought against the lease holder or which the lease holder may incur in respect of any accident or injury to any person or property which may arise out of the construction, maintenance or working of any workings now existing or to be made by the lease holder within the lease area or in connection with any of the operations notwithstanding that all other conditions of this lease shall in all respects have been observed by the lease holder or that any such accident or injury shall arise from any act or thing which the lease holder may be licensed or compelled to do.</p>	Not triggered	Not triggered	
Condition 021	ML1683	Security Deposit	<p>21. Single Security (Extended) The single security given and maintained with the Minister by the lease holder for the purpose of ensuring the fulfilment by the lease holder of obligations under Coal Lease No.378 (Act 1973), Mining Lease No's 1325, 1327, 1393, 1502, 1526 and 1669 (Act 1992) is extended to apply to this lease.</p>	List of ROC Guarantees	Compliant	

MINING LEASE - CHECKLISTS

Reference	Mining Lease	Topic	Description	Comments and Evidence	Audit Findings	Recommendations
Condition 022	ML1683	Dams	<p>22. Prescribed Dam</p> <p>(a) Notwithstanding any Mining Operations Plan, the lease holder must not mine within any part of the lease area which is within the notification area of the Ravensworth South Tailings Dam and the Ravensworth Void 3 Dam without the prior written approval of the Minister and subject to any conditions stipulated.</p> <p>(b) Where the lease holder desires to mine within the notification area he or she must:</p> <p>at least twelve (12) months before mining is to commence or such less time as the Minister may permit, notify the Minister of the desire to do so. A plan of the mining system to be implemented must accompany the notice; and provide such information as the Minister may direct.</p> <p>(c) The Minister must not, except in the circumstances set out in sub-paragraph (ii), grant approval unless sub-paragraph (i) of this paragraph has been complied with. This sub-paragraph is complied with if:</p> <p>the Dams Safety Committee as constituted by Section 7 of the Dams Safety Act 1978 and the owner of the dam have been notified in writing of the desire to mine referred to in paragraph (b).</p> <p>the notifications referred to in clause (a) are accompanied by a description or plan of the area to be mined.</p> <p>the Director-General has complied with any reasonable request made by the Dams Safety Committee or the owner of the dam for further</p> <p>The Dams Safety Committee has made its recommendations concerning the mining proposal or has informed the Minister in writing that it does not propose to make any such recommendations; and</p> <p>where the Dams Safety Committee has made recommendations the approval is in terms that are:- in accordance with those recommendations; or- where the Minister does not accept those recommendations or any of them - in accordance with a determination under sub-paragraph (ii) of this paragraph.</p> <p>Where the Minister does not accept the recommendations of the Dams Safety Committee or where the Dams Safety Committee has failed to make any recommendations and has not informed the Minister in writing that it does not propose to make any recommendations, the approval shall be in terms that are, in relation to matters dealing with the safety of the dam: - as determined by agreement between the Minister and the Minister administering the Dams Safety Act 1978; or - in the event of failure to reach such agreement - as determined by the Premier.</p> <p>(d) The Minister, on notice from the Dams Safety Committee, may at any time or times:</p> <p>cancel any approval given where a notice pursuant to Section 18 of the Dams Safety Act 1978 is given.</p> <p>suspend for a period of time, alter, omit from or add to any approval</p>	Not triggered. No mining in area during period.	Not triggered	
Condition 023	ML1683	Administration	<p>23. Suspension of Mining Operations</p> <p>The holder of a mining lease may not suspend mining operations in the mining area other than in accordance with the consent of the Minister.</p>	RUM_Approval_Suspension of Operations Instruments (1)	Compliant	
Condition 024	ML1683	Administration	<p>24. Cooperation Agreement</p> <p>The lease holder must make every reasonable attempt, and be able to demonstrate their attempts, to enter into a cooperation agreement with the holder(s) of any overlapping title(s). The cooperation agreement should address but not be limited to issues such as:</p> <p>access arrangements</p> <p>operational interaction procedures</p> <p>dispute resolution</p> <p>information exchange</p> <p>well location</p> <p>timing of drilling</p> <p>potential resource extraction conflicts and</p> <p>rehabilitation issues.</p>	<p>RAVENSWORTH_COMPLEX_LEASES_2021 0302 (1)</p> <p>Approved MOP</p> <p>No overlapping non-Glencore tenements</p>	Compliant	
Mining Act Condition 001	ML1683	Annual Report	<p>Mining Regulation 2016 Part 5 Clause 59 (Former clause 57 of 2010 Reg)(2) An annual report must be lodged within 1 calendar month of the grant anniversary date (within the meaning of section 292B of the Act) or such other date notified by the Secretary in writing, regardless of whether an application to renew the authority area has been lodged and not yet determined.(3) An annual report must contain the following: (a) full particulars of all surveys and other operations or activities, including details of expenditure on operations carried out by or on behalf of the holder of the authority during the preceding 12-month period within which the authority had effect, (b) the results and conclusions of such surveys and any other operations, (c) the operations proposed to be conducted during the next 12-month period. Mining Act 1992 Section 163C Reports(4) If there is an inconsistency between a condition of an authorisation and a reporting requirement imposed under this section, the condition prevails to the extent of the inconsistency.</p>	<p>CL0378_202010_A_01_Annual</p> <p>CL378_Reporting_Index_201911_A_01_R</p> <p>EP0RT</p>	Compliant	
Mining Act Condition 002	ML1683	Annual Rental Fee	<p>Mining Act 1992 Division 3 Annual Rental Fee Section 292E Liability for annual rental fee(1) Liability for an annual rental fee arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of the authorisation.(2) An annual rental fee for which liability arises on the grant of an authorisation must be paid, in advance, before the authorisation is granted.(5) An annual rental fee for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable. Section 292F Amount of annual rental fee(1) The amount of the annual rental fee is the amount provided for by, or calculated in accordance with, the regulations. Mining Regulation 2016 Schedule 9 Fees Mining Leases 27 Annual rental fee (section 292F of the Act) \$6.50 per ha or \$650 per sq km or \$0.00065 per sq m</p>	<p>2800B 12.03.20 APPROVAL_ML1683</p> <p>ML1576 ML1669 2020 (1)</p> <p>2800B 14.03.19 Approval_ML1683</p> <p>ML1669 ML1576 2019 (1)</p> <p>2800B 14.03.18 APPROVAL_ML1683</p> <p>ML1669 ML1576 2018 (1)</p>	Compliant	
Mining Act Condition 003	ML1683	Annual Administrative Levy	<p>Mining Act 1992 Division 4 Administrative Levy Section 292I Liability for annual administrative levy(1) The administrative levy payable under this Part for an authorisation (other than a small-scale title) is an annual administrative levy.(2) Liability for an annual administrative levy arises on the grant of an authorisation and on each grant anniversary date that occurs during the term of an authorisation.(6) An annual administrative levy for which liability arises on a grant anniversary date must be paid within the period (of not less than 7 days) specified by the Secretary by notice in writing served on a person liable. Mining Act 1992 Division 4 Administrative Levy Section 292K Amount of annual administrative levy(1) The amount of an annual administrative levy is one percent of the security deposit amount.(3) If a single security deposit is required to be provided and maintained in respect of more than one authorisation, the amount of the annual administrative levy is: (a) one percent of the relevant proportion of the security deposit amount, or (b) one percent of the minimum deposit for the authorisation at the date liability arises, whichever is the greater.(4) The relevant proportion is the proportion that one bears to the number of authorisations for which the security deposit is required to be provided and maintained.</p>	<p>2800B 12.03.20 APPROVAL_ML1683</p> <p>ML1576 ML1669 2020 (1)</p> <p>2800B 14.03.19 Approval_ML1683</p> <p>ML1669 ML1576 2019 (1)</p> <p>2800B 14.03.18 APPROVAL_ML1683</p> <p>ML1669 ML1576 2018 (1)</p>	Compliant	

