

INDEPENDENT COMPLIANCE AUDIT REPORT

EPBC 2010/5642

Version 1

RTA Weipa Pty Ltd – Amrun Project

17 June 2016

RIO-000

Document Control Sheet

Ardent Group Pty Ltd	
Street Address:	159 Musgrave Road, Red Hill Qld 4059
Postal Address:	PO Box 320 Red Hill Qld 4059
Phone:	+ 61 7 3368 1033
Email:	information@ardent-group.com.au
Web:	www.ardent-group.com.au

Project:	RIO-000	Issue Date:	17/06/2016
Title:	Independent Compliance Audit Report – EPBC 2010/5642		
Project Manager:	Lana Shoesmith		
Author:	Lana Shoesmith		
Client:	RTA Weipa Pty Ltd – Amrun Project		
Client Contact	Glenn Woodrow		

Revision Number	Date	Prepared by	Approved by
Rev A	16/05/2016	LS	GW
00	23/5/16	LS	GW
01	17/6/16	LS	GW

Table of Contents

1	EXECUTIVE SUMMARY	1
2	INTRODUCTION	2
2.1	Background.....	2
2.2	Status of Project.....	2
3	Audit Objective, Scope and Methodology.....	3
3.1	Overview	3
3.2	Objective	3
3.3	Scope.....	3
3.4	Auditor	3
3.5	Methodology	3
3.6	Reporting.....	4
4	Findings	6
4.1	Overview	6
4.2	Non-Compliances.....	6
4.3	Observations	7
4.4	Not Applicable	7
Table 1. Non-compliances.....		6
Table 2. Observations.....		7
Table 3. Conditions Not Applicable.		7
Appendix 1 Audit Criteria Checklist.....		I
Appendix 2 Personnel Interviewed		II
Appendix 3 Auditor Approval Letter		III
Appendix 4 Audit Criteria Approval Letter		V
Appendix 5 Auditor's Declaration of Independence.....		VII
Appendix 6 Auditor's Certification		X

1 EXECUTIVE SUMMARY

RTA Weipa Pty Ltd gained Commonwealth approval on 14 May 2013 to construct and operate a bauxite mine and associated processing and port facilities south of the existing operations at Weipa. Prior to the commencement of construction works capital dredging was required.

Ardent Group Pty Ltd has been contracted by RTA Weipa Pty Ltd to undertake an independent environmental compliance audit to determine compliance with the EPBC Approval (2010/5642) and Sea Dumping Permit (SD 2010/1762). This report presents the audit findings.

In general, it was found that the Conditions of the EPBC Approval 2010/5642 and Sea Dumping Permit 2010/1762 were in compliance.

One non-compliance was identified relating to the date of submission of correspondence notifying the Department of Environment (DoE) of the commencement of preliminary works, as required by Condition 66. It is recognised that the letter was dated within the 10 days specified by the Condition however the email of submission to the Department was 12 days after preliminary works had commenced. This non-compliance is minor and administrative in nature and a result of an error rather than a systematic issue with management of Departmental correspondence.

2 INTRODUCTION

2.1 Background

The Amrun Project (formerly known as the South of Embley Project) involves the construction and operation of a bauxite mine and associated processing and port facilities on western Cape York, south of the existing operations at Weipa. The Project involves a staged increase in production up to 50 million dry product tonnes per annum of bauxite.

RTA Weipa Pty Ltd has undertaken an Environmental Impact Statement for the Project under the Commonwealth *Environmental Protection and Biodiversity Conservation Act 1999*. The Project was approved on 14 May 2013 and an EPBC Permit was issued for the South of Embley Bauxite Mine and Port Development, Cape York Queensland (2010/5642).

A Sea Dumping Permit No. SD2010/1762 was issued 29 July 2013 to RTA Weipa Pty Ltd to load for the purposes of dumping, and to dump, capital seabed material derived from the capital dredging to construct new port facilities between Boyd Point and Pera Head south of Weipa; and to develop at the Port of Weipa a roll-on and roll-off barge terminal at Humbug Wharf in the Embley River, a ferry terminal and tug berths at Hornibrook Point in the Embley River, and a combined barge/ferry terminal in the Hey River.

As part of the Conditions of approval (Condition 69), there is a requirement to ensure that an independent compliance audit is undertaken every three years.

2.2 Status of Project

At the time of audit, preliminary works only had been conducted and included:

- Clearing for, construction, and operation of Amrun Village Accommodation (119 beds) including associated infrastructure such as package sewage treatment plant, access roads, laydown area, diesel operated fuel generator, communications infrastructure
- Commencement of clearing for access road between Hey River terminal and Mine Infrastructure Area, including borrow pits
- Clearing for mine workshop area, contractor laydown area
- Preliminary construction work at Hey River Terminal, including rock placement
- Clearing for security and carpark areas for Hey River Terminal
- Dredging – Hey River and Humbug Terminal (5-30/3/16)
- Dredging – Port (26/3/16 – 9/4/16)
- Humbug laydown area and early site establishment

No work has commenced on the following:

- Pera Head site nominated for the Temporary Barge Facility. This is currently on hold.
- Hornibrook terminal is not currently planned to proceed.
- Amrun Port Facility
- Dam site
- Infrastructure facilities including the power station and fuel storage

At the time of the audit, “commencement of the action” had not been achieved as all works conducted to date are categorised as “preliminary works”; as defined by the EPBC 2010/5642 permit. After the site audit had been completed, an email notification was received on 13/5/16 from the Project Senior Environmental Advisor stating that clearing in excess of 30 hectares for the temporary accommodation camp in the project area had commenced. Clearing in excess of the 30 hectares for the camp is outside the definition of “preliminary works” and therefore amounts to commencement of construction and commencement of the action for the purposes of approval Condition 66 with an actual date of commencement of 12/5/16.

3 Audit Objective, Scope and Methodology

3.1 Overview

An environmental compliance audit of the South of Embley Bauxite Mine and Port Development Approval (EPBC 2010/5642) dated 14 May 2013 and the Sea Dumping Permit No SD2010/1762 dated 29 July 2015, now known as the Amrun Project, was conducted by Lana Shoesmith from Ardent Group Pty Ltd (CEnvP #092; Exemplar Global Lead Environmental Auditor #12299) 3-12 May 2016.

This is the first independent audit of the EPBC Approval 2010/5642.

3.2 Objective

The objective of the audit was to determine compliance with the conditions of EPBC 2010/5642 and Sea Dumping Permit SD2010/1762 to address the requirements of EPBC 2010/5642 Condition 69 which requires that every three years from the date of the approval an independent audit must be conducted and a report submitted to the Minister.

3.3 Scope

The scope of the audit included all activities conducted to date which consisted of preliminary works including clearing for and construction of the accommodation village and associated infrastructure; clearing for the mine access road, mine workshop area and laydown area, borrow pits and RFDS; preliminary works at Hey River Terminal; capital dredging for Humbug and Hey River terminals; and capital dredging for the Port.

3.4 Auditor

Lana Shoesmith of the Ardent Group Pty Ltd was nominated by Rio Tinto as an independent auditor to the DoE. This was subsequently approved on 7 April 2016 (letter of approval included at Appendix 3).

3.5 Methodology

The audit was conducted in accordance with the Independent Audit and Audit Report Guidelines for controlled actions which have been approved under Chapter 4 of *Environmental Protection and Biodiversity Conservation Act 1999* (2015). The principles detailed in *ISO19011:2015 Guidelines for Auditing Management Systems* were adhered to as these are suitable for conducting legal compliance audits.

An audit criteria checklist and methodology was prepared and submitted to the DoE for approval. This approval was granted by DoE on 3 May 2016 (letter of approval included at Appendix 4).

A list of required documents and records was requested and provided by RTA Weipa prior to the site audit. These consisted of the relevant Plans and Strategies required by the EPBC Permit; as well as evidence of correspondence, survey data, reports and records. A document review was undertaken by the auditor and the audit criteria checklist was progressively completed.

Prior to the site audit, a series of interviews were conducted in Brisbane with key personnel relating to the status and implementation of the various Management Plans and Strategies required by the EPBC approval, including the Sea Dumping Permit.

The outcome of the document review and the Brisbane based interviews enabled a site audit plan to be prepared to ensure that implementation of the relevant requirements could be determined on site.

The site audit was conducted 10-12 May 2016 and included an inspection of the following areas: Hey River barge landing, Amrun export area, Pera Head, Dam C and outflow area, Amrun Accommodation Village, mine access road and associated borrow pit, RFDS airstrip and the weed quarantine zone near Boyd's Bay. Humbug terminal site was observed from the ferry whilst crossing from Evans Landing to Hey River terminal. Evidence relating to implementation of the management plans was reviewed and interviews with relevant personnel were conducted.

3.6 Reporting

An audit checklist was completed addressing all requirements in the EPBC Approval and Sea Dumping Permit. In accordance with the DoE Independent Audit and Audit Report Guidelines, findings were noted as follows:

Compliance – sufficient evidence provided to demonstrate that the requirements specified within a Condition have been met.

Non-compliance – sufficient evidence provided to demonstrate that the requirements specified in the Condition have not been met.

Not applicable – condition that either:

- Did not require demonstration of the condition at the time of audit as the date had not yet passed; or
- Had to be satisfied after certain events had occurred e.g. notify Department in writing within 5 business days of any observation in the project area of Bare-rumped Sheath-tail Bat; or
- Where the activities specified in the Condition have not yet been carried out in the scope of works under the EPBC Approval e.g. pile driving.

Undetermined – insufficient evidence to make a judgement on compliance status.

In addition, observations were noted for those items where improvement could be made.

This audit report summarises the audit findings.

Appendix 1 details the evidence reviewed (documents, records, interviews and observations) that addresses EPBC2010/5642 and Sea Dumping Permit SD2010/1762, and provides a detailed assessment of compliance for each audit criteria and condition.

Appendix 2 lists the personnel interviewed.

Appendix 3 includes the Department of Environment approval of the appointment of Lana Shoesmith from Ardent Group Pty Ltd as the independent auditor.

Appendix 4 includes the Department of Environment approval of the audit criteria and methodology.

Appendix 5 includes the Auditor's Declaration of Independence signed by the Lead Environmental Auditor declaring there is no conflicting or competing interests.

Appendix 6 contains the Auditor Certification signed by the Lead Environmental Auditor certifying the findings of the audit in the report as being a true, correct, complete and independent assessment of compliance with the conditions of the EPBC Approval and Sea Dumping Permit.

4 Findings

4.1 Overview

In general, it was found that the Conditions of the EPBC Approval 2010/5642 and Sea Dumping Permit 2010/1762 were in compliance.

4.2 Non-Compliances

As noted in Table 1, one (1) non-compliance was identified relating to the date of submission of correspondence notifying DoE of the commencement of preliminary works, as required by Condition 66. It is recognised that the letter was dated within the 10 days specified by the Condition however the email of submission to the Department was 12 days after preliminary works had commenced. This non-compliance is minor and administrative in nature and a result of an error rather than a systematic issue with management of Departmental correspondence.

Table 1. Non-compliances.

Condition/Audit Criteria	Requirement	Evidence	Audit Finding
66	Within 10 days after commencement of preliminary works, the approval holder must advise the Minister in writing of the actual day of commencement.	Email sent From Paul Dewar GMHSE – Bauxite & Alumina Rio Tinto 2/11/15 to Manel Samarakoon, Assistant Director, Approvals Monitoring North Section, Environmental Assessment and Compliance Division, Department of Environment with letter dated 26/10/15 stating on 21/10/15 clearing for the construction of the temporary accommodation camp commenced and noted this activity was defined as preliminary works.	Although letter was dated 5 days after commencement of preliminary works, the Minister was not advised until 12 days after commencement of works.

4.3 Observations

Table 2 lists the observations noted during the audit. Addressing these recommendations is likely to ensure ongoing compliance with EPBC permit conditions.

Table 2. Observations.

Audit Criteria	Audit Finding	Recommendations
56.4	Rio Tinto Amrun Project website currently has a Community Feedback number and email address.	Add the word “and enquiries” to the description of the community feedback contact details. Ensure there is an internal procedure that requires any written requests for survey data and methodology are provided within 30 days.
57.1	It is noted that currently survey reports such as the bat survey and the dolphin survey are already included on the website. It is the intent to ensure that all completed surveys required by the relevant programs, plans and strategies are published on the website.	Ensure that in the relevant programs, plans and strategies that there is a requirement to publish the relevant survey data and methodology every 12 months after the commencement of the action. It should also be noted that the department must be notified within 10 business days of publication.
1.1, 5.1, 14.1, 48.1, 55.1 SD#3	DoE letters of approval of the various plans and strategies were provided as evidence of submission. These DoE letters included the relevant details such as content and date of submission. The letters of submission were not able to be provided due to a change of personnel within the organisation.	It is recommended that for future submissions, correspondence to the Department is stored in a central location so that it can be readily retrievable, if required.

4.4 Not Applicable

Table 3 lists the Conditions that were found to be not applicable at the time of audit.

Table 3. Conditions Not Applicable.

Audit Criteria	Summary of Requirement	Audit Finding
4.2	The approved Temporary Barge Plan must be implemented.	No work in relation to the Temporary Barge Plan has commenced.
6.1j	Temporary Barge Plan can be incorporated into Marine and Shipping Management Plan.	Temporary Barge Plan is a separate document.
8.2,8.3,9.1, 10.1,10.2 11.2,11.3 47.1, 54.1	A Marine and Shipping Management Plan for stages ii and iii must be prepared in consultation with relevant agencies, reviewed on a regular basis and each version approved by the Minister. These plans must be implemented.	Operations have not yet commenced and therefore subsequent plans are not required.

12.1, 13.2	Measures for pile driving operations are to be implemented, with appropriate records kept.	No pile driving has been undertaken.
16.1, 16.2, 17.1, 18.2	Maintenance Dredging Plan must be submitted and approved.	Maintenance dredging plan has not been prepared as this is not yet required.
SD #1	Specifies terms	No action required
SD#5, SD#6, SD#7, SD#8, SD#9	Management of revised dredging management plans.	No revised dredging management plans have been prepared or required.
SD#16	Action in response to request by DoE to access site operations to review operation.	No request made
SD#20	Documentation of environmental incidents.	No environmental incidents have occurred, as noted in the Dredging Marine Fauna Database.
SD#24, SD#25, SD#26	Bathymetric survey reporting.	Time has not yet passed.
SD#26	Annual reporting requirements.	Reporting is not required.
24.1,30.1, 30.2,30.3	Revision of Terrestrial Management Plan.	Dates for revision have not been passed.
31.3, 31.4, 32.1	Actions to be taken if Bare-rumped Sheathail bats are found, including reporting.	No Bare-rumped Sheathail bats have been found.
33.1,33.2, 33.1,33.2, 34.1,34.2, 35.1,35.2, 35.3,36.1, 36.2,37.1, 37.2,38.1, 39.1,39.2 40.1	Requirements for Rehabilitation Strategy and conditions under which Offset Strategy is required.	Timing requirement for submission of Rehabilitation Strategy has not been passed.
56.2, 56.3, 57.1,57.2	Requirement to provide survey data, if requested and to publish on website	No request made. Timeframe for publishing has not yet passed.
63.1	Requirement must update specified programs upon request.	No request from the Minister.
66.2,66.3, 66.4	Requirement for written notification as project stages are reached.	At the time of the audit, commencement of construction and operation had not yet commenced, as defined by EPBC2010/5642. Works conducted to date had been categorised as "preliminary works"; as defined by the EPBC 2010/5642 permit. After the site audit had been completed, an email notification was received advising an actual date of commencement of construction and commencement of the action had occurred on 12/5/16 for the

		purposes of approval Condition 66. Written notification requirements in relation to this action are outside the scope of the audit.
67.2	Provide requested records to Department.	No request made.
68.1,68.2 68.3, 71.2	Compliance reporting requirements.	Timeframe for compliance reporting has not yet passed.
70.1,70.2	Management of sensitive information.	No examples where material has been identified as culturally sensitive.
72.1,72.2	Submission of revised plans.	No plans have required revision.
75.1,75.2,75.3	Minister request or updating strategies and plans.	Not requested.

Appendix 1 Audit Criteria Checklist

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
TEMPORARY BARGE PLAN					
Condition 1 EPBC 2010/5642 <i>Unless agreed to by the Minister in writing, the approval holder must submit a Temporary Barge Plan to the Minister to manage, avoid and mitigate negative impacts to listed turtle species, including their breeding and foraging habitat, from the construction, operation and decommissioning of the temporary barge facility near Pera Head.</i>					
1.1	Temporary Barge Plan (TBP) must be submitted to the Minister and address construction, operation and decommissioning of the temporary barge facility.	Letter EPBC2010/5642 – South of Embley Bauxite mine and port development Approval of Temporary Barge Plan – conditions 1-4 dated 28/7/15 notes an updated Temporary Barge Plan was submitted 20/4/15. Submission of Temporary Barge Plan and Independent Peer Reviewer details for approval letter dated 8/10/14.	DoE letter of approval dated 28/7/15 Rio Tinto Alcan Weipa Temporary Barge Plan July 2015 (TBP)	Reviewed correspondence demonstrating submission of TBMP	C
1.2	Temporary Barge Plan must manage, avoid and mitigate negative impacts to listed turtle species, including their breeding and foraging habitat, from the construction, operation and decommissioning of the temporary barge facility near Pera Head.	Section 1 notes that the purpose of the Temporary Barge Plan is to manage, avoid and mitigate potential negative impacts on listed turtle species (Green Turtle, Hawksbill Turtle, Flatback Turtle, Loggerhead Turtle, Olive Ridley Turtle and Leatherback Turtle) near Pera Head during construction, operation and decommissioning. Appendix 1 summarises the breeding and foraging habits of the listed turtles. Section 3 lists the potential impacts to the listed turtle species relating to: temporary disturbance of turtle nesting habitat, disorientation of hatchling turtles due to light; disturbance of foraging habitat; underwater noise; vessel strike; and waste discharge. It is noted that negligible impacts on nesting and foraging marine turtles are anticipated	Reviewed TBP	Evaluation of TBP relating to impacts to listed turtles	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>as a result of construction and operation of the Temporary Barge Facility however mitigation measures are identified.</p> <p>Section 4 documents the management measures to address the potential impacts identified. Table 2 lists an action plan detailing control measures for construction; Table 3 lists an action plan detailing control measures for operation; and Table 4 covers the action plan for decommissioning of the temporary barge facility.</p>			
Condition 2 EPBC 2010/5642 <i>The Temporary Barge Plan must include surveying to ascertain whether active, or potentially active, nests for the listed turtle species are present in the area to be impacted by the temporary barge facility.</i>					
2.1	<p>The Temporary Barge Plan includes surveying to ascertain whether active, or potentially active, nests for the listed turtle species are present in the area to be impacted by the temporary barge facility.</p>	<p>Section 1 Temporary Barge Plan notes that the plan is designed to ensure that the area is surveyed prior to disturbance to determine whether active or potentially active listed turtle species nests are present.</p> <p>Section 4.1 requires that ten days prior to the installation of the semi-flexible matting (to manage erosion or scouring from vehicle traffic) visual surveys of marine turtle crawls and nests will be conducted within 100m of the centreline of the facility.</p>	Reviewed TBP	Evaluation of TBP relating to surveying	C
Condition 3 EPBC 2010/5642 <i>The Temporary Barge Plan must include adaptive management and mitigation measures to benefit listed turtle species, including as identified in the Final Environmental Impact Statement. The Temporary Barge Plan must include and address effective management strategies to mitigate each potential impact to listed turtle species, desired outcomes, benchmarks, performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and responsibility for implementing actions.</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
3.1	The Temporary Barge Plan must include adaptive management and mitigation measures to benefit listed turtle species.	Section 1 Temporary Barge Plan notes that the plan documents effective management strategies to mitigate each potential impact, desired outcomes, benchmarks, performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specifies the roles with responsibility for implementing actions. These are summarised in Section 4 and detailed in Tables 1, 2 and 3.	Reviewed TBP	Evaluation of TBP relating to adaptive management and mitigation measures	C
3.2	The Temporary Barge Plan must include and address effective management strategies to mitigate each potential impact to listed turtle species, desired outcomes, benchmarks, performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and responsibility for implementing actions.	Section 1 Temporary Barge Plan notes that the plan documents effective management strategies to mitigate each potential impact, desired outcomes, benchmarks, performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specifies the roles with responsibility for implementing actions. These are summarised in Section 4 and detailed in Tables 1, 2 and 3.	Reviewed TBP	Evaluation of TBP relating to management strategies	C
Condition 4 EPBC 2010/5642 <i>The Temporary Barge Plan must be submitted to the Minister for approval. Commencement of the temporary barge facility must not occur until the Minister has approved the Temporary Barge Plan. The approved Temporary Barge Plan must be implemented.</i>					
4.1	The Temporary Barge Plan must be approved by the Minister prior to commencement of the temporary barge facility.	Letter EPBC2010/5642 – South of Embley Bauxite mine and port development Approval of Temporary Barge Plan – conditions 1-4 dated 28/7/15 notes an updated Temporary Barge Plan was submitted 20/4/15. Letter noted that the Plan has been reviewed and found to meet the requirements of	DoE letter of approval dated 28/7/15 Site visit confirming no	Reviewed correspondence demonstrating approval of TBP	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		the relevant conditions. On this basis, as a delegate of the Minister, the Temporary Barge Management Plan was approved – 28/7/15. No works in relation to the TBP have commenced.	works have commenced		
4.2	The approved Temporary Barge Plan must be implemented.	Visited site of proposed Temporary Barge Plan near Pera Heads and confirmed that no works in relation to the TBP have commenced. Therefore implementation of the TBP is not applicable.	Interview Senior Advisor – Environment Site visit	Site visit reviewing works conducted relating to the temporary barge facility	N/A
MARINE AND SHIPPING MANAGEMENT PLAN					
Condition 5 EPBC 2010/5642 <i>The person taking the action must submit a Marine and Shipping Management Plan, covering all facets of the construction and operation of all marine related precincts for the South of Embley project including, but not limited to, the Boyd Port development, shipping activities, barge and ferry terminals, recreational use of beaches on Mining Lease (ML) 7024 by project workforce and the marine environment, anchoring, and underwater noise (excluding dredge management plans at condition 14 and condition 16) for the Minister's approval and must effectively define, avoid, manage and mitigate against impacts to the following matters of national environmental significance:</i> <ol style="list-style-type: none"> <i>the outstanding universal value of the Great Barrier Reef World Heritage Property;</i> <i>Great Barrier Reef National Heritage Place;</i> <i>Great Barrier Reef Marine Park;</i> <i>Listed turtle species;</i> <i>Listed dolphin species; and,</i> <i>Dugong (Dugong dugon) and Bryde's Whale (Balaenoptera edeni).</i> 					
5.1	Marine and Shipping Management Plan/s (MSMP) must be submitted for minister approval in accordance with condition 8.	Rio Tinto Alcan Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Marine and Shipping MP).	DoE letter 19/11/15 approval	Correspondence to verify MSMP submitted to DoE for approval	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Condition 8 allows for the Marine and Shipping MP to be submitted in stages. Stage i being the construction stage.</p> <p>DoE letter of approval Reference 2010/5642 Letter dated 19/11/2015 for the Construction Shipping and Marine Management Plan from the Minister refers to email of 2/11/15 sent to the Department requesting approval of the Construction Marine and Shipping Management Plan. Letter grants, as a delegate of the Minister for the Environment, approval of the Construction Marine and Shipping Management Plan.</p>			
5.2	<p>Marine and Shipping Management Plan/s prepared in accordance with condition 8 must effectively define, avoid, manage and mitigate against impacts to the following matters of national environmental significance:</p> <ul style="list-style-type: none"> a. the outstanding universal value of the Great Barrier Reef World Heritage Property; b. Great Barrier Reef National Heritage Place; c. Great Barrier Reef Marine Park; d. Listed turtle species; e. Listed dolphin species; and, 	<p>Marine and Shipping MP Section 1 outlines the purpose of the plan to address the relevant requirements of the EPBC Approval – these are listed (items a-f). It is noted that the Plan comprises the initial construction phase of the Project, with an operational phase to be developed at a later date. The Plan excludes capital dredging and preliminary works.</p> <p>It is noted that the purpose of the Plan is to define, avoid, manage and mitigate potential negative impacts of construction shipping on the MNES as listed in items (a) to (f).</p> <p>Section 3 notes that an overview of the profiles of MNES and previous survey efforts are provided in Appendix A and references the EIS for more details. Locations of species are shown.</p>	Reviewed Construction MSMP	Evaluation of MSMP to verify impacts are defined and measures are described to avoid, manage and mitigate against impacts to items a-f	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	f. Dugong (<i>Dugong dugon</i>) and Bryde's Whale (<i>Balaenoptera edeni</i>).	<p>Section 6 describes Potential Impacts, Avoidance, Mitigation and Management associated with the construction phase of the Project on MNES. This section covers requirements relating to: underwater noise from pile driving; underwater vessel noise; prevention of marine pollution; spill management and response; vessel traffic management; vessel strike management; marine pest prevention and response; and lighting management. Specific potential construction impact and summary management measures for the listed species are tabulated as follows:</p> <ul style="list-style-type: none"> a. the outstanding universal value of the Great Barrier Reef World Heritage Property – Table 5. b. Great Barrier Reef National Heritage Place – Table 5. c. Great Barrier Reef Marine Park – Table 6. d. Listed turtle species – Table 4. e. Listed dolphin species – Table 4. f. Dugong (<i>Dugong dugon</i>) and Bryde's Whale (<i>Balaenoptera edeni</i>) – Table 4. <p>It is noted that recreational use of beaches, port, barge, jetty and ferry terminals and shipping activities are considered in the identification of potential construction impacts and the management measures documented.</p>			
Condition 6 EPBC 2010/5642					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	<p><i>The Marine and Shipping Management Plan must incorporate avoidance and mitigation mechanisms for impacts to the outstanding universal value of the Great Barrier Reef World Heritage Property; Great Barrier Reef National Heritage Place: Great Barrier Reef Marine Park; Listed turtle species; Listed dolphin species; Dugong (Dugong dugon) and Bryde's Whale (Balaenoptera edeni), including but not limited to:</i></p> <ul style="list-style-type: none"> <i>a. impacts to the marine environment that supports the above listed species traversing, foraging and/or breeding habitat including, seagrass, reefs and corals, listed turtle species nesting and/or foraging habitat;</i> <i>b. impacts from changes to coastal processes, including beach and/or shore erosion from the Boyd Port development, barge facilities and/or ferry facilities and ensure the action does not alter the beach gradients to such an extent that listed turtle species are prevented from and/or impeded in accessing the beach foreshore to nest or listed turtle species hatchlings are prevented and/or impeded from entering the marine environment;</i> <i>c. artificial light related impacts on listed turtle species (including hatchlings) nesting beaches and adjacent marine environment including, but not limited to, lighting from Boyd Port construction and operation, shipping, temporary passenger landing and barge facility between Pera Head and Boyd Bay, and anchored/moored vessels (but excludes operations within the Hey and Embley Rivers);</i> <i>d. measures to ensure shipping activities are undertaken in accordance with the Great Barrier Reef Marine Park Zoning Plan (2003), or its most current version;</i> <i>e. mechanisms to implement best practice mitigation and management measures for ship loading and unloading, and all other aspects of shipping activities to minimise impacts on the marine environment (including bauxite and/or other contamination spills);</i> <i>f. impacts from vessel strike to listed turtle species, listed dolphin species or Dugongs including, but not limited to, restricting vessel speed limits to 6 knots in water depths of 2.5 metres or less; and, implementation of a transit lane in the Hey River and Embley River that follows the greatest water depths;</i> <i>g. impacts from underwater noise including, but not limited to, pile driving activities at Condition 12 and shipping;</i> <i>h. measures that minimise the risk of introduced marine pest species over the life of the project, including ballast water management. The marine pest monitoring program must be consistent with the Department of Agriculture, Fisheries and Forestry's Australian Marine Pest Monitoring Manual (version 2.0), or its most current version;</i> <i>i. impacts associated with recreational use by project employees of listed turtle species nesting habitat (including, but not limited to, implementation of a permit access system for the employees);</i> <i>j. if agreed by the department in writing, requirements of condition 1 to condition 4 may be incorporated into the Marine and Shipping Management Plan;</i> <i>k. impacts identified in the Environmental Management Plan Outlines at Appendix 7-E (Threatened estuarine and Marine species); Appendix 9-A (Non-avian Migratory Species); Appendix 11-A (Great Barrier Reef Marine Park, World Heritage Area and National Heritage Place); and, Appendix 10A (Commonwealth Marine Area) in the Final Environmental Impact Statement; and,</i> <i>l. mechanisms to notify the department in writing within five (5) business days of any confirmed or suspected sighting/s and/or observation/s in the marine environment in and/or around the project area of the Dwarf Sawfish (Pristis clavata); Green Sawfish (Pristis zijsron); Freshwater Sawfish (Pristis microdon); or the Speartooth Shark (Gyphiphius sp. A).</i> 				