Appendix C

Consultation Summary

Ian Richardson
General Manager – Newcastle – P&E
RPS Australia East Pty Ltd

Sent by email only: ian.richardson@rpsgroup.com.au

01/06/2021

Dear Mr Richardson

**Ravensthorpe Coal (MP09_0176 and DA 104/96)
Independent Environmental Audit 2021 consultation**

I refer to your request for comment from the Department of Planning, Industry and Environment (the Department) on key issues for the Ravensthorpe Complex relevant to the Independent Environmental Audit (IEA), as required by Schedule 5 condition 8 of MP09_0176 and Schedule 4 condition 7 of DA 104/96 (the approvals).

The Department requests that that IEA include an assessment of the following aspects of the development –

- Air quality management including but not limited to responses to air quality triggers, notification of incidents, and performance against criteria and over time.
- Noise management and performance assessment.
- Blast management including control and minimisation of dust, vibration and overpressure.
- Management of biodiversity offset areas, such as active revegetation and control of pests and weeds.
- Rehabilitation monitoring and maintenance including erosion control and revegetation.
- Community engagement including response to complaints and operation of the Community Consultative Committee.

If you wish to discuss this matter, please Jennifer Sage, Compliance Officer on 0400 245 170 or jennifer.sage@dpie.nsw.gov.au.

Yours sincerely



Heidi Watters
Team Leader Northern
Compliance

As nominee of the Planning Secretary

Sam Mitchell

From: Hannah Schuchmann <Hannah.Schuchmann@epa.nsw.gov.au>
Sent: Tuesday, 1 June 2021 3:51 PM
To: Sam Mitchell; Ian Richardson
Subject: RE: Ravensworth Complex - Request for Consultation as part of an Independent Environmental Audit - Project Approval 09_0176 and Development Consent 104/96

CAUTION: This email originated from outside of RPS.

Hi Sam and Ian,

Apologies I was not able to get this to you by the requested 28 May 2021 date.

I acknowledge your request for formal consultation with the EPA in undertaking the Independent Environmental Audit for Ravensworth Complex as required by Condition 8, Schedule 5 of Project Approval 09_0176 and Condition 7, Schedule 4 of Development Consent 104/96.

I have reviewed the EPA compliance history for Ravensworth Operations who are issued Environment Protection Licence 2652 (the Licence) and advise there are no major issues noted with environmental compliance, environmental performance or complaints associated with the Licence.

The full compliance history for Ravensworth Operations, including applications, notices, pollution studies and reduction programs and annual returns can be viewed and accessed on the EPA's Public Register here [Ravensworth Operations Licence Summary](#).

Please contact me on 0419 905 137 if you require anything further.

Kind regards,

Hannah Schuchmann

Operations Officer

Regulatory Operations – Metropolitan North

NSW Environment Protection Authority

D 02 4908 6893 **M** 0419 905 137

hannah.schuchmann@epa.nsw.gov.au www.epa.nsw.gov.au [@EPA_NSW](#)



The EPA acknowledges the traditional custodians of the land and waters where we work. As part of the world's oldest surviving culture, we pay our respect to Aboriginal elders past, present and emerging.

Report pollution and environmental incidents to 131 555 or 02 9995 5555

From: Sam Mitchell <Sam.Mitchell@rpsgroup.com.au>
Sent: Friday, 14 May 2021 10:01 AM
To: EPA RSD Hunter Region Mailbox <hunter.region@epa.nsw.gov.au>; INFOEnvironment <info@environment.nsw.gov.au>

Cc: Ian Richardson <Ian.Richardson@rpsgroup.com.au>

Subject: RE: Ravensworth Complex - Request for Consultation as part of an Independent Environmental Audit - Project Approval 09_0176 and Development Consent 104/96

Dear Sir/Madam,

RPS Australia East Pty Ltd (RPS) have been engaged to undertake the Independent Environmental Audit (IEA) of Ravensworth Complex. The operations relate to Project Approval 09_0176 and Development Consent 104/96. The Department of Planning, Industry, and Environment (DPIE) approved RPS as the independent auditor on 30 March 2021 (refer attached).