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
6.1	Marine and Shipping Management Plan/s prepared in accordance with condition 8 must incorporate avoidance and mitigation mechanisms addressing a. through l.	Rio Tinto Alcan Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Construction MSMP).	Reviewed Construction MSMP to ensure items a-l are addressed. Interviews with Marine Scientist and Principal Environmental Advisor	Evaluation of Construction MSMP	C – see detail below
a	impacts to the marine environment that supports the above listed species traversing, foraging and/or breeding habitat including, seagrass, reefs and corals, listed turtle species nesting and/or foraging habitat;	Marine and Shipping MP Section 6 specifies the requirement to implement measures to address construction impacts on the marine environment that support marine species covered by the Plan including traversing, foraging and/or breeding habitat including, seagrass, reefs and corals, listed turtle species nesting and/or foraging habitat. Table 4 include management measures relating to the potential impacts on habitat, nesting areas, restricting access and disturbance.	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to impacts to the marine environment	C
b	impacts from changes to coastal processes, including beach and/or shore erosion from the Boyd Port development, barge facilities and/or ferry facilities and ensure the action does not alter the beach gradients to such an extent that listed turtle species are prevented from and/or impeded in accessing the beach foreshore to nest or listed turtle species	Marine and Shipping MP Section 6 specifies the requirement to implement measures to address construction impacts associated with changes to coastal processes, including beach and/or shore erosion from the Boyd Port development, barge facilities and/or ferry facilities and ensure the action does not alter the beach gradients to such an extent that listed turtle species are prevented from and/or impeded in accessing the beach foreshore to nest or listed turtle species hatchlings are prevented and/or impeded from entering the	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to impacts from changes to coastal processes	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	hatchlings are prevented and/or impeded from entering the marine environment;	marine environment. Table 4 includes management measures relating to the potential impacts relating to sedimentation by using an open trestle design for the Port jetty. Potential impacts will be monitored and management measures implemented if any changes are identified.			
c	artificial light related impacts on listed turtle species (including hatchlings) nesting beaches and adjacent marine environment including, but not limited to, lighting from Boyd Port construction and operation, shipping, temporary passenger landing and barge facility between Pera Head and Boyd Bay, and anchored/moored vessels (but excludes operations within the Hey and Embley Rivers);	Marine and Shipping MP Section 6 specifies the requirement to implement measures to address artificial light related impacts on listed turtle species (including hatchlings) nesting beaches and adjacent marine environment including, but not limited to, lighting from Boyd Port construction and operation, shipping, temporary passenger landing and barge facility between Pera Head and Boyd Bay, and anchored/moored vessels (but excludes operations within the Hey and Embley Rivers). Section 6.8 details Lighting Management requirements in relation to limiting vessel light and light spill as far as practicable; to minimise artificial light in the Boyd Port area as far as practicable or to turn off lighting when not in use, shield lighting or use long wavelength lighting; and to minimise impacts of artificial lighting at the temporary passenger jetty – to be used at night only in the case of an emergency. Table 4 includes the management measures relating to construction shipping lighting mitigation.	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to artificial light	C
d	measures to ensure shipping activities are undertaken in accordance with the Great Barrier Reef Marine Park Zoning Plan	Marine and Shipping MP Section 6 specifies the requirement to implement measures to ensure shipping activities are undertaken in accordance	Reviewed Construction MSMP	Evaluation of Construction MSMP relating	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	(2003), or its most current version;	<p>with the Great Barrier Reef Marine Park Zoning Plan (2003), or its current version.</p> <p>Section 6.5 details vessel traffic management and requires that vessels entering the GBRMP will traverse through the existing Inner GBR Designated Shipping Area and their activities will be conducted in accordance with the GBRMP Zoning Plan.</p> <p>Marine and Shipping MP Sections Tables 5 and 6 refer to and detail the relevant requirement of the Great Barrier Reef Marine Park Zoning Plan (2003).</p>		to shipping activities	
e	mechanisms to implement best practice mitigation and management measures for ship loading and unloading, and all other aspects of shipping activities to minimise impacts on the marine environment (including bauxite and/or other contamination spills);	<p>Marine and Shipping MP Section 1.2.10 requires a Bunkering Management Plan to be developed by the Boyd Port Marine Contractor to manage spill risk during bunkering activities. The management plan will be developed using the "Guide for the prevention of ship-sourced pollution and for the safe transfer of bunkers in Queensland waters" (MSQ, 2015).</p> <p>Section 6.3 covers prevention of marine pollutions and includes practices relating to shipping activities to minimise impact on the marine environment.</p> <p>Section 6.9, Tables 4, 5 and 6 include the management measures relating to shipping activities such as: anchoring; collision or grounding; vessel maintenance and operation; routes to be followed; lighting; oil risk management; shipping discharge and waste management; ballast water management; biofouling management; piloting</p>	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to ship loading and unloading	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		requirements and specifications for use of GPS; and quarantine requirements.			
f	impacts from vessel strike to listed turtle species, listed dolphin species or Dugongs including, but not limited to, restricting vessel speed limits to 6 knots in water depths of 2.5 metres or less; and, implementation of a transit lane in the Hey River and Embley River that follows the greatest water depths;	<p>Marine and Shipping MP Section 6 specifies the requirement to implement measures to reduce the risk of impacts from vessel strike on listed turtle species, listed dolphin species or Dugongs, including, but not limited to, restricting vessel speed limits to a maximum of six knots in water depths of 2.5m or less; and Implementation of a transit lane in the Hey River and Embley River that follows the greatest water depths. Embley River vessel route and navigation aids plan prepared (25977-000-SSK-5800-00002). Aids not yet required until construction of wharf.</p> <p>Section 6.9, Table 4 includes the management measures includes the requirements above and also include requirements such as training and lookouts.</p>	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to vessel strike	C
g	impacts from underwater noise including, but not limited to, pile driving activities at Condition 12 and shipping;	<p>Marine and Shipping MP Section 6 specifies the requirement to implement measures to reduce the risk of impacts from underwater noise including pile driving and shipping.</p> <p>Marine Shipping MP Section 6.1 Underwater Noise from Pile Driving requires soft start procedures and notes that these procedures will not commence until the listed species are observed to leave the exclusion zone/s or are not observed in the exclusion zone/s for at least 30 minutes. Soft start procedures are described in section 6.1.3, with the</p>	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to underwater noise	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>intention to allow animals to move away from the area of piling activities.</p> <p>Marine and Shipping MP Section 6.9 Tables 4, 5 and 6 include the management measures relating to underwater noise. These relate to controls such as maintenance, restricting speed and management of operation of vessel engines, transit route, qualified vessel crew, review of vessels prior to contracting.</p>			
h	<p>measures that minimise the risk of introduced marine pest species over the life of the project, including ballast water management. The marine pest monitoring program must be consistent with the Department of Agriculture, Fisheries and Forestry's Australian Marine Pest Monitoring Manual (version 2.0), or its most current version;</p>	<p>Marine and Shipping MP Section 6.7 details marine pest prevention and response measures in relation to ballast management; biofouling management; and marine pest surveys and monitoring. Sediment plate installed February 2016 to be removed in May 2016.</p> <p>Section 6.9 Tables 4, 5 and 6 include the management measures relating to management of marine pest species. These include complying with AQIS requirement, monitoring programs, training and reporting requirements.</p> <p>Marine and Shipping MP Section 8.2 requires that a marine pest monitoring program will be developed and implemented by the Project. It is specified that the marine pest monitoring program will be consistent with the National System for Prevention and Management of Marine Pest Incursions and the current version of the Department of Agriculture,</p>	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to marine pest species	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Fisheries and Forestry's Australian Marine Pest Monitoring Manual.			
i	impacts associated with recreational use by project employees of listed turtle species nesting habitat (including, but not limited to, implementation of a permit access system for the employees);	<p>Marine and Shipping MP Section 1.2.6 notes that a Foreshore Access Management Plan has been developed that restricts access for unpermitted persons to foreshore areas between Ina Creek and Winda Winda Creek.</p> <p>Amrun Project Foreshore Access Management Plan (Draft dated 7/12/15 SoE-PSD-BPL-0015) has been developed. This plan details access for construction and recreational activities and specifies the requirement to prevent impacts to turtles and their nesting habitats. Rules for access are specified. The foreshore access permit system is described. It is noted that the Foreshore Access Management Plan applies to the initial construction phase of the project and will subsequently be updated for operations, as required. The plan is not yet implemented as foreshore access is not yet permitted.</p> <p>Marine and Shipping MP Section 6 requires measures to address impacts associated with recreational use by construction employees of listed turtle species nesting habitat including, but not limited to, implementation of a permit access system for the employees.</p> <p>Section 6 Table 4 includes the management measures relating to management of impacts</p>	<p>Reviewed Construction MSMP</p> <p>Reviewed Draft Foreshore Access MP</p>	<p>Evaluation of Construction MSMP relating to recreational use</p> <p>Evaluation of Draft Foreshore Access MP relating to recreational use</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		associated with employee access to listed turtle species nesting habitats including implementing and enforcing a beach access permit system and prohibiting access to the beach for recreational purposes by the construction workforce at night.			
j	if agreed by the department in writing, requirements of condition 1 to condition 4 may be incorporated into the Marine and Shipping Management Plan;	Not applicable - Temporary Barge Plan prepared to address requirements.	Interview Senior Advisor – Environment Reviewed Construction MSMP Reviewed TBP	Evaluation of Construction MSMP relating to Temporary Barge Plan	N/A
k	impacts identified in the Environmental Management Plan Outlines at Appendix 7-E (Threatened estuarine and Marine species); Appendix 9-A (Non-avian Migratory Species); Appendix 11-A (Great Barrier Reef Marine Park, World Heritage Area and National Heritage Place); and, Appendix 10A (Commonwealth Marine Area) in the Final Environmental Impact Statement; and,	Marine and Shipping MP Section 6 notes that the measures (including adaptive management measures) included in the Management Plan are consistent with those proposed in the EIS (RTA Weipa, March 2013) as they relate to construction shipping activities and as a minimum reflect the proposed measures for threatened estuarine and marine species (Appendix 7-E), migratory species (Appendix 9-A); the GBRWHP and GBRNHP (Appendix 11-A); and the GBRMP (Appendix 10- A)	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to impacts identified in Final EIS, as described	C
l	mechanisms to notify the department in writing within five (5) business days of any confirmed or suspected sighting/s and/or observation/s in the	Marine and Shipping MP Section 8.4 requires that during Construction, DoE is to be notified within five business days of any confirmed or suspected observations by Project personnel of Dwarf Sawfish (<i>Pristis clavata</i>); Green Sawfish (<i>Pristis zijsron</i>);	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to notification to department	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	marine environment in and/or around the project area of the Dwarf Sawfish (<i>Pristis clavata</i>); Green Sawfish (<i>Pristis zijsron</i>); Freshwater Sawfish (<i>Pristis microdon</i>); or the Speartooth Shark (<i>Giyphis</i> sp. A).	Freshwater Sawfish (<i>Pristis microdon</i>); or the Speartooth Shark (<i>Giyphis</i> sp. A). Induction information and instruction to report sightings will be conducted. During piling activities, marine observers will receive a more detailed briefing and daily field records will be kept.		for listed sightings	
Condition 7 EPBC 2010/5642 <i>The Marine and Shipping Management Plan must also include adaptive management strategies to benefit the outstanding universal value of the Great Barrier Reef World Heritage Property; Great Barrier Reef National Heritage Place; Great Barrier Reef Marine Park; listed turtle species, listed dolphin species, Dugong and Bryde's Whale. The Marine and Shipping Management Plan must include and address effective management strategies to mitigate each potential impact, desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specify the persons/ roles with responsibility for implementing actions. The Marine and Shipping Management Plan must provide information detailing Traditional Owner opportunities for employment, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).</i>					
7.1	Marine and Shipping Management Plan/s prepared in accordance with condition 8 must include adaptive management strategies to benefit the outstanding universal value of the Great Barrier Reef World Heritage Property; Great Barrier Reef National Heritage Place; Great Barrier Reef Marine Park; listed turtle species, listed dolphin species, Dugong and Bryde's Whale.	<p>Rio Tinto Alcan Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Marine and Shipping MP).</p> <p>Marine and Shipping MP Section 7, Tables 7, 8 and 9 include action plans for each MNES to implement the mitigation measures identified in section 6. Each action plan includes: the current benchmark or baseline status of each MNES (if known); desired outcomes and goals following mitigation; performance indicators; timeframes for implementation; corrective actions and contingency measures; and roles and responsibilities for implementation. Reporting timeframes are specified, as required.</p>	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to adaptive management strategies	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Adaptive management strategies are included in Sections 6 and 7, as detailed under Condition 6 noted in this checklist.			
7.2	The Marine and Shipping Management Plan/s prepared in accordance with condition 8 must include and address effective management strategies to mitigate each potential impact, desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specify the persons/ roles with responsibility for implementing actions.	Marine and Shipping MP Section 7, Tables 7, 8 and 9 include action plans for each MNES to implement the mitigation measures identified in section 6. Each action plan includes: the current benchmark or baseline status of each MNES (if known); desired outcomes and goals following mitigation; performance indicators; timeframes for implementation; corrective actions and contingency measures; and roles and responsibilities for implementation. Reporting timeframes are specified, as required.	Reviewed Construction MSMP	Evaluation of Construction MSMP relating to management strategies	C
7.3	The Marine and Shipping Management Plan/s prepared in accordance with condition 8 must provide information detailing Traditional Owner opportunities for employment, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).	Marine and Shipping MP Section 9 details Traditional Owner employment opportunities associated with marine works and shipping in relation to the Feral Pig Management Offset Strategy; Foreshore Access Permit System; Inshore Dolphin Offset Strategy; and Marine Mammal Observations during piling operations. In addition, through the existing Indigenous Land Use Agreement, opportunities for employment of Traditional Owners are identified through and employment and training plan. Quarterly review reports on Indigenous employment and training obligations are made to the Traditional Owners.	Reviewed Construction MSMP Quarterly Review Report	Evaluation of Construction MSMP relating to Traditional Owners	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		E.g. Employment and Training Quarterly Review October 2015 – December 2015.			
Condition 8 EPBC 2010/5642 <i>The Marine and Shipping Management Plan may be submitted to the Minister in the following stages, but the respective stages must not commence until the Minister has approved each respective version of the plan:</i> <i>i an initial plan related to impacts associated with construction activities, other than Preliminary Works and the pile driving operations carried out in accordance with condition 12 to condition 13;</i> <i>ii a subsequent plan to also reflect impacts associated with operations on the outstanding universal value of the Great Barrier Reef World Heritage Property; Great Barrier Reef National Heritage Place and Great Barrier Reef Marine Park; and,</i> <i>iii subsequent revisions in accordance with condition 10.</i>					
8.1	A Marine and Shipping Management Plan for stage i. must be approved by the Minister prior to commencement of stage i.	Rio Tinto Alcan Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Marine and Shipping MP) covers construction – Stage i. At the time of audit (29/4/16) construction had not commenced. Marine and Shipping MP Appendix D includes Letter of approval for the Construction Shipping and Marine Management Plan from the Minister. Reference 2010/5642 Letter dated 19/11/2015 refers to email of 2/11/15 sent to the Department requesting approval of the Construction Marine and Shipping Management Plan. Letter grants, as a delegate of the Minister for the Environment, approval of the Construction Marine and Shipping Management Plan.	DoE letter of approval 19/11/15. Construction works have not yet commenced. EPBC Permit 2010/5642 definition construction works Interview Senior Environmental Advisor Site inspection	Reviewed correspondence of approval. Interview Senior Environmental Advisor relating to stage of works Site inspection verifying status of stage of works including Boyd Port Area, Pera Heads, Hey River Terminal, Humbug Terminal (from ferry)	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
8.2	A Marine and Shipping Management Plan for stage ii. must be approved by the Minister prior to commencement of stage ii.	A subsequent plan is not yet required as operations have not yet commenced – not applicable. Site inspection verified operations have not yet commenced. This site inspection included Boyd Port Area, Pera Heads, Hey River Terminal, and Humbug Terminal (from ferry) and showed that no construction works, as defined by the EPBC Permit 2010/5642 had commenced.	Interview Senior Environmental Advisor Site inspection	Interview Senior Environmental Advisor relating to stage of works Site inspection verifying status of stage of works (as noted above)	N/A
8.3	A Marine and Shipping Management Plan for stage iii must be approved by the Minister prior to commencement of stage iii.	A subsequent revised plan is not yet required as operations have not yet commenced. Revised plan is required two years after operations have commenced – not applicable. Site inspection verified operations have not yet commenced.	Interview Senior Environmental Advisor Site inspection	Interview Senior Environmental Advisor relating to stage of works Site inspection verifying status of stage of works (as noted above)	N/A
Condition 9 EPBC 2010/5642 <i>The subsequent Marine and Shipping Management Plan at condition 5 must be developed in consultation with relevant Commonwealth agencies, including the Australian Maritime Safety Authority and the Great Barrier Reef Marine Park Authority, and state agencies, including Maritime Safety Queensland.</i>					
9.1	The subsequent Marine and Shipping Management Plan at condition 8 stage ii must be developed in consultation with relevant Commonwealth agencies, including the Australian	A subsequent Marine and Shipping Management Plan is not yet required as operations have not yet commenced – not applicable. Site inspection including Boyd Port Area, Pera Heads, Hey River Terminal, Humbug Terminal (from	Interview Senior Environmental Advisor Site inspection	Interview Senior Environmental Advisor relating to stage of works	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Maritime Safety Authority and the Great Barrier Reef Marine Park Authority, and state agencies, including Maritime Safety Queensland.	ferry) verifying construction and operations have not yet commenced.		Site inspection verifying status of stage of works (as noted above)	
Condition 10 EPBC 2010/5642 <i>Within two (2) years of operations commencing, the Marine and Shipping Management Plan must be reviewed, revised and submitted to the Minister for approval. The Marine and Shipping Management Plan must be reviewed, revised and submitted to the Minister for approval every three (3) years for the next nine (9) years and, unless otherwise agreed by the Minister in writing every five (5) years thereafter for the life of the project.</i>					
10.1	The Marine and Shipping Management Plan at condition 8, stage ii. must be reviewed, revised and submitted to the Minister for approval within two (2) years of operations commencing.	<p>Operations have not yet commenced and therefore the requirement for a revised Marine and Shipping Management Plan is not applicable.</p> <p>Site inspection including Boyd Port Area, Pera Heads, Hey River Terminal, Humbug Terminal (from ferry) verifying construction and operations have not yet commenced.</p>	<p>Interview Senior Environmental Advisor</p> <p>Site inspection</p>	<p>Interview Senior Environmental Advisor relating to stage of works</p> <p>Site inspection verifying status of stage of works (as noted above)</p>	N/A
10.2	The Marine and Shipping Management Plan at condition 8, stage ii. must be reviewed, revised and submitted to the Minister for approval every three (3) years for the next nine (9) years and, unless otherwise agreed by the Minister in writing every five (5) years thereafter for the life of the project.	Operations have not yet commenced and therefore the requirement for a revised Marine and Shipping Management Plan is not applicable.	<p>Interview Senior Environmental Advisor</p> <p>Site inspection</p>	<p>Interview Senior Environmental Advisor relating to stage of works</p> <p>Site inspection verifying status of stage of</p>	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
				works (as noted above)	
Condition 11 EPBC 2010/5642					
<i>The approved Marine and Shipping Management Plan/s must be implemented.</i>					
11.1	The approved Marine and Shipping Management Plan at condition 8, stage i. must be implemented for stage i.	<p>Where works have commenced, it was noted that the Marine and Shipping Management Plan was well implemented. Examples included:</p> <p>Pre-mobilisation Checklists are completed for all vessels prior to operating within the Amrun Project site to ensure all relevant certificates are current, manning is appropriate including training, logs and records are kept as required, relevant equipment including spills response and pollution prevention is in place. Any issues are raised with required actions noted. Evidence of corrective action sign off, including photographic evidence. Sighted examples: Barge 1802 2/3/16 – 28/3/16; Black Panther 23/2/16; Cronus 2/3/16 – 1/4/16; Goodline Workboat 1042 20/2/16, 5/3/16, 7/3/16; PMG Harmony 22/1/16, 23/2/16, 14/3/16; PMH183W 23/2/16, 14/3/16; PMG Sailfish 23/2/16; Sunset Sienna 14/3/16; Bhagwan Abrolhos; Rhumb Barge 14/12/15; Bhagwan Adrenaline Sprint 25/1/16-11/2/16; Bhagwan Sunny 1/3/16; Bhagwan Warrigal 25/1/16, 26/2/16; PMG 122 26/2/16. Vessel Specification and Approval Process (version 1 dated 11/4/16) details requirements for compliance checks and ongoing monitoring. A spreadsheet is used to ensure all vessels used have the appropriate checks and this was sighted.</p>	<p>Vessel inspection - reviewed records and controls measures for the Warrigal</p> <p>Interviews with Warrigal crew</p> <p>Interview with Site Environmental Advisor, Bechtel</p> <p>Pre-mobilisation checklist</p> <p>Vessel spreadsheet</p> <p>Warrigal daily log book</p> <p>Warrigal Maintenance checklist</p> <p>Warrigal spill kit</p> <p>Warrigal drill records</p> <p>Warrigal bunkering records</p>	<p>Vessel inspection included Warrigal - vessel of transit</p> <p>Sample of records provided for all vessels used on the project to date. Sample of records provided covered all vessels used on the project to date.</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>International vessels DN207, Leeuw, Arent, Marquis De Prie and JFJ De Nul did not provide a vessel specification and approval process form as they undergo inspections by AMSA. The AMSA requirements are consistent with requirements of the construction marine and shipping management plan as part of the AMSA process, vessels that do not comply are detained until issues are rectified. No delays due to non-compliance were recorded for any international vessel for the Amrun Project as all vessels were in compliance.</p> <p>All vessels underwent a marine pest risk assessment (and inspections) and were cleared prior to mobilising to site.</p> <p><u>Warrigal</u> Sighted daily log book, maintenance checklists, navigational systems, spill kits, evidence of monthly drills e.g. spill drill, garbage record book (e.g. waste disposal records period 29/2/16 – 7/5/16; and waste oil disposal e.g. 5/5/16, 9/4/16). Vessel spill procedure checklists and procedures on the vessel. Spill management equipment included in the vessel inspection checklists. Sighted spill kit on Warrigal. Construction Spill Prevention and Response Plan (30/6/15). Spill emergency drill exercise e.g. 3/3/16 Bhagwan Marine. Bunkering and fuel transfer checklist e.g. 31/3/16.</p>	<p>Warrigal waste records Waste transport certificates Vessel traffic maps AMSA Vessel Inspection Book</p>		