As per Condition 8, Schedule 5 of Project Approval 09_0176, and Condition 7, Schedule 4 of Development Consent 104/96 as modified (refer attached), the audit is required to include consultation with relevant agencies to obtain their feedback and draw the auditor's attention to any key issues, within the agreed scope of the audit.

RPS are formally contacting the NSW EPA to request consultation. Could you please provide comment on the Ravensworth Complex that is relevant to the audit. This could include any compliance issues; environmental performance issues, complaints received, or any matter considered appropriate.

We would appreciate comment by **28 May 2021** if possible, to enable us to consider this as part of the audit site inspection.

Thank you for your time and attention to this. Should you wish to discuss any further and provide comments, please contact the undersigned on (02) 4940 4200 or ian.richardson@rpsgroup.com.au.

Kind Regards,
RPS Australia East Pty Ltd

Sam Mitchell

Senior Environmental Scientist
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MAAG0010938

Mr Sam Mitchell
RPS Australia East Pty Ltd
Unit 2A, 45 Fitzroy Street
Carrington NSW 2294

By email: sam.mitchell@rpsgroup.com.au

Dear Mr Mitchell

Subject: Ravensworth Complex – Independent Environmental Audit

Thank you for your email dated 14 May 2021 requesting consultation on the independent audit to be undertaken of the Ravensworth Complex which is covered by the following mining leases:

CCL723 (1973)	ML1393 (1992)	ML1581 (1992)
CCL739 (1973)	ML1416 (1992)	ML1591 (1992)
CL378 (1973)	ML1477 (1992)	ML1595 (1992)
CL380 (1973)	ML1485 (1992)	ML1625 (1992)
CL580 (1973)	ML1495 (1992)	ML1667 (1992)
ML1325 (1992)	ML1502 (1992)	ML1668 (1992)
ML1348 (1992)	ML1506 (1992)	ML1669 (1992)
ML1349 (1992)	ML1576 (1992)	ML1683 (1992)
ML1357 (1992)	ML1580 (1992)	

The Resources Regulator requires that the following issues be addressed in independent environmental audits undertaken in accordance with a planning consent condition.

- Review relevant mining leases and exploration licences as agreed with Resources Regulator;
- Undertake an assessment of compliance against the conditions of title related to environmental management;

- Verify that there is a current Mining Operations Plan (MOP) in place and it has been approved by the Regulator – review compliance against any conditions of approval of the MOP;
- Undertake a critical review of the MOP, including an assessment of its compatibility with the description of operations contained in the planning approval. In particular:
 - Review the rehabilitation strategy as outlined in the MOP to determine if it is consistent with the Project Approval in terms of progressive rehabilitation schedule; and proposed final land use(s);
 - Review the rehabilitation objectives and completion criteria as outlined in the MOP to determine if they have been developed in accordance with the proposed final land use(s) as outlined in the Project Approval;
- Review the development and implementation of any rehabilitation monitoring programs to assess performance against the nominated objectives and completion criteria – verified by reviewing monitoring reports and rehabilitation inspection records;
- Determine if a rehabilitation care and maintenance program has been developed and implemented based on the outcomes of monitoring program – verified by reviewing Annual Rehabilitation Programs or similar documentation;
- Confirm that mining operations are being conducted in accordance with the approved MOP (production, mining sequence etc.), including within the designated MOP approval boundary – to be verified by site plans and site inspection;
- Confirm that rehabilitation progress is consistent with the approved MOP as verified by site plans and a site inspection. This should include an evaluation against rehabilitation targets and whether the final landform is being developed in accordance with conceptual final landform in the Project Approval; and
- Based on a visual inspection, determine if there are any rehabilitation areas that appear to have failed or that have incurred an issue that may result in a delay in achieving the successful rehabilitation outcomes.

In addition to the above, 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 nswhresourcesregulator@service-now.com upon completion of the audit.

Yours sincerely

Jenny Ehmsen
Principal Compliance Auditor

14 May 2021



SINGLETON COUNCIL

Our Ref: DA104/1996

3 June 2021

Sam Mitchell
Senior Environmental Scientist
RPS Australia Asia Pacific
Unit 2A, 45 Fitzroy Street
CARRINGTON NSW 2294

Dear Sam

Ravensworth Coal (MP09_0176 and DA 104/96) 2021 Independent Environmental Audit

I refer to your email request dated 14 May 2021 requesting comment from Council on the Ravensworth Coal Independent Environmental Audit. This letter forms Council's feedback in relation to that request.

The conditions of approval for Project Approval MP09_0176 and DA 104/96, require consultation with council on a number of matters, including, but not limited to:

- Heritage Management Plan
- Onsite Sewerage Management
- Rehabilitation Management Plan
- Biodiversity Management Plan
- Road Closure Management Plan
- Detailed Mine Closure Plan.

The conditions of approval require the Applicant to establish a community consultative committee with representation from Council and provide a copy of the Audit Report to Council.

Additionally, the conditions of consent require the applicant to comply with Previous EAs. The Statement of Commitments also requires compliance with a number of actions related to council, including road and intersection construction and realignment, transportation of coal by road, and blasting within 500 metres of Lemington Road. Ravensworth Underground Mine (DA 104/96) is also required to provide an annual road maintenance contribution.