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Waste transport certificates provided for project period e.g. Q00836417 16/3/16, 29/3/16, Q01119383 4/4/16.</p> <p>Vessel traffic maps e.g. February 2016 shows vessel speed and depth of water. Noted that few vessels can operate in less than 2.5m depth due to vessel draft. Noted that no vessels are operational at speeds above 6 knots in depths less than 2.5m. Data take from AMSA website. Data for March and April 2016 not yet available.</p> <p>All vessels have AIS installed for vessel tracking and included in vessel approval process. Vessels are monitored in real time by MSQ. This was observed on the vessel Warrigal during the site audit. In terms of implementation, all relevant items confirming compliance with the Marine Shipping and Management Plan were verified in relation to: underwater vessel noise, prevention of marine pollution, spill management and response, vessel traffic management, vessel strike management, marine pest prevention and response and monitoring. No items were identified during the document review or the site audit that indicated that relevant actions required by the Marine Shipping and Management Plan had not been undertaken.</p>			
11.2	The approved Marine and Shipping Management Plan at	A revised Marine and Shipping Management Plan relevant to stage ii is not yet applicable.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	condition 8, stage ii. must be implemented for stage ii.				
11.3	The approved Marine and Shipping Management Plan at condition 8, stage iii. must be implemented for stage iii.	A revised Marine and Shipping Management Plan relevant to stage iii is not yet applicable.	N/A	N/A	N/A
PILE DRIVING OPERATIONS					
<p>Condition 12 EPBC 2010/5642</p> <p><i>The approval holder must ensure that the following measures related to any pile driving operations are implemented to minimise the impacts of underwater noise and disturbance on the following listed threatened species and/or listed migratory species:</i></p> <p>iv. <i>Listed turtle species;</i></p> <p>v. <i>Listed dolphin species; and</i></p> <p>vi. <i>Dugong (Ougong dugan) and Bryde's Whale (Balaenoptera edeni). Those measures must include:</i></p> <p>a. <i>pile driving operations must implement soft start procedures. The soft start procedures must not commence until the above listed species are observed to leave the exclusion zone/s or are not observed in the exclusion zone/s for at least 30 minutes;</i></p> <p>b. <i>observations for the above listed species must be undertaken over the observation zone by a suitably qualified marine observer, for at least 30 minutes before the commencement of pile driving operations, and during pile driving operations;</i></p> <p>c. <i>the exclusion zone must be no less than 100 metres from the pile driving operations and be implemented so as to ensure that the above listed species are not exposed to sound exposure levels of greater than or equal to 183 dB re 1μ Pa² s;</i></p> <p>d. <i>pile driving operations must cease if the species listed above are observed within the exclusion zone, and action to cease all pile driving operations within the exclusion zone must be taken within two minutes of the observation, or as soon as possible, if it is unsafe to cease pile driving operations within two minutes. Every 30 days during periods when pile driving operations are occurring, the approval holder must report the number of incidents where pile driving operations did not cease within two minutes;</i></p> <p>e. <i>pile driving operations must not recommence until the species listed above observed within the exclusion zone are observed to leave the exclusion zone or are not observed to leave the exclusion zone for at least 30 minutes; and,</i></p> <p>f. <i>only pile driving operations which have commenced prior to sunset or prior to a period of low visibility can continue between the hours of sunset and sunrise, unless pile driving operations are suspended for more than 15 minutes.</i></p>					
12.1	Measures a. through f. must be implemented for any pile driving operations.	Rio Tinto Alcan Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19	Reviewed Construction MSMP	Evaluation of Construction	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>November 2015 (Marine and Shipping MP) covers construction.</p> <p>Construction Marine and Shipping MP Sections 6.1 and 6.9, Table 4 detail controls relating to pile driving.</p> <p>Pile driving has not yet commenced on site and therefore Condition 12 is not applicable.</p>	<p>Interview Senior Advisor – Environment</p> <p>Site Inspection</p>	<p>MSMP relating to pile driving</p> <p>Interview Senior Environmental Advisor relating to stage of works</p> <p>Site inspection verifying status of stage of works</p>	
a	pile driving operations must implement soft start procedures. The soft start procedures must not commence until the above listed species are observed to leave the exclusion zone/s or are not observed in the exclusion zone/s for at least 30 minutes;	Marine and Shipping MP Section 6.1 Underwater Noise from Pile Driving requires soft start procedures and notes that these procedures will not commence until the listed species are observed to leave the exclusion zone/s or are not observed in the exclusion zone/s for at least 30 minutes. Soft start procedures are described in section 6.1.3, with the intention to allow animals to move away from the area of piling activities.	N/A	N/A	N/A
b	observations for the above listed species must be undertaken over the observation zone by a suitably qualified marine observer, for at least 30 minutes before the commencement of pile driving operations, and during pile driving operations;	Marine and Shipping MP Section 6.1.1 Suitably Qualified Marine Observers notes that suitably qualified marine observers will visually search for listed species within the designated observation zones for at least 30 minutes before the commencement of piling operations and during piling operations.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
c	the exclusion zone must be no less than 100 metres from the pile driving operations and be implemented so as to ensure that the above listed species are not exposed to sound exposure levels of greater than or equal to 183 dB re 1µPa2.s;	Marine and Shipping MP Section 6.1.2 Exclusion and Observation Zones that than an exclusion zone on no less than 100m will be implemented during piling activities, with minimum observation zones specified in Table 2 for the different species.	N/A	N/A	N/A
d	pile driving operations must cease if the species listed above are observed within the exclusion zone, and action to cease all pile driving operations within the exclusion zone must be taken within two minutes of the observation, or as soon as possible, if it is unsafe to cease pile driving operations within two minutes. Every 30 days during periods when pile driving operations are occurring, the approval holder must report the number of incidents where pile driving operations did not cease within two minutes;	Marine and Shipping MP Section 6.1 Underwater Noise from Pile Driving requires pile-driving operations to cease if listed species are observed within the exclusion zone, and action to cease all pile-driving operations within the exclusion zone will be taken within two minutes of the observation, or as soon as possible if the operator determines it is unsafe to cease pile-driving operations within two minutes. Every 30 days during periods when pile-driving operations are occurring, the number of incidents where pile-driving operations did not cease within two minutes after listed species were observed within the exclusion zone will be reported.	N/A	N/A	N/A
e	pile driving operations must not recommence until the species listed above observed within the exclusion zone are observed to leave the exclusion zone or are not observed to leave the	Marine and Shipping MP Section 6.1 Underwater Noise from Pile Driving states that pile-driving operations will not recommence until listed species observed within the exclusion zone are observed to leave the exclusion zone, or are not observed in the exclusion zone for at least 30 minutes.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	exclusion zone for at least 30 minutes;				
f	only pile driving operations which have commenced prior to sunset or prior to a period of low visibility can continue between the hours of sunset and sunrise, unless pile driving operations are suspended for more than 15 minutes.	Marine and Shipping MP Section 6.1 Underwater Noise from Pile Driving states that only pile-driving operations which have commenced prior to sunset or prior to a period of low visibility can continue between the hours of sunset and sunrise. If pile-driving during these periods ceases for more than 15 minutes, pile driving cannot recommence until sunrise.	N/A	N/A	N/A
QUALIFIED MARINE OBSERVER					
Condition 13 EPBC 2010/5642					
<i>The criteria for a suitably qualified marine observer at condition 12b must be submitted to the Minister for approval and records must be kept of marine observers subsequently engaged. Pile driving operations cannot commence until the criteria has been approved.</i>					
13.1	Criteria for a suitably qualified marine observer must be submitted to the Minister and approved prior to pile driving operations commencing.	<p>Letter dated 22/10/14 from DoE acknowledging letter dated 10/10/14 relating to the submitted criteria for suitably qualified marine observers. Noted satisfaction regarding the essential criteria provided that will be used in selecting suitable persons to undertake marine observations required under Condition 12. Noted as a delegate of the Minister, that the criteria for the marine observer are approved.</p> <p>Rio Tinto Alcan Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Marine and Shipping MP) covers construction – Stage i Section 1.2.3</p> <p>Pile driving operations have not yet commenced.</p>	<p>Letter dated 10/10/14 seeking approval of marine observer criteria</p> <p>Letter dated 22/10/14 from DoE re approval of Marine Observer Criteria.</p> <p>Interview Senior Environmental Advisor</p> <p>Construction MSMP</p>	<p>Correspondence to verify criteria for marine observer submitted.</p> <p>Interview Senior Environmental Advisor relating to stage of works.</p> <p>Site inspection verifying stage of works</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Criteria for Marine Observers (Version 2 – approved version) dated 23/10/14 lists essential and desirable criteria for a marine observer and includes qualifications, skills and experience.	Criteria for Marine Observers Site inspection verifying stage of works		
13.2	Records must be kept of marine observers subsequently engaged for any pile driving operations.	Pile driving operations have not yet commenced – not applicable.	Interview Senior Environmental Advisor relating to stage of works. Site inspection verifying stage of works.	Interview Senior Environmental Advisor relating to stage of works. Site inspection verifying stage of works.	N/A
DREDGING MANAGEMENT PLANS					
<p>Condition 14 EPBC 2010/5642</p> <p><i>The approval holder must submit to the Minister for approval a Capital Dredging Management Plan/s for capital dredging activities associated with the South of Embley project. The Capital Dredging Management Plan/s must be prepared in accordance with the Australian Government National Assessment Guidelines for Dredging (2009), or their most current versions, to avoid and mitigate impacts on:</i></p> <ul style="list-style-type: none"> <i>i. Commonwealth Marine Area;</i> <i>ii. Listed turtle species;</i> <i>iii. Listed dolphin species; and,</i> <i>iv. Dugong (Dugong dugon) and Bryde's Whale (Balaenoptera edeni).</i> <p>NOTE: Capital Dredge Management Plans consist of:</p> <ul style="list-style-type: none"> Dredge Management Plan – Port (Initial Capital Dredging) November 2015 (DMP-Port) Capital Dredge Management Plan - River Facilities 16 September 2015 (DMP-River) 					
14.1	Capital Dredging Management Plan/s for capital dredging activities associated with the	Letter dated 16/11/15 from DoE referring to email dated 2/11/15 to the Department requesting approval of the Dredge Management Plan – Port	DoE letter dated 16/11/15	Correspondence showing evidence of	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	South of Embley project must be submitted to the minister for approval.	(Initial Capital Dredging). Officers of the DoE have found it meets the requirements of approval Condition 14 of the EPBC Act approval and Condition 3 of the Sea Dumping Permit. On this basis, as a delegate of the Minister, the Dredge Management Plan – Port (Initial Capital Dredging) is approved. Letter dated 16/9/15 from DoE referring to email dated 2/8/15 to the Department requesting approval of the Capital Dredge Management Plan – River Facilities. Officers of the DoE have found it meets the requirements of approval Condition 14 of the EPBC Act approval and Condition 3 of the Sea Dumping Permit. On this basis, as a delegate of the Minister, the Capital Dredge Management Plan – River Facilities is approved.	approving DMP - Port DoE letter dated 16/9/15 approving DMP - River	submission for DMP-Port and DMP-River	
14.2	Capital Dredging Management Plan/s must include measures to avoid and mitigate impacts on: i. Commonwealth Marine Area; ii. Listed turtle species; iii. Listed dolphin species; and, iv. Dugong (<i>Dugong dugon</i>) and v. Bryde's Whale (<i>Balaenoptera edeni</i>).	Section 6.2 DMP-River Threatened Marine Mammals and Marine Turtles notes describes measures to avoid vessel strikes, water quality, underwater noise and impacts from artificial lighting. Section 6.1 and 6.2 DMP-Port describe measure to manage water quality and coral health. Section 6.3 address Marine mammals and turtles covering the same issues as the DMP-River.	Reviewed DMP-Port Reviewed DMP-River	Evaluate DMP-Port and DMP-River to verify measures are included relating to species i-v	C
Condition 15 EPBC 2010/5642 <i>Capital dredging activities cannot commence until the Capital Dredging Management Plan at condition 14 has been approved.</i>					
15.1	Capital Dredging Management Plan at condition 14 must be	Letter dated 16/11/15 from DoE referring to email dated 2/11/15 to the Department requesting	DoE letter dated 16/11/15	Correspondence showing	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	approved prior to commencing capital dredging activities.	<p>approval of the Dredge Management Plan – Port (Initial Capital Dredging). Officers of the DoE have found it meets the requirements of approval Condition 14 of the EPBC Act approval and Condition 3 of the Sea Dumping Permit. On this basis, as a delegate of the Minister, the Dredge Management Plan – Port (Initial Capital Dredging) is approved.</p> <p>Capital dredging in this port area commenced 26/3/16. Port dredging records spreadsheet show dredge volume and number of barge trips for period 26/3/16 – 9/4/16.</p> <p>Letter dated 16/9/15 from DoE referring to email dated 2/8/15 to the Department requesting approval of the Capital Dredge Management Plan – River Facilities. Officers of the DoE have found it meets the requirements of approval Condition 14 of the EPBC Act approval and Condition 3 of the Sea Dumping Permit. On this basis, as a delegate of the Minister, the Capital Dredge Management Plan – River Facilities is approved.</p> <p>Capital dredging in this river facilities area commenced 5/3/16. Dredging records 5-30/3/16. Approvals of both Capital Dredging Management Plans provided prior to commencement of dredging activities.</p>	<p>approving DMP - Port</p> <p>DoE letter dated 16/9/15 approving DMP – River</p> <p>Dredging records for Port and River Facilities</p>	<p>evidence of approval for DMP-Port and DMP-River prior to commencement of dredging.</p> <p>Dredging records showing commencement date. Reviewed daily records for the entire dredging period.</p>	
<p>Condition 16 EPBC 2010/5642</p> <p><i>The approval holder must submit to the Minister for approval a Maintenance Dredging Management Plan/s for all maintenance dredging activities associated with the South of Embley Project. The Maintenance Dredging Management Plan/s must be prepared in accordance with the Australian</i></p>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<i>Government National Assessment Guidelines for Dredging (2009) and the department's Long Term Monitoring and Management Plan Requirements for 10 year Permits to Dump Maintenance Dredge Material at Sea (July 2012), or their most current versions, to avoid and mitigate impacts for the matters of national environmental significance listed at condition 14.</i>					
16.1	Maintenance Dredging Management Plan/s for all maintenance dredging activities associated with the South of Embley Project must be submitted to the minister for approval.	Maintenance Dredging Management Plan has not yet been written. No maintenance dredging associated with the Project has been undertaken – not applicable.	Interview with Senior Advisor - Environment	Interview with Senior Advisor – Environment re stage of works.	N/A
16.2	Maintenance Dredging Management Plan/s must include measures to avoid and mitigate impacts on: i. Commonwealth Marine Area; ii. Listed turtle species; iii. Listed dolphin species; and, iv. Dugong (Dugong dugon) and Bryde's Whale (Balaenoptera edeni).	Maintenance Dredging Management Plan has not yet been written. No maintenance dredging associated with the Project has been undertaken – not applicable.	Interview with Senior Advisor - Environment	Interview with Senior Advisor – Environment re stage of works.	N/A
Condition 17 EPBC 2010/5642 <i>Maintenance dredging activities cannot commence until the Maintenance Dredging Management Plan at condition 16 has been approved.</i>					
17.1	Maintenance Dredging Management Plan at condition 16 must be approved prior to maintenance dredging activities commencing.	Maintenance Dredging Management Plan has not yet been written. No maintenance dredging associated with the Project has been undertaken – not applicable.	Interview with Senior Advisor - Environment	Interview with Senior Advisor – Environment re stage of works.	N/A
Condition 18 EPBC 2010/5642 <i>The approved Plans at condition 14 and condition 16, and/or their subsequent revisions, must be implemented.</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
18.1	The approved Capital Dredge Management Plan/s must be implemented in relation to capital dredge activities.	<p>DMP-Port and DMP-River have been implemented as follows:</p> <p>Letter to DoE dated 25/1/16 notifying Hey River capital dredge campaign is to commence on 4/3/16 and Humbug Barge Terminal on 16/3/16.</p> <p>Letter to DoE dated 5/4/16 notifying completion of dredge campaign for Hey River Barge and Ferry Terminal and Humbug Barge Terminal.</p> <p>Letter to DoE dated 25/1/16 notifying Amrun Port capital dredge campaign is to commence on 22/3/16.</p> <p>Letter to DoE dated 11/4/16 notifying completion of dredge campaign for Amrun Port completed 9/4/16.</p> <p><u>DMP-River</u> Section 6 Management and Monitoring requires: EHP advise prior to and upon completion of capital dredging – demonstrated by:</p> <p>Letter dated 25/1/16 advising dredging to commence Hey River 4/3/16; Letter dated 6/4/16 advising program of works and dredge volumes, including notification of completion date 30/3/16.</p> <p>Letter dated 26/2/16 advising dredging Humbug Barge Terminal 13/3/16; letter dated 25/1/16 advising dredging planned at Amrun Port 22/3/16.</p>	<p>Reviewed DMP-Port Reviewed DMP-River Letter to EHP dated 22/12/15</p> <p>Reviewed WMS River Dredging</p> <p>Reviewed Construction Environmental Management Plan – Amrun Dredging</p> <p>Marine Fauna Observer Training attendance sheet (14/2/16, 15/2/16, 17/2/16)</p> <p>Dredging marine fauna reporting database period 6-31/3/16, equivalent to dredging campaign.</p>	<p>Review correspondence to verify communication to EHP was conducted.</p> <p>Review training records relating to marine observers – 3 attendance sheets / 3 training courses conducted; 9 participants in total / 9 certificates sighted.</p> <p>Review fauna log to: ensure observers have been trained, ensure records completed daily, to ensure DMP implemented. Daily log reviewed in</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>EHP advised after completion of capital dredging – demonstrated by letter dated 11/4/16 advising dredging was completed 9/4/16.</p> <p>Requirement to maintain a marine fauna observer. Log to be maintained detailing marine mammal and turtle sightings. Marine pest management measures detailed.</p> <p>Training attendance sheets (14/2/16, 15/2/16, 17/20/16) for 1 day Marine Fauna Observer Training – Blue Planet Marine – 9 attendees in total. Certificates provided for all 9 attendees noting completion of Amrun Project marine fauna observer training program for dredging operations. Dredging Marine Fauna Database notes name of Marine fauna observer. The names on the log correspond to those that had completed the training e.g. V.Romanov 15/2/16, I.Ivolgin 14/2/16, G.Shine 17/2/16.</p> <p>Daily records for dredging – river available 6/3/16 – 31/3/16 (Dredging marine fauna reporting database) includes: date, vessel, location, sunrise, sunset, observation type (dredging / disposal), observations commenced, dredging commenced, pre-dredge observation, fauna observed, dredging delayed / ceased, comments on stoppages, marine fauna observer (shift start and finish time for each observer on that day). Records show that marine fauna observer commenced 20 minutes prior to</p>	<p>Daily dredging records</p> <p>Pre and post dredge survey records</p> <p>Amrun Environmental Inspection Checklist</p> <p>Interviews Senior Environmental Scientist, Site Environmental Advisor</p>	<p>entirety for full period.</p> <p>Review dredging records for entire campaign to ensure works occurred within limits</p> <p>Review operational procedures to ensure DMP requirements are addressed</p>	