Council would expect that the audit will include evidence to support the compliance status of these conditions of approval, and of interest to council, evidence to support the following:

- The extent of consultation with council on road related impacts associated with mining, including the extent to which underground mining activities may have impacted local roads;
- The extent to which the applicant has consulted with affected landholders on amenity impacts, the nature of these consultations and the outcomes, including mitigation or other measures taken to address impacts;
- The extent to which the applicant has consulted with the council on the abovementioned management plans, and what, if any, comments were incorporated into these plans, including whether feedback was provided to the council as well as a review of the progress of the delivery of the required management plans;

- Mine closure planning for the Ravensworth Underground Mine (DA 104/96), given development consent for the current operation will expire in 2024;
- The extent to which the applicant has complied with the requirements of Table 3, notably how the applicant intends to minimise adverse socio-economic impacts associated with mine closure;
- Compliance with requirements of any OSSM approval; and
- Whether the rehabilitation management plan required under the consent aligns to local, regional and State strategic land use planning documents, including whether these documents incorporate final land use outcomes consistent with these strategic land use planning documents.

Council would also like to see a review of the mine's compliance with the Biosecurity Act 2015.

I would like to thank you for the opportunity to provide comment on scope for the Integra Mine Independent Environmental Audit. Should you have any questions or comments, please contact Mary-Anne Crawford, Manager Development and Environmental Services on 02 6578 7290.

Yours faithfully



Mary-Anne Crawford
Manager Development & Environmental Services



Sam Mitchell

From: Kieran Black <Kieran.Black@customerservice.nsw.gov.au>
Sent: Monday, 31 May 2021 3:50 PM
To: Sam Mitchell
Subject: RE: Ravensworth Complex - Request for Consultation as part of an Independent Environmental Audit - Project Approval 09_0176 and Development Consent 104/96

CAUTION: This email originated from outside of RPS.

Hi Sam,

Thank you for seeking SA NSW advice on the above matter. Our agency is responsible for administering the Coal Mine Subsidence Compensation Act 2017. Under this act, SA NSW does not have legislative authority to ensure Ravensworth Mine's compliance with their project approval.

As such our agency has not been made aware of any compliance issues, environmental performance issues or complaints regarding the mines compliance with their project approval.

Kind Regards

Kieran Black
Technical Specialist

Subsidence Advisory NSW

Better Regulation Division | Department of Customer Service
P: 4908 4300

www.subsidenceadvisory.nsw.gov.au



**Subsidence
Advisory NSW**

Please consider the environment before printing this email

From: Sam Mitchell <Sam.Mitchell@rpsgroup.com.au>
Sent: Friday, 14 May 2021 10:01 AM
To: subsidenceadvisory <subsidenceadvisory@customerservice.nsw.gov.au>
Cc: Ian Richardson <Ian.Richardson@rpsgroup.com.au>
Subject: Ravensworth Complex - Request for Consultation as part of an Independent Environmental Audit - Project Approval 09_0176 and Development Consent 104/96

Dear Sir/Madam,

RPS Australia East Pty Ltd (RPS) have been engaged to undertake the Independent Environmental Audit (IEA) of Ravensworth Complex. The operations relate to Project Approval 09_0176 and Development Consent 104/96. The Department of Planning, Industry, and Environment (DPIE) approved RPS as the independent auditor on 30 March 2021 (refer attached).

As per Condition 8, Schedule 5 of Project Approval 09_0176, and Condition 7, Schedule 4 of Development Consent 104/96 as modified (refer attached), the audit is required to include consultation with relevant agencies to obtain their feedback and draw the auditor's attention to any key issues, within the agreed scope of the audit.

RPS are formally contacting Subsidence Advisory NSW to request consultation. Could you please provide comment on the Ravensworth Complex that is relevant to the audit. This could include any compliance issues; environmental performance issues, complaints received, or any matter considered appropriate.

We would appreciate comment by **28 May 2021** if possible, to enable us to consider this as part of the audit site inspection.

Thank you for your time and attention to this. Should you wish to discuss any further and provide comments, please contact the undersigned on (02) 4940 4200 or ian.richardson@rpsgroup.com.au.

Kind Regards,
RPS Australia East Pty Ltd

Sam Mitchell

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AUDIT CHECKLIST – CONSULTATION SUMMARY

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Topic	Condition	Comments & Evidence
NSW Resource Regulator		
Licences	Review relevant mining leases and exploration licences as agreed with Resources Regulator	Refer to Mining Lease checklist.
General	Undertake an assessment of compliance against the conditions of title related to environmental management	Completed, please refer to audit checklists.
Rehabilitation	Verify that there is a current Mining Operations Plan (MOP) in place and it has been approved by the Regulator – review compliance against any conditions of approval of the MOP	MOPs in place and approved. MOP RUM approval letter by RR 15 th Dec 2020 MOP ROC approval letter by RR 4 th November 2020
Rehabilitation	Undertake a critical review of the MOP, including an assessment of its compatibility with the description of operations contained in the planning approval. In particular: <ul style="list-style-type: none"> Review the rehabilitation strategy as outlined in the MOP to determine if it is consistent with the Project Approval in terms of progressive rehabilitation schedule; and proposed final land use(s) Review the rehabilitation objectives and completion criteria as outlined in the MOP to determine if they have been developed in accordance with the proposed final land use(s) as outlined in the Project Approval 	Critical review of MOP undertaken and found to be in line with Project approval in terms of progressive rehabilitation. Areas rehabilitated have been in line with MOP over last 3 years (audit period) and planned for next year. Rehabilitation is on track to meet final land use/conditions over time. Continued monitoring and maintenance/repair is evident and documented. Section 5 Rehabilitation Tables - of the MOP details completion criteria in line with final land use.
Rehabilitation	Review the development and implementation of any rehabilitation monitoring programs to assess performance against the nominated objectives and completion criteria – verified by reviewing monitoring reports and rehabilitation inspection records	Annual monitoring evidence: Koru rehabilitation monitoring reports 2018-2020 ERR reference site monitoring program – covers analogue sites from other operations and shares data to allow for more representative targets against which to benchmark. The overall monitoring program was also reviewed by CMLR in 2019 to ensure monitoring methodologies are adequate. Evidence sighted where recommendations of this report have been implemented into the program.

Topic	Condition	Comments & Evidence
Rehabilitation	Determine if a rehabilitation care and maintenance program has been developed and implemented based on the outcomes of monitoring program – verified by reviewing Annual Rehabilitation Programs or similar documentation	Rehabilitation maintenance program developed through 2021 Annual rehabilitation and closure plan which is the detailed plan for next year. Also the Annual Rehabilitation Closure risk assessment and register details the coordinated effort for rehabilitation maintenance issues. The weed action plan was sighted as an example of this process.
Rehabilitation	Confirm that mining operations are being conducted in accordance with the approved MOP (production, mining sequence etc.), including within the designated MOP approval boundary – to be verified by site plans and site inspection	Verified with site plans and field inspection.
Rehabilitation	Confirm that rehabilitation progress is consistent with the approved MOP as verified by site plans and a site inspection. This should include an evaluation against rehabilitation targets and whether the final landform is being developed in accordance with conceptual final landform in the Project Approval	Final landform (including geomorphic design) is being progressively implemented in accordance with Project Approval and approved MOP. Site inspection indicated the target vegetation communities are being progressively established and have the foundations of achieving rehabilitation outcomes including tree densities, species diversity etc. Continual (annual) monitoring and resulting maintenance will assist in continuing to move towards meeting rehabilitation objectives.
Rehabilitation	Based on a visual inspection, determine if there are any rehabilitation areas that appear to have failed or that have incurred an issue that may result in a delay in achieving the successful rehabilitation outcomes	Some areas on the western emplacement had shown poor results due to erosion. These areas had been recently repaired and rehabilitated. No other significant areas were noted as failed or showing poor results.
Rehabilitation	The audit should note observations where rehabilitation procedures, practices and outcomes represent best industry practice.	The documented rehabilitation process and practices with signoff accountability at each step is undertaken on site through a document titled Rehabilitation Construction Quality Control Plan. This has been trialed in 2020 and implemented in 2021. This document provides the link between monitoring and maintenance as well as new area establishment, with associated responsibilities and outcomes to ensure at each step quality control is checked and accounted for.

Topic	Condition	Comments & Evidence
Department of Planning		
Air Quality	Air quality management including but not limited to responses to air quality triggers, notification of incidents, and performance against criteria and over time	Air Quality and Greenhouse Gas Management Plan (RAV SD PLN 0067) has been prepared in consultation with the EPA and approved by the Secretary. The Air Quality and Greenhouse Gas Management Plan along with the Environmental Trigger Action Response Plan outlines the responses to air quality triggers, notification of incidents, and performance against criteria and over time.
Noise	Noise management and performance assessment	Attended noise monitoring is completed monthly to verify compliance with the project approval noise criteria. Within the auditing period there have been no exceedances of the noise criteria in Table 2 of PA 09_0176 at any residence on privately-owned land or on more than 25 per cent of any privately-owned land. According to monthly reports, all measurements were conducted in accordance with the relevant requirements and exemptions of NSW Industrial Noise Policy.
Blasting	Blast management including control and minimisation of dust, vibration and overpressure	Ravensworth was compliant with all blasting criteria and the specified limit of two blasts a day and ten blasts a week averaged over the 12-month periods during the audit period. Blasting was only carried out between 0900 hours and 1700 hours, Monday to Saturday during the audit period. Pre-blast checks are completed prior to every blast by four key personnel onsite, which includes the Environmental Team. The pre-blast check involves amongst other things reviewing weather data relevant to blast overpressure levels
Biodiversity	Management of biodiversity offset areas, such as active revegetation and control of pests and weeds	Some presence of weeds noted during the site inspection but generally the site displays significant efforts in control measures. The weed management program is currently adequate, considering the recent extreme weed germination season.

Topic	Condition	Comments & Evidence
Rehabilitation	Rehabilitation monitoring and maintenance including erosion control and revegetation	The rehabilitation monitoring efforts are very detailed and provide data to feed into the maintenance schedule (CMLR undertook a review of monitoring, Koru undertakes annual monitoring, GCAA rehab report card initiative, ERR shared analogue site data). CMO – is being utilised for rehabilitation related actions. Integration of geomorphological landform with existing 'simple slope with contours' appears to be well managed and stable. The drainage lines have been well constructed and are stabilising with recent grass establishment.
Community	Community engagement including response to complaints and operation of the Community Consultative Committee	Complaints and associated responses are outlined in Ravensworth's Annual Reviews for the audit period. A summary of the complaints received during the audit period and overview of the CCC for the audit period is outlined in Section 4.3 and 4.4 of this Report.
Singleton Council		
Management Plans	<p>Consultation with Council on a number of matters, but not limited to:</p> <ul style="list-style-type: none"> • Heritage Management Plan • Onsite Sewerage Management • Rehabilitation Management Plan • Biodiversity Management Plan • Road Closure Management Plan • Detailed Mine Closure Plan 	Council has been consulted in the preparation of management plans where required under the conditions of consent for the project approval.
Community	Applicant to establish a community consultative committee with representation from Council and provide a copy of the Audit Report to Council.	<p>A Community Consultative Committee (CCC) has been formed for Ravensworth Complex and encompasses ROC, RUM, and RCHPP and meets quarterly. The CCC is operated in general accordance with the Guidelines for Establishing and Operating Community Consultative Committees for Mining Projects, 2007.</p> <p>The CCC is independently chaired by Dr William Paradice and typically has representation from Ravensworth Complex, Singleton Council (Cr Godfrey Adamthwaite), recognised environmental groups and the local community (Patricia Bestic).</p>