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>activity, as required by management plan. Daily records for port also available for period 26/3/16 – 9/4/16.</p> <p>Noted minimal observations ie 1 dolphin 6/3/16; 3-4 dolphins 12/3/16. No need to stop – animals travelling. No evasive action required. No animals injured. No listed species were sighted for dredging in the Port.</p> <p>Amrun Project Dredging Marine Fauna Observation Procedure 22/1/16 (25977-000-GPP-GHE-00020).</p> <p>Jan De Nul Amrun Project – Dredging WMS – River Dredging dated 3/3/16. Jan De Nul Amrun Project – Dredging WMS – Boyd Dredging dated 17/3/16.</p> <p>Jan De Nul Construction Environmental Management Plan – Amrun Dredging (CAL.01-BC-MR-CC-00005) dated 24/3/16 details the work requirements, as specified in the DMP including monitoring, marine fauna management, fauna observation procedures, pest management, lighting, waste management, noise, materials management including spills.</p> <p>Letter dated 4/1/16 to Jan De Nul confirming approval of marine pest risk assessment for vessel. Pre-dredge survey and post dredge surveys conducted.</p>			

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Jan De Nul dredging Environmental induction package – Amrun Project – Dredging 25/2/16 – approved by RTAW</p> <p>Dredging records as described in reporting for the Sea Dumping Permit indicating volumes dredged and dumped are in accordance with dredging management plans.</p> <p>Inspection conducted 14/3/16 and noted all procedures complied with – Amrun Environmental Inspection Report.</p> <p>Baseline Coral Health Monitoring Towed Camera Video Surveys 31/3/16 Report demonstrated coral health monitoring program conducted as required by DMP – Port. Supported by RTA Weipa Coral Health Monitoring SOP.</p> <p>In terms of implementation, all relevant items confirming compliance with the approved Dredge Management Plans (Port and River Facilities) were verified in relation to management and monitoring as they applied to the stage of the project and the nature of the works undertaken. No items were identified during the document review or in discussions with site personnel that indicated that relevant actions required by the Dredge Management Plans had not been undertaken.</p>			

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
18.2	The approved Maintenance Dredge Management Plan/s must be implemented in relation to maintenance dredge activities.	Maintenance DMP not yet written as no maintenance dredging associated with the Project has been undertaken – not applicable.	Interview with Senior Advisor - Environment	Interview with Senior Advisor – Environment re stage of works.	N/A
SEA DUMPING PERMIT					
Condition 19 EPBC 2010/5642 <i>The approval holder must comply with the requirements of any permits obtained under the Environment Protection (Sea Dumping) Act 1981, including any conditions attached to the permit/s.</i>					
19.1	Compliance with Sea Dumping Permit 2010/1762 in relation to capital dredge activities identified within the approved Capital Dredge Management Plan.	Sea Dumping Permit 2010/1762 dated 29/7/15 audited with evidence reported below.	Evidence for all conditions of the Sea Dumping Permit are listed below	Evidence for all conditions of the Sea Dumping Permit are listed below	C
General Sea Dumping Permit 2010/1762 Permit to load for the purposes of dumping, and to dump, up to 2.711million cubic metres of capital seabed material derived from the capital dredging to construct new port facilities, including berth pockets, a departure channel and a swing basin, between Boyd Point and Pera Head approximately 40km south of Weipa QLD; and develop at the Port of Weipa a roll-on roll-off barge terminal at Humbug Wharf in the Embley River, a ferry terminal and tug berths at Hornibrook Point in the Embley River, and a combined barge/ferry terminal in the Hey River, commencing on the date of signature of this permit (29/7/15) and extending until 14 May 2017, subject to conditions which are specified in Appendices 1 and 2.					
1	Except so far as the contrary intention appears, terms used in the conditions to this permit have the same meaning as such terms in the Act.	No action required.			No action required.
2	RTAW must manage the dumping activities in accordance with the approval granted under section 133 of the <i>Environment Protection and Biodiversity</i>	Refer to this audit checklist that covers the applicable Conditions of EPBC 2010/5642.	Review all conditions EPBC 2010/5642	Review all conditions EPBC 2010/5642	C - Reported in this checklist

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	<i>Conservation Act 1999 for EPBC 2010/5642.</i>				
3	RTAW must submit for the Minister's approval dredge management plans for dumping activities for the new port and river facilities, which are to be based on the Draft DMP-Port and Draft DMP-River. Dumping activities must not commence until the dredge management plans are approved by the Minister.	<p>Letter dated 16/11/15 from DoE referring to email dated 2/11/15 to the Department requesting approval of the Dredge Management Plan – Port (Initial Capital Dredging). Officers of the DoE have found it meets the requirements of approval Condition 14 of the EPBC Act approval and Condition 3 of the Sea Dumping Permit. On this basis, as a delegate of the Minister, the Dredge Management Plan – Port (Initial Capital Dredging) is approved. Dredging in the port area commenced 26/3/16.</p> <p>Letter dated 16/9/15 from DoE referring to email dated 2/8/15 to the Department requesting approval of the Capital Dredge Management Plan – River Facilities. Officers of the DoE have found it meets the requirements of approval Condition 14 of the EPBC Act approval and Condition 3 of the Sea Dumping Permit. On this basis, as a delegate of the Minister, the Capital Dredge Management Plan – River Facilities is approved. Dredging in the river facilities area commenced 5/3/16.</p> <p>Amrun Project dredge operational area map at Hey River for 5-10/3/16, 11-17/3/16, 18-30/3/16; and Humbug 21-23/3/16 and 24-27/3/16. Amrun Project dredge operational map at Port area for 26/3-4/4/16; and 5-9/4/16. These show approved dredge footprint, approved disturbance margin, area dredged for each day within reporting period.</p>	<p>DoE letter dated 16/11/15 approving DMP - Port</p> <p>DoE letter dated 16/9/15 approving DMP – River</p> <p>Dredging records River</p> <p>Dredging Records Port</p>	<p>Correspondence showing submission of DMP-Port and DMP-River.</p> <p>Correspondence from DoE showing approval of DMP-Port and DMP-River.</p> <p>Records showing dates of dredging to ensure these were post-approval of the relevant DMP's.</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
4	RTAW must implement the approved DMP-Port and DMP-River.	Refer to Condition 18 EPBC 2010/5642 audit checklist.	See Condition 18 EPBC 2010/5642	See Condition 18 EPBC 2010/5642	C
5	At any time, RTAW may submit for the Minister's approval revised versions of the DMP-Port and DMP-River. If the Minister approves a revised DMP-Port or DMP-River, the approved dredge management plan must be implemented in place of the original dredge management plan specified at Condition 3.	Revised versions of the DMP-Port and DMP-River have not been prepared – not applicable.	Interview with Senior Advisor – Environment advising that this action was not necessary	Interview with Senior Advisor	N/A
6	If the Minister believes that it is necessary or desirable for the better protection of the environment to do so, the Minister may request RTAW to make specified revisions to the DMP-Port or the DMP-River and submit the revised dredge management plan for the Minister's approval. If the Minister approves a revised DMP-Port or DMP-River, the revised dredge management plan must be implemented in place of the original dredge	Advised that there has been no request from the Minister to submit a revised dredge management plan for approval.	Interview with Senior Advisor – Environment advising that no request had been made	Interview with Senior Advisor – Environment	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	management plan specified at Condition 3.				
7	Following commencement of the dumping activities for the new port, the DMP- Port must be reviewed annually by the BPDTAG until expiry of the permit or completion of the dumping activities (whichever is earlier). Where applicable, RTAW must provide to the Minister a copy of all comments made by the BPDTAG and an explanation of how the comments have been addressed in the revised DMP- Port or an explanation of why RTAW does not propose to address certain comments.	<p>Approval of Dredge Management Plan – Port (Initial Capital Dredging) on 16/11/2015. Port dumping activities commenced 26/3/16 and were completed 9/4/16.</p> <p>12 months has not passed since the commencement of dumping and so the DMP-Port does not yet require review.</p>	Dredging records showing commencement of dumping	Port dredging records to determine requirement for annual	N/A
8	Prior to submission of a revised DMP-Port, RTAW must seek comment on the revised DMP-Port from the BPDTAG. RTAW must provide to the Minister a copy of all comments made by the BPDTAG and an explanation of how the comments have been addressed in the revised DMP-Port or an explanation of	No revised DMP-Port has been submitted as this is not yet required – not applicable.	Interview with Senior Advisor – Environment advising that this action was not necessary	Interview with Senior Advisor	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	why RTAW does not propose to address certain comments.				
9	Prior to submission of a revised DMP- River, RTAW must seek comment on the revised DMP- River from the Port of Weipa TACC. Where applicable, RTAW must provide to the Minister a copy of all comments made by the Port of Weipa TACC and an explanation of how the comments have been addressed in the revised DMP-River or an explanation of why RTAW does not propose to address certain comments.	No revised DMP-River has been submitted as this is not yet required – not applicable.	Interview with Senior Advisor – Environment advising that this action was not necessary	Interview with Senior Advisor	N/A
10	RTAW must ensure that dredge material from the Port of Weipa which is loaded and dumped comprises only up to 111,000 cubic metres of capital seabed material as specified in Part E of the Application, and is dumped at the disposal site specified at Condition 12.	DMP-River section 2 notes dredge material which is loaded and dumped will only comprise up to 111,000m ³ of capital seabed material in accordance with Condition 10 Sea Dumping Permit. Environmental Monthly report – River dredging dated 11/4/16 shows daily dredge volume for the Hey River Terminal and the Humbug Terminal. Total barge trips are also recorded. Volumes for period 5-30/3/16 for Hey River was 36,400 m ³ and Humbug Terminal was 19,480m ³ . This total of 55,880m ³ is less than the 111,000m ³ permitted. Disposal Reporting spreadsheet March 2016 (5-30/3/16) notes details for each trip: start of load (date and time), start of disposal (date and time),	DMP – River Environmental Monthly Reporting – River Dredging Disposal Reporting Spreadsheet Daily Dredge Records	Evaluate DMP – River to ensure loading and dumping details are specified. Records demonstrating dumped volumes and site location for entire capital dredging campaign for	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>coordinates, coordinate start of disposal, end of disposal (date and time, coordinate end of disposal and barge name (Marquis de Prie, Leeuw, Arent).</p> <p>Daily dredge records correspond with disposal reporting spreadsheet e.g. 19/3/16, 21/3/16.</p> <p>Spreadsheet River dredging records show daily dredge volumes for Hey River and Humbug Terminals and number of trips taken. The figures in the environmental monthly report correspond to the spreadsheet.</p>		the river facilities.	
11	RTAW must ensure that dredge material which is loaded from the new South of the Embley port facility and dumped comprises only up to 2.6 million cubic metres of capital seabed material as specified in Part E of the Application, and is dumped at the disposal site specified at Condition 13.	<p>DMP-Port section 2 specifies approximately 2.6 million cubic metres is proposed.</p> <p>Port dredging records spreadsheet show dredge volume and number of barge trips for period 26/3/16 – 9/4/16. Final volume recorded as 202,416 cubic metres, well less of the approved 2.6million cubic metres.</p> <p>Disposal Reporting spreadsheet April 2016 (2-9/4/16) notes details for each trip: start of load (date and time), start of disposal (date and time), coordinates, coordinate start of disposal, end of disposal (date and time, coordinate end of disposal and barge name (Marquis de Prie, Leeuw, Arent).</p> <p>Port dredging monthly report sent to EHP 10/5/16.</p> <p>Daily dredging records correspond with port dredging spreadsheet e.g. 1/4/16, 6/4/16, 9/4/16.</p>	<p>DMP-Port</p> <p>Disposal Reporting Spreadsheet</p> <p>Daily Dredge Records</p> <p>Monthly Reporting – Port Dredging</p>	Evaluate DMP – Port to ensure loading and dumping details are specified. Records demonstrating dumped volumes and site location for entire capital dredging campaign for the port facility.	C
12	RTAW must only dump capital dredge material from the Port of Weipa within the Albatross	Section 2.1 DMP-River specifies the capital dredge material will be dumped within the Albatross Bay spoil ground which is defined by a 2000 metre	DMP-River	Review records showing location of	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Bay spoil ground which is defined by a 2000 metre radius, centred on the WGS84 coordinates: S12° 39' 34.7" E141° 39' 24.1".	radius, centred on the WGS84 coordinates: S12° 39' 34.7" E141° 39' 24.1". Disposal locations by date Albatross Map shows boundary of Spoil Ground and daily dump locations 5/3/16 – 30/3/16 which are well within the boundary.	Albatross Spoil Ground Map	dumped dredge material – all trips	
13	RTAW must only dump material from the South of the Embley Port facility capital dredging campaign within the spoil ground defined by a 1000 metre radius centred on the WGS84 coordinates: S12° 54' 46.3" E141° 28' 52.7".	Section 2.1 DMP-Port specifies the spoil ground is defined by a 1000 metre radius centred on the WGS84 coordinates: S12° 54' 46.3" E141° 28' 52.7". Disposal locations by date Amrun dredging Map shows boundary of Spoil Ground and daily dump locations 30/3/16 – 9/4/16 which are well within the boundary.	DMP-Port Amrun Spoil Disposal locations Map	Review records showing location of dumped dredge material – all trips	C
14	RTAW must ensure that each load of dredge material is dumped so that the dumped material is distributed evenly over the area of the disposal site defined in Conditions 12 and 13.	DMP-River Section 2.1 requires that each load of dredged material will be dumped so that the dumped material is distributed evenly over the area of the disposal site. DMP-Port Section 2.2 specifies bed levelling operations may be necessary. Clearance survey Albatross spoil ground and Clearance survey Boyd spoil ground showed dumped material was distributed evenly.	DMP-Port DMP-River Post-dredge surveys	Review post dredge survey maps – Port and River facilities	C
15	RTAW must establish by GPS that, prior to dumping; the vessel is within the appropriate disposal site defined in Condition 12 or 13.	DMP-River Section 2.1 requires that prior to dumping, the vessel must establish by GPS that it is inside the disposal site before commencing dumping. DMP-Port Section 2.2 species method of dumping.	DMP-River DMP-Port Daily dredge records - map	Review daily dredge records to ensure vessel in the appropriate	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Disposal locations by date Albatross Map shows boundary of Spoil Ground and daily dump locations 5/3/16 – 30/3/16 which are well within the boundary.</p> <p>Disposal locations by date Amrun dredging Map shows boundary of Spoil Ground and daily dump locations 30/3/16 – 9/4/16 which are well within the boundary.</p> <p>Records showed disposal of material was well within the required site.</p>	<p>Albatross Spoil Ground Map</p> <p>Amrun Spoil Disposal locations Map</p>	<p>location – all trips</p>	
16	<p>If requested by the Department, at least two nominees of the Department must be afforded access to witness, inspect, examine or audit any part of the operations, including any dumping or monitoring activity, the vessel or any other equipment, or any documented records, and must be provided with any necessary assistance in carrying out their duties.</p>	<p>Advised that no request from the Department has been made.</p>	<p>Interview Senior Advisor - Environment</p>	<p>Determine if request by Department has been made</p>	<p>N/A</p>
17	<p>Before beginning dredging and dumping activities, RTAW must check, using binoculars from a high observation platform on the vessel, for marine mammals and/or marine turtles within the monitoring zone.</p>	<p>Amrun Environmental Inspection Reports are completed e.g. 14/3/16 and it was noted that all procedures were complied with.</p>	<p>Inspection records</p> <p>Interview with Senior Environmental Scientist and Environmental Advisor, Bechtel</p>	<p>Review inspection records</p>	<p>C</p>