Topic	Condition	Comments & Evidence
		Following completion and approval of the audit report by the Department the report will be made available via Glencores Ravensworth website.
Statement of Commitments	Comply with previous EAs. Statement of Commitments requires compliance with a number of actions related to council, including road and intersection construction and realignment, transportation of coal by road, and blasting within 500 meters of Lemington Road. Ravensworth Underground Mine is also required to provide an annual road maintenance contribution.	Refer to PA 09_0176 Conditions of Consent and Statement of Commitments Checklists.
Road Closure	The extent of consultation with council on road related impacts associated with mining, including the extent to which underground mining activities may have impacted local roads.	Refer to PA 09_0176 Conditions of Consent and Statement of Commitments Checklists.
Amenity and Consultation	The extent to which the applicant has consulted with affected landholders on amenity impacts, the nature of these consultations and the outcomes, including mitigation or other measures taken to address impacts.	Mine infrastructure was not visible from surrounding roads or sensitive receptors during the site inspection. Visual bunds along Lemington Road and the New England were observed to be well vegetated and provided visual screens to the operation. There were no performance or management issues regarding visual mitigation or lighting during the audit period.
Management Plans and Consultation	The extent to which the applicant has consulted with the council on the abovementioned management plans.	Evidence was provided that Ravensworth has consulted with Council as part of the review and updated process. Consultation also occurs during the scheduled CCC meetings attended by a Singleton Council representative.
Mine Closure (RUM)	Mine closure planning for the Ravensworth Underground Mine, given development consent for the current operation will expire in 2024.	Closure MOP, infrastructure critical to ROC will be retained and closed as part of ROC. All other RUM infrastructure will be decommissioned and land rehabilitated. MOP and Closure MOP linked.
Socio-economic	The extent to which the applicant has complied with the requirements of Table 3, notably how the applicant intends to minimise adverse socio-economic impacts associated with mine closure.	Not within the scope of this audit.

Topic	Condition	Comments & Evidence
Sewage Treatment	Compliance with requirements of any On-site Sewage Management (OSSM) approval.	<p>Review of the on-site sewage treatment and disposal are completed by Singleton Council. Sewage treatment plant quality results for August were outside of the acceptable limits imposed by Singleton Council.</p> <p>A CHPP shutdown prior to monitoring resulted in increased short-term usage. There was also a possible pump failure/incorrect float switch level causing system to be flooded.</p> <p>Recommendations to ensure future compliance includes reducing the load on the system by utilising appropriate additional sewage facilities are available during periods where increased contractors are on site e.g. during maintenance shutdowns.</p>
Rehabilitation	Whether the rehabilitation management plan required under the consent aligns to local, regional, and State strategic land use planning documents, including whether these documents incorporate final use outcomes consistent with these strategic land use planning documents.	<p>Ravensworth Complex's Mining Operation Plan (MOP) (RAVCX-1962 359668-15) outlines the rehabilitation methods and final use outcomes. Rehabilitation works typically consist of the formation of woodland areas, where native ecosystems are established consistent with analogue vegetation communities, and pasture landforms generally blending in with the surrounding landscapes. The MOP aligns with the Upper Hunter Strategic Regional Land Use Plan (UHSRLUP) via Challenge 1 and Challenge 6.</p>
Biosecurity	A review of the mine's compliance with the Biosecurity Act 2015.	<p>Some presence of weeds noted during the site inspection but generally the site displays significant efforts in control measures. The weed management program is currently adequate, considering the recent extreme weed germination season. Large efforts on Acacia Saligna, Rhodes Grass, sugar gums etc at Cumnock, which may prove challenging to create the desired ecological community, investigate the possibility of modifying the target land use. Annual rehab and closure risk assessment feeds into 'weed action plan'.</p>

Appendix D

Site Inspection Photographs



Plate 1 - Western Emplacement Area – Erosion repair and rehabilitation.



Plate 2 - Western Emplacement Area – Young Rehabilitation establishing well with good ground cover.



Plate 3 - Geomorphic designed landform with rock-lined drainage line.



Plate 4 - Revegetation establishing with high tree and shrub diversity and 100% ground cover.



Plate 5 - Target agricultural land rehabilitation (foreground and background) with good pasture coverage.



Plate 6 - Geomorphic landform with keyed in drainage line, surface deep ripped on contour to increase infiltration and reduce runoff. Note young trees establishing.



Plate 7 - Low profile topsoil stockpile with cover crop and signposted.



Plate 8 - Surface preparation with deep ripping and rock piles for native animal habitat.



Plate 9 - Soil and overburden stripping in progress to the south of main pit.



Plate 10 - Sediment build up over drains on workshop apron



Plate 11 - Waste not segregated in correct bins at workshop.



Plate 12 - Drums located on banded pallets near workshop.



Plate 13 - Pit overview from lookout.



Plate 14 - Frog washdown bay utilised during site inspection.



Plate 15 - Aboriginal heritage exclusion zone implemented in offset area.



Plate 16 - TEOM SX45 G2 located north of operation.



Plate 17 - Road grading and dust suppression observed during inspection.



Plate 18 - Oil separator not operational during inspection.



Plate 19 - Oily rags in general solid waste bin in truck washdown bay.



Plate 20 - Real time noise monitor SX46



Plate 21 - Dust deposition gauge D13



Plate 22 - TEOM SX45 G1



Plate 23 - Conveyor covers leading to RCHPP



Plate 24 - Dust suppression utilised on loaders.



Plate 25 - Water cart at refill station.