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
18	If any marine mammals and/or marine turtles as specified in Condition 17 are sighted in the monitoring zone; dredging or /dumping activities must not commence in the monitoring zone until twenty minutes after the last marine mammal and/or marine turtle marine species is observed to leave the monitoring zone; or the vessel is to move to another area of the dredge or /disposal site to maintain a minimum distance of 300 metres between the vessel and any marine mammals and/or marine turtles identified in Condition 17.	<p>Dredging marine fauna reporting database shows only 2 examples where marine mammal (dolphins) were sighted – Hey River.</p> <p>No other observations during dredging campaign in river facilities or port.</p> <p>Dredging Marine Fauna Database records show the dolphins were travelling and they did not enter the exclusion zone and therefore there was no requirement to move or cease dredging.</p> <p>Construction Environmental Management Plan – Amrun Dredging notes the requirement for marine fauna management and the need to maintain the distance of 300m.</p>	<p>Construction Environmental Management Plan – Amrun Dredging</p> <p>Dredging marine fauna reporting database</p> <p>Interview with Senior Environmental Advisor</p>	Review dredging procedures and records to evaluate actions on sighting marine mammals and turtles – reviewed all records for the dredging period	C
19	If at any time during the course of the dumping activities, an environmental incident occurs or an environmental risk is identified, all measures must be taken immediately by RTAW to mitigate the risk or the impact. The situation is to be reported in writing within 24 hours to the Department, with details of the incident or risk, the measures taken, the success of those	<p>No environmental incidents have occurred.</p> <p>Dredging marine fauna reporting database indicates no incidents have occurred.</p> <p>Construction Environmental Management Plan – Amrun Dredging notes the requirement to report all incidents.</p>	<p>Dredging marine fauna reporting database</p> <p>Construction Environmental Management Plan – Amrun Dredging</p>	Review records to evaluate reporting of incidents	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	measures in addressing the incident or risk and any additional measures proposed to be taken.				
20	RTAW must document any environmental incidents which occur in the course of the dumping activities that result in injury or death to any marine mammals, marine turtles or EPBC Act listed species. The time and nature of each incident and the species involved, if known, must be recorded.	No environmental incidents have occurred in the course of dumping activities that resulted in injury or death to any marine mammals, marine turtles or EPBC Act listed species. Dredging Marine Fauna Database includes a tab for Fauna Observations. Any incidents are to be recorded on this spreadsheet. This includes the requirement to record vessel location and details, observer, sighting details, species, and number of animals in the group, animal behaviour, animal injured (Y/N), distance from dredging, within exclusion zone (Y/N), dredging ceased (Y/N), time details and relevant comments.	Dredging marine fauna reporting database	Review Dredging marine fauna reporting database	N/A
21	RTAW must ensure that all persons engaged in the dumping activities under this permit, including the owner(s) and person(s) in charge of the vessel, comply with this permit and the requirements of the Act.	Construction Environmental Management Plan – Amrun Dredging Marine Fauna Observers Procedure details requirement and refers to responsibilities. Records indicate compliance with the requirements of the permit and the Act. Examples include: Training attendance sheets (14/2/16, 15/2/16, 17/20/16) for 1 day Marine Fauna Observer Training – Blue Planet Marine – 9 attendees in total. Certificates provided for all 9 attendees noting	Construction Environmental Management Plan – Amrun Dredging Marine Fauna Observers Procedure Training Records Daily dredge records	Evaluate operational procedure for dredging Review records required by the SD permit – all observers Evaluate compliance with	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>completion of Amrun Project marine fauna observer training program for dredging operations. Dredging Marine Fauna Database notes name of Marine fauna observer. The names on the log correspond to those that had completed the training e.g. V.Romanov 15/2/16, I.Ivolgin 14/2/16, G.Shine 17/2/16.</p> <p>Daily records for dredging – river available 6/3/16 – 31/3/16 (Dredging marine fauna reporting database) includes: date, vessel, location, sunrise, sunset, observation type (dredging / disposal), observations commenced, dredging commenced, pre-dredge observation, fauna observed, dredging delayed / ceased, comments on stoppages, marine fauna observer (shift start and finish time for each observer on that day). Records show that marine fauna observer commenced 20 minutes prior to activity, as required by management plan. Daily records for port also available for period 26/3/16 – 9/4/16.</p>		training requirements e.g. marine observers	
22	RTAW must keep records comprising either weekly plotting sheets or a certified extract of the vessel's log which detail: the times and dates of when each dumping run is commenced and finished;	<p>Disposal report spreadsheet (River and Port reported separately) includes date, trip number, start of sailing loaded, start of disposal, end of disposal, coordinates for start and end and barge name.</p> <p>Daily reports are generated which record volume of dredged material (cubic metres) and a quantity to date record. Examples reviewed included 19/3/16, 21/3/16, 1/4/16, 4/4/16, 6/4/16, 9/4/16.</p>	<p>Disposal report spreadsheet – River</p> <p>Disposal report spreadsheet – Port</p>	Review records that show the details of each dumping run in accordance with the requirements listed	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	the position (as determined by GPS) of the vessel at the beginning and end of each dumping run, with the inclusion of the path of each dumping run; and the volume of dredge material (in cubic metres) dumped and quantity in dry tonnes for the specified operational period, with a comparison of these quantities with the total amount permitted under the permit on a daily basis. These records are to be retained by RTAW for verification and audit purposes.	Reported volumes were well below the total amount permitted.	Daily records of dredging – port and river		
23	A bathymetric survey of the disposal sites referred to in Conditions 12 or 13 must be undertaken by RTAW: prior to the commencement of dumping activities under this permit at the disposal site; and within one month of the completion of all dumping activities authorised under this permit at that disposal site, unless otherwise agreed with the Department.	Amrun Project – Dredging Pre-dredge survey – Albatross Spoil Ground dated 18/3/16. Amrun Project – Dredging Clearance post-dredge survey – Albatross Spoil Ground dated 15/4/16. Pre-dredge survey Boyd Spoil Ground 26/3/16 Clearance post-dredge survey Boyd Spoil Ground 12/4/16	Dredging – pre-survey Albatross Dredging survey - pre-dredge Boyd Dredging – clearance-survey Albatross Dredging survey - clearance Boyd	Records of bathymetric surveys pre and post dredging across all dredging activities conducted	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
24	Within two months of the final bathymetric survey being undertaken pursuant to Condition 23, RTAW must provide a digital copy of the bathymetric survey to the Royal Australian Navy Hydrographer, Locked Bag 8801, South Coast Mail Centre, NSW 2521.	Not yet applicable as two months of the final bathymetric survey have not yet passed.	N/A	N/A	N/A
25	RTAW must provide a report on the bathymetry to the Department within two months of the final bathymetric survey being undertaken. The report must include a chart showing the change in sea floor bathymetry as a result of dumping and include written commentary on the volumes of dumped material that appear to have been retained within the disposal site.	Not yet applicable as two months of the final bathymetric survey have not yet passed.	N/A	N/A	N/A
26	To facilitate annual reporting to the International Maritime Organization, RTAW must provide a report to the Department in the form at Appendix 2 to this permit, or in a format as approved by the Department from time to time:	Commencement of dumping activities was 5/3/16. A report is required upon completion of dumping. Currently reporting is being finalised. No timeframe is established to complete Appendix 2 once dumping is completed. Reporting is required by 31/1/17.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	following commencement of dumping activities under this permit, by 31 January each year until expiry of the permit or completion of the dumping activities (whichever is earlier); and upon expiry of the permit or completion of the dumping activities (whichever is earlier).				
Appendix 2	Completion of reporting requirements – due 31 January each year.	See above			
CLEARING – TERRESTRIAL MANAGEMENT PLAN					
Condition 20 EPBC 2010/5642 <i>The approval holder must not clear vegetation or remove more than 29,658 hectares of vegetation over the life of the project. The maximum clearing of vegetation for mining areas and infrastructure that can occur in any 12 month period is 4,000 hectares.</i>					
20.1	Total clearing of vegetation to date must be less than 29,658 hectares.	Amrun pre-clear fauna survey tracker records survey, approval dates, area cleared. Two week pre-disturbance envelope for a survey to be conducted by a trained ecologist. GIS survey design based on land used – ground truthed in November 2015. Amrun Clearance map is progressively updated. This shows 182 Ha to date have been cleared.	Amrun pre-clear fauna survey tracker Amrun Clearance Map	Review clearing records for all clearing conducted to date	C
20.2	The maximum clearing of vegetation for mining areas and infrastructure in any 12 month period must be 4,000 hectares.	Amrun pre-clear fauna survey tracker records survey, approval dates, area cleared. Two week pre-disturbance envelope for a survey to be conducted by a trained ecologist. GIS survey	Amrun pre-clear fauna survey tracker	Review clearing records for all clearing conducted to date	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding																
		design based on land used – ground truthed in November 2015. Amrun Clearance map is progressively updated. This shows 182 Ha to date have been cleared.	Amrun Clearance Map																		
Condition 21 EPBC 2010/5642 <i>To mitigate impacts on Red Goshawk (Erythrotriorchis radiates) and Masked Owl (Tyto novaehollandiae kimberli), Listed flora species and Listed migratory species the approval holder must provide vegetation buffer zones from mining area/s (in addition, to buffer zones required under state regulations) for the Environmental Features (as defined in the Queensland Department of Natural Resources and Mines Regional Vegetation Management Code for Western Bioregions (version 2.1, 30 November 2012)) described in following table. The vegetation buffer zones exclude areas of infrastructure.</i>																					
<table><tr><th>Environmentalfeature</th><th>Vegetation buffer zones</th></tr><tr><td>Stream order one or two</td><td>100m to 200m** from edge of riparian</td></tr><tr><td>Stream order three or four</td><td>100m to 200m** from edge of riparian vegetation</td></tr><tr><td>Stream order five and above</td><td>200m from edge of riparian vegetation</td></tr><tr><td>Natural wetland</td><td>200m from edge of wetland vegetation</td></tr><tr><td>Natural significant wetland</td><td>200m from edge of wetland vegetation</td></tr><tr><td>Tidal areas and marine plants***</td><td>200m from boundary of feature</td></tr><tr><td>Vine forest, coastal vegetation on sand, estuaries</td><td>200m from edge of relevant vegetation type</td></tr></table>						Environmentalfeature	Vegetation buffer zones	Stream order one or two	100m to 200m** from edge of riparian	Stream order three or four	100m to 200m** from edge of riparian vegetation	Stream order five and above	200m from edge of riparian vegetation	Natural wetland	200m from edge of wetland vegetation	Natural significant wetland	200m from edge of wetland vegetation	Tidal areas and marine plants***	200m from boundary of feature	Vine forest, coastal vegetation on sand, estuaries	200m from edge of relevant vegetation type
Environmentalfeature	Vegetation buffer zones																				
Stream order one or two	100m to 200m** from edge of riparian																				
Stream order three or four	100m to 200m** from edge of riparian vegetation																				
Stream order five and above	200m from edge of riparian vegetation																				
Natural wetland	200m from edge of wetland vegetation																				
Natural significant wetland	200m from edge of wetland vegetation																				
Tidal areas and marine plants***	200m from boundary of feature																				
Vine forest, coastal vegetation on sand, estuaries	200m from edge of relevant vegetation type																				
<ul style="list-style-type: none">• • Set based on site specific factors following field survey. <p>*** Category B Environmentally Sensitive area as defined by the Environmental Protection Regulation 2008 (Qld).</p>																					
21.1	Vegetation buffer zones as identified must be provided from mining area/s	Terrestrial Management Plan Section 5.2 requires an Environmental Buffer System to be established and refers to the requirement to comply with ground disturbance approval procedure.	Terrestrial MP	Review records to show buffer is being complied with	C																