Plate 26 - MET station north of MIA



Plate 27 - Groundwater monitoring location MW10

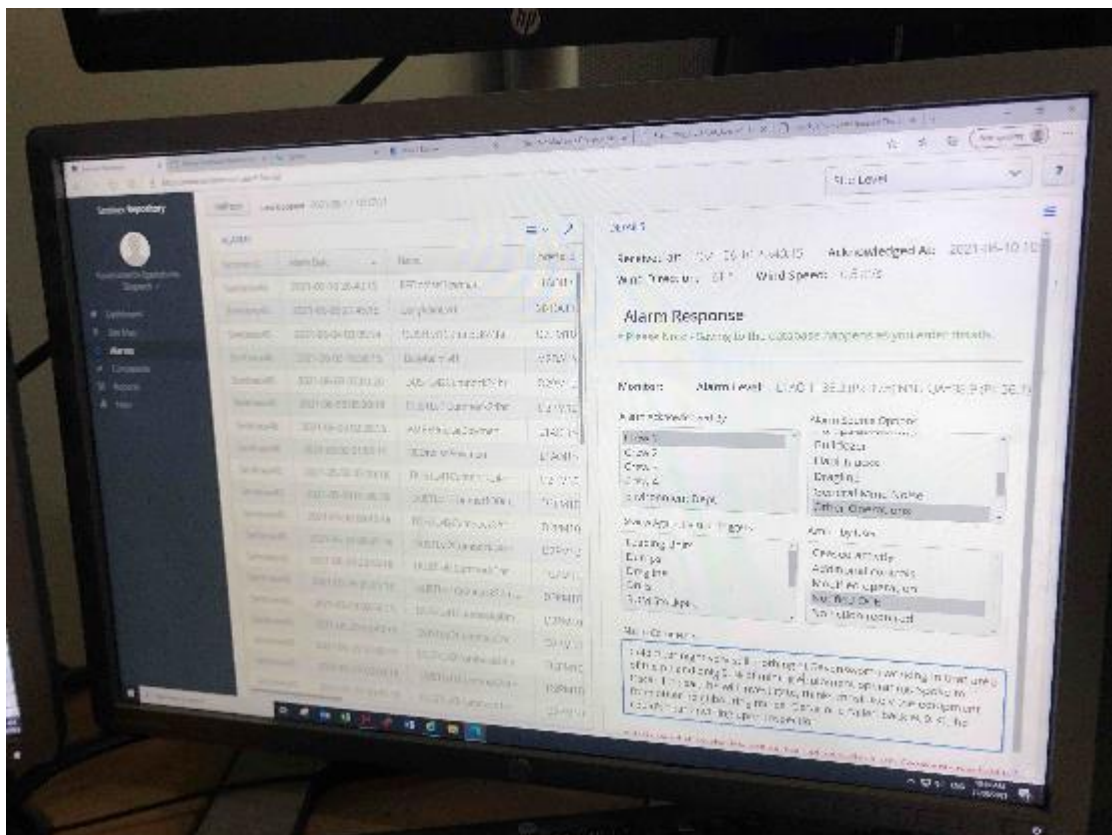


Plate 28 - Sentinex Repository Alert System



Plate 29 - Dust production following shot.

Response to 2018 IEA Recommendations

AUDIT CHECKLIST – 2018 IEA FINDINGS

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Ref No.	Cond No.	2018 IEA Audit Finding & Recommendations	Ravensworth Operations Response	Audit Findings	2021 IEA Recommendations / Comments
Project Approval 09_0176					
A01	2.1	Obligation to Minimise Harm to the Environment Ensure that the IBCs at the rear of the workshop are stored on bunded pallets and that any residual waste is decanted into the coolant waste tanks.	The Waste Management Plan (WMP) ensures waste streams generated at Ravensworth are minimised and managed effectively and that all waste is collected, disposed of and tracked in accordance with regulatory requirements. A licensed waste management contractor carries out weekly site wide inspections. These inspections look at bin capacity, waste segregation practices, spill kit content volumes and evidence of hydrocarbon spills. The waste management contractor produces a report on the findings, which is submitted to Ravensworth. Any issues identified in the report can then be actioned by site personnel or the waste management contractor. Waste management measures (such as waste stream segregation) is included in the visitor induction presentation, the site familiarisation as well as the environmental awareness training all employees go through periodically. IBC were observed to be stored on bunded pallets during the site inspection.	Compliant	
A02	2.8	Surrender of Consents It is recommended that this condition is removed as part of any future project approval modifications.	Ravensworth will request that this condition be updated for future project approval modifications.	Not triggered	
A03	2.14	Planning Agreement It is recommended that this condition is removed as part of any future project approval modifications.	Ravensworth will request that this condition be updated for future project approval modifications.	Not triggered	
A04	3.9	Noise Management Plan	The Ravensworth Complex Noise Management Plan (NMP) was updated in 2018 and approved by the Department of Planning and Environment (DP&E) on 10 September 2018. Ravensworth have uploaded the approved NMP to its internal document control system.	Compliant	

Ref No.	Cond No.	2018 IEA Audit Finding & Recommendations	Ravensworth Operations Response	Audit Findings	2021 IEA Recommendations / Comments
A05	3.11	Blasting Hours It would be beneficial for the times of each blast to be included in the monthly monitoring reports and the annual review.	Ravensworth has included blasting times in the monthly monitoring reports but are not included in the Annual Reviews.	Compliant	
A06	3.17	Blast Management Plan It was noted during the review of the blast management plan that two of the figures were difficult to read and neither figure had a legend and labels describing the mapped attributes. It is recommended that these figures are updated to be more legible.	The figures contained in the Ravensworth Blast Management Plan have been updated as recommended.	Compliant	
A07	3.20	Air Quality Criteria Recommend that values determined from HVAS monitoring are reported to 1 decimal place. It is recommended that any confirmation of "exceptional events" from the NSW DP&E should be included as appendices to the annual/quarterly/monthly monitoring reports.	Ravensworth will ensure any confirmation of "exceptional events" from the DP&E will be included in annual/quarterly/monthly monitoring reports. Exceptional events are reported at the time. Prior to annual reporting being compiled, exemptions are applied for at this time. Commentary on these is included in the annual review. Ravensworth will report HVAS monitoring values to 1 decimal place.	Compliant	
A08	3.23	Operating Conditions It is recommended that Appendix A of the AQ and GHG Management Plan is updated to make cross referencing of the requirements possible.	The Ravensworth Complex Air Quality and Greenhouse Gas Management Plan was updated in 2018 and approved by the Department of Planning and Environment (DP&E) on 10 September 2018. Appendix A has been updated as per the recommendation.	Compliant	
A09	3.24	Air Quality and Greenhouse Gas Management Plan	Section 3.6.3 of the Ravensworth Complex Air Quality and Greenhouse Gas Management Plan (AQGHGMP) includes a	Compliant	

Ref No.	Cond No.	2018 IEA Audit Finding & Recommendations	Ravensworth Operations Response	Audit Findings	2021 IEA Recommendations / Comments
		Suggest that the protocol included in the AQ and GHG Management Plan (RAV SD PLN 0067) be updated to allow determination of the potential incremental impact of the Ravensworth Complex (in appropriate wind conditions and as allowed by the TEOM SX45 G1 and G2) monitors	<p>protocol for determination of the potential incremental impact of the Ravensworth Complex. At the time of the audit, the AQGHGMP incorrectly referenced the protocol in the document.</p> <p>If an exceedance of any criteria is detected, the Ravensworth Complex will conduct an investigation to determine whether it is responsible for exceedance. The investigation will determine the Ravensworth Complex's contribution to recorded dust events and will include assessing wind conditions (direction and speed), reviewing the type and location of operations occurring during the time of the dust event, and reviewing other monitoring data taken during the same period to identify any trends. If it is determined that the Ravensworth Complex was responsible for the exceedance of the criteria, then mitigation measures will be implemented for future air quality impacting activities as necessary and future activities will be monitored for effectiveness and improvement opportunities.</p>		
A10	3.25	Meteorological Monitoring Recommend that the quality of figures in the AQ and GHG management plan be improved	The figures contained in the Ravensworth Complex Air Quality and Greenhouse Gas Management Plan have been updated as recommended.	Compliant	<p>The AQ and GHG Management Plan should be revised to include the correct location of the meteorological station.</p> <p>It should be noted that relocation of Met station occurred after the required 2018 IEA recommendation was completed.</p>
A11	3.38	Biodiversity Management Plan The plan needs to be updated to include a document number referencing the Topsoil Stripping and Handling Procedure as currently there are no details in regard to conserving and reusing topsoil (as required).	Section 7.2 of the Biodiversity Management Plan references topsoil management/soil resource salvage at Ravensworth. At the time of the audit, the Biodiversity Management Plan referred to a Topsoil Stripping and Handling Procedure. The GDP process was assessed on site and found to be comprehensive and suitable to cover this item.	Compliant	
A12	3.48	Railway Upgrades	Ravensworth will request that this condition be updated for future project approval modifications.	Not triggered	

Ref No.	Cond No.	2018 IEA Audit Finding & Recommendations	Ravensworth Operations Response	Audit Findings	2021 IEA Recommendations / Comments
		It is recommended that this condition is removed during the next DA update.			
A13	4.1	Notification of Landowners It is recommended that this condition is removed during the next DA update.	Ravensworth will request that this condition be updated for future project approval modifications.	Not triggered	
Development Consent DA 104/96					
A14	2.12	Community Enhancement It is recommended that this condition is removed from the DA during the next update.	Ravensworth will request that this condition be updated for future project approval modifications.	Not triggered	
A15	3.18	Air Quality and Greenhouse Gas Management Plan Suggest that the protocol be updated to allow determination of the potential incremental impact of the Ravensworth Complex (in appropriate wind conditions and as allowed by the TEOM SX45 G1 and G2) monitors.	Section 3.6.3 of the Ravensworth Complex Air Quality and Greenhouse Gas Management Plan (AQGHGMP) includes a protocol for determination of the potential incremental impact of the Ravensworth Complex. At the time of the audit, the AQGHGMP incorrectly referenced the protocol in the document. If an exceedance of any criteria is detected, the Ravensworth Complex will conduct an investigation to determine whether it is responsible for exceedance. The investigation will determine the Ravensworth Complex's contribution to recorded dust events and will include assessing wind conditions (direction and speed), reviewing the type and location of operations occurring during the time of the dust event, and reviewing other monitoring data taken during the same period to identify any trends. If it is determined that the Ravensworth Complex was responsible for the exceedance of the criteria, then mitigation measures will be implemented for future air quality impacting activities as necessary and future activities will be monitored for effectiveness and improvement opportunities.	Compliant	

Ref No.	Cond No.	2018 IEA Audit Finding & Recommendations	Ravensworth Operations Response	Audit Findings	2021 IEA Recommendations / Comments
A16	3.19	Meteorological Monitoring Recommend that the quality of figures in the AQ and GHG management plan be improved.	The figures contained in the Ravensworth Complex Air Quality and Greenhouse Gas Management Plan have been updated as recommended.	Compliant	The AQ and GHG Management Plan should be revised to include the correct location of the meteorological station. It should be noted that relocation of Met station occurred after the required 2018 IEA recommendation was completed.
A17	2.26	Aboriginal Cultural Heritage Management Plan The conditions in Table 2.1 of the Aboriginal Cultural Heritage Management Plan are the conditions for the Open cut and are for Heritage Protection not Aboriginal Cultural Heritage.	ACHMP (RAVCX-1962359669-1510) Effective: 19/02/2021 to 19/02/2024 Approved by Matthew Sprott Director of Resource Assessment as nominee of the Secretary on 19 February 2021. In general, the ACHMP combined with the HMP was sufficient in addressing the requirements of PA 09_0176 Schedule 5, Condition 42.	Compliant	The Aboriginal and Cultural Management Plan has minor cross reference errors throughout the document that should be amended.

Appendix F

Opening and Closing Meeting Records