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Amrun Project Ground Disturbance Procedure (CAL.01-0000-HH-PRO-00001 Rev 000 dated 13/1/16) outlines the approach and method required prior to any clearing or ground disturbance on the Project. An approved permit is required before any new activities commence.</p> <p>Ground disturbance approval Hey River Terminal work, Humbug Stage 2, MIA sighted, in accordance with the procedure.</p> <p>Site inspection conducted verified that buffer zones are marked out in accordance with the maps that are generated (maps sighted). All processes in relation to establishment and adherence to buffer zones were demonstrated.</p>	<p>Ground Disturbance Procedure</p> <p>Ground disturbance checklists</p> <p>Site inspection</p> <p>Interviews Spatial Analyst, Principal Ecologist</p>	<p>Site inspection covering all works conducted to date</p>	
<p>Condition 22 EPBC 2010/5642</p> <p><i>Prior to any clearing of vegetation (including for Preliminary Works), surveying must be undertaken to ascertain whether active, or potentially active, nests for the Red Goshawk (Erythrotriorchis radiates) and/or Masked Owl (Tyto novaehollandiae kimberli) are present in the area to be cleared. Surveying must be undertaken for the:</i></p> <p><i>a. Red Goshawk – in areas located within one (1) kilometre of permanent water supporting riparian gallery forest or Paperbark wetland; seasonally inundated coastal wetlands and seasonal water courses supporting riparian gallery forest, or an estuary; and,</i></p> <p><i>b. Masked Owl - in areas within 200 metres of permanent water supporting riparian gallery forest of paperbark wetland, seasonally inundated Paperbark wetlands, seasonal watercourses supporting riparian gallery forest or an estuary.</i></p>					
22.1	Prior to any clearing, surveys for Red Goshawk and Masked Owl must be undertaken during nesting and fledging seasons to ascertain whether active, or	Terrestrial Management Plan Section 5.3 requires a Pre-Disturbance Program to be implemented prior to clearing of any vegetation. This includes: determining presence of Red Goshawk (within 1 km	Reviewed TMP Amrun pre-clear fauna survey tracker 29apr16	Review TMP relating to the process for clearing to evaluate	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	potentially active, nests for the Red Goshawk and Masked Owl are present.	<p>of specified locations) and Masked Owls (within 200m of specified locations). Survey will involve walk through. Observations of nest will be recorded and further assessed.</p> <p>Survey report not yet generated.</p> <p>Amrun pre-clearing fauna survey tracker lists survey, date, ecologist, bird points and locations, comments relating to EVNT fauna species and breeding places made. E.g. April 2016. Pre-clear vegetation survey tracker – April 2016 notes infrastructure footprint, vegetation boundary, flora traverses and potential buffer.</p> <p>This demonstrates that prior to any clearing of vegetation surveying is undertaken for the presence of the Red Goshawk and the Masked Owl.</p>		requirement for survey and review records showing this occurs	
<p>Condition 23 EPBC 2010/5642</p> <p><i>The Pre-disturbance Program must include avoidance, mitigation or management measures (and may include measures in the Final Environmental Impact Statement) if active, or potentially active, nests for the Red Goshawk or Masked Owl are found during surveying, including a 200 metre buffer zone around nest trees. The nest tree and buffer zone cannot be cleared or disturbed until the end of the breeding season (being until fledglings no longer use the nest for habitat).</i></p>					
23.1	Pre-disturbance Program must include avoidance, mitigation or management measures if active, or potentially active, nests for the Red Goshawk or Masked Owl are found during surveying including a	Terrestrial Management Plan Section 5.2 and 5.3 specifies requirements for environmental buffers. There is a requirement that specifies that if an active nest is identified, measures will be implemented and a 200m buffer established around nest trees. Clearing of trees with active	Reviewed TMP Interview Principal Ecologist	Review TMP relating to the pre-disturbance program for listed species	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	200 metre buffer and avoidance of clearing or disturbing a nest tree and buffer zone until fledglings no longer use the nest for habitat.	nests and the buffer zone will not occur until the end of the breeding season. Breeding seasons are noted in the Terrestrial MP. No listed fauna or flora species found in the Project Area.			
Condition 24 EPBC 2010/5642 <i>Information obtained during the Pre-disturbance Program must be used to inform the Terrestrial Management Plan at condition 25.</i>					
24.1	Information obtained during the Pre-disturbance Program must be used to inform the Terrestrial Management Plan at condition 25.	Not yet applicable until the Terrestrial Management Plan is revised.	N/A	N/A	N/A
TERRESTRIAL MANAGEMENT PLAN					
Condition 25 EPBC 2010/5642 <i>The approval holder must submit a Terrestrial Management Plan covering all of the land based activities associated with the construction and operation of the project for the Minister's approval to effectively define, avoid, adaptively manage and mitigate negative impacts to the following matters of national environmental significance:</i> <i>i. Red Goshawk (Erythrotriorchis radiates); Masked Owl (Tyto novaehollandiae kimberli); and Bare-rumped Sheath-tail Bat (Saccolaimus saccolaimus nudiclunatus)</i> <i>ii. Listed migratory bird species; and,</i> <i>iii. Listed flora species.</i>					
25.1	Terrestrial Management Plan must be submitted for Minister's approval.	Rio Tinto Alcan Weipa Terrestrial Management Plan – South of Embley Project 14 October 2015 (Terrestrial MP) Terrestrial MP Document Control Sheet notes: Submitted to DoE 31 December 2014 Response to DoE comments 31 May 2015 Response to DoE second comments 28 July 2015 Response to DoE Migratory Bird comments 28 August 2015 Approved by DoE 14 October 2015	Letter dated 2/1/2015 DoE letter dated 14 October 2015	Correspondence seeking evidence of submission of TMP	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Letter dated 2/1/2015 to M.Samarakoon, Assistant Director, Approvals Monitoring North Section, Environment and Assessment Compliance Division, Department of Environment seeking approval for the submitted Terrestrial Management Plan (noting also the inclusion of the independent peer review).			
25.2	Terrestrial Management Plan must address impacts to the following matters of national environmental significance: i. Red Goshawk (<i>Erythrotriorchis radiates</i>); Masked Owl (<i>Tyto novaehollandiae kimberli</i>); and Bare-rumped Sheathtail Bat (<i>Saccolaimus saccolaimus nudiclunatus</i>) ii. Listed migratory bird species; and, iii. Listed flora species.	Terrestrial MP Section 1 states purpose as documenting principles and practices associated with all land based activities associated with construction and operation to manage, avoid and mitigate potential negative impacts on Matters of National Environmental Significance (as listed i,ii,iii). Reference is made to Conditions EPBC 2010/5642 Conditions 25 to 30. Potential impacts and management measures are summarised: Table 2 – Cooktown Orchid Table 3 – Chocolate Tea Tree Orchid Table 4 – Beach Nightshade Table 5 – Red Goshawk Table 6 – Masked Owl Table 7 – Migratory birds Section 5.11 addresses Bare-rumped Sheathtail bat. Terrestrial MP Sections 5 and 6 detail management strategies to address potential impacts.	Reviewed TMP	Evaluation of TMP relating to addressing impacts to MNES	C
Condition 26 EPBC 2010/5642 <i>The Terrestrial Management Plan must incorporate avoidance and mitigation measures for each impact associated with the project including, but not limited to:</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<p>a. measures for water related impacts including, but not limited to, erosion, construction and operation of the dam; stormwater runoff, flood events, hydrocarbon spills, sewage, crude or process water, runoff from ore stockpiles, and downstream impacts on watercourses, streams and marine environment (including estuaries);</p> <p>b. measures for pests and weed management, dust management, and fire management;</p> <p>c. implementing the vegetation buffers zones at condition 21; and,</p> <p>d. measures identified in the Environmental Management Plan Outlines at Appendix 5-A (Threatened Flora Species); Appendix 6-C (Threatened fauna species); Appendix 8-A (Avian Migratory Species); and, Appendix 16-B (Water Monitoring and Management Conditions) in the Final Environment Impact Statement.</p>					
26.1	Terrestrial Management Plan must incorporate avoidance and mitigation measures addressing a. through d.	Terrestrial MP Section 5 identifies potential habitat of threatened flora and fauna species. Potential impacts, management measures and residual impacts are noted in Tables 2 to 7. Measures to avoid, adaptively manage and mitigate potential impacts are identified in Section 5.	Reviewed TMP	Evaluation of TMP relating to addressing impacts to items a-d	C – see below
26.1a	Water related impacts	Terrestrial MP Section 5.8 Water Management Measures specifies measures to be implemented to minimise impacts on the species covered in the plan related to erosion, stormwater runoff, flood events, hydrocarbon spills, sewage, crude or process water, runoff from ore stockpiles, downstream impacts on watercourses, wetlands and marine environment including estuaries. Measures include: constructing and maintaining appropriate structures, Erosion and Sediment Control Plan, Water management plan, surface water monitoring program, controls relating to recycling water and treating effluent, rehabilitation requirements, discharge specifications, dam design specifications, limiting storage and management of hydrocarbons.	Reviewed TMP	Evaluation of TMP relating to management of water related impacts	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
26.1b	Pests and Weeds, dust and fire	<p>Terrestrial MP Sections 5.5, 5.6, 5.8, 5.4 Terrestrial MP Section 5.4 specifies a Fire Management Program is being developed with Traditional Owners and the WCCCC. This Fire Management Program is under collaborative development with traditional owners and subject matter experts. At the time of audit, construction and commencement of the action as defined in the EPBC approval had not yet occurred.</p> <p>Terrestrial MP Section 5.5 Weed Management Program notes main focus will be early detection and early control of invasive weeds. Priority weed species are listed. Weed hygiene, washdown facilities and management of these, weed surveys, mapping including GIS database, training, protocols and access control form the basis of the Weed MP.</p> <p>Terrestrial MP Section 5.6 Feral Pig Control Program refers to the development and implementation of the Feral Pig Management Offset Strategy. This covers annual feral pig control and details location, timelines, consultation requirements and training.</p> <p>Terrestrial MP Section 5.6 Control of Feral Dogs and Cats details requirements relating to monitoring, trapping and record keeping.</p> <p>Terrestrial MP Section 5.9 Dust Management Measures lists dust abatement measures including: implementation of environmental buffers;</p>	Reviewed TMP	Evaluation of TMP relating to management of pests, weeds, dust and fire	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		restricting the area of disturbance; restricting speed and haul road watering.			
26.1c	Vegetation buffer zones	Terrestrial Management Plan Section 5.2 requires an Environmental Buffer System to be established and refers to the requirement to comply with ground disturbance approval procedure. – Amrun Ground Disturbance Approval Procedure 13/1/16. A permit is required before any new works commence.	Reviewed TMP Reviewed Ground Disturbance approval procedure	Evaluation of TMP relating to management of vegetation buffer zones	C
26.1d	Measures in the EMP from the EIS	<p>Terrestrial MP Section 6 details the action plans for each species.</p> <p>In terms of implementation, all relevant items confirming compliance with the Terrestrial Management Plan were verified in relation to: the environmental buffer system pre-disturbance program, weed management program, water management issues, Bare-rumped Sheathtail bat surveys and traditional owner employment opportunities. No items were identified during the document review or the site audit that indicated that relevant actions required by the Terrestrial Management Plan had not been undertaken. This includes measures in the EMP from the EIS.</p> <p>Plans such as the feral pig offset strategy are not required until August / September as per the implementation plan, which is yet to be approved by the DoE.</p>	Reviewed TMP	Evaluation of TMP relating to management of actions listed in the EIS	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
Condition 27 EPBC 2010/5642 <i>The Terrestrial Management Plan must also include adaptive management strategies to benefit the species listed at condition 25. The Terrestrial Management Plan must include and address effective management strategies to mitigate each potential impact, desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and, specify the person/s roles with responsibility for implementing actions. The Terrestrial Management Plan must provide information detailing Traditional Owner employment opportunities, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).</i>					
27.1	Terrestrial Management Plan must include adaptive management strategies to benefit the species listed at condition 25.	Terrestrial MP Sections 5 and 6 Terrestrial MP Section 5.11 details the requirements for the Bare-Rumped Sheathtail Bat Targeted Surveys and Research Program. 5.11.3 notes should this species be found in the Project area, adaptive management measures to avoid and mitigate impacts will be incorporated into the Terrestrial MP.	Reviewed TMP	Evaluation of TMP relating to inclusion of adaptive management strategies	C
27.2	Terrestrial Management Plan must include and address effective management strategies to mitigate each potential impact, desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specify the persons/ roles with	Terrestrial MP Section 5 describes avoidance, mitigation and management measures that include desired outcomes and benchmarks. Section 6 details the action plans for each species.	Reviewed TMP	Evaluation of TMP relating to the inclusion of management strategies to mitigate impacts, as listed	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	responsibility for implementing actions.				
27.3	Terrestrial Management Plan must provide information detailing Traditional Owner opportunities for employment, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).	Terrestrial MP Section 8 Traditional Owner Employment Opportunities notes Traditional Owner employment opportunities will be available via: Feral Pig Control Program; Weed Management Program; Fire Management Program; and Seed collection associated with rehabilitation. Terrestrial MP notes as part of the reporting obligations under the Indigenous Land Use Agreement, quarterly review reports are provided to the WCCCA on RTAW's Indigenous employment and training obligations. This report shall include the number of Indigenous employment opportunities taken up under the Land and Sea Management Programs.	Reviewed TMP Land and Sea Management Program modules Interview Community Relations Manager	Evaluation of TMP relating to Traditional Owner opportunities and employment	C
Condition 28 EPBC 2010/5642 <i>The Terrestrial Management Plan must be informed by the most current information available to avoid, manage or mitigate impact associated with the project (including, but not limited to National Water Quality Management Strategy, Australian and New Zealand Guidelines for Fresh and Marine Water Quality (ANZECC 2000) or most current version/s of these guidelines.</i>					
28.1	Terrestrial Management Plan must be informed by the most current information available to avoid, manage or mitigate impact associated with the project.	Terrestrial MP Sections 5 and 6 refer to currently available information. Surveys are being conducted in line with the management plans, that will inform the Terrestrial Management Plan.	Reviewed TMP	Evaluate TMP relating to currency of information	C
Condition 29 EPBC 2010/5642 (Variation dated 3 June 2014) <i>The Terrestrial Management Plan must be submitted to the Minister for approval at least 6 months prior to commencement of the action. The commencement of the action must not occur until the Terrestrial Management Plan has been approved by the Minister. The approved Terrestrial Management Plan must be implemented.</i>					
29.1	Terrestrial Management Plan must be submitted to the Minister	Letter dated 2/1/2015 to M.Samarakoon, Assistant Director, Approvals Monitoring North Section,	DoE Letter dated 2/1/2015	Correspondence confirming	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	for approval at least 6 months prior to commencement of the action.	Environment and Assessment Compliance Division, Department of Environment seeking approval for the submitted Terrestrial Management Plan (noting also the inclusion of the independent peer review). Commencement of the action is construction and not preliminary works.		submission of TMP	
29.2	Terrestrial Management Plan must be approved prior to commencement of the action.	Letter dated 14/10/15 from DoE referring to updated Terrestrial Management Plan. The plan has been reviewed by officer of DoE and found to meet the requirements of relevant conditions. As a delegate of the Minister decision to approve the Plan.	DoE letter dated 14/10/15	Correspondence confirming approval from DoE	C
29.3	The approved Terrestrial Management Plan must be implemented.	<p>Examples of implementation include:</p> <p>Evidence of pre-disturbance surveys – recorded in pre-disturbance approval tracker spreadsheets. These pre-disturbance surveys are targeted based on previous surveys and known habitat. Route for mine access road marked out with pink tape. No evidence of clearing inside tape. Second tier of reporting for surveys will include a detailed summary of method and what was found and what was not found. Due to the stage of the project, this has yet to be reported.</p> <p>Ground disturbance approvals sighted for: Hey River Terminal, Humbug Terminal, Mine Infrastructure Area.</p> <p>Daily activity reports prepared e.g. 28/4/16, 3/5/16.</p> <p>Implementation of weed management plan relating to discovery of Gamba grass near Boyd's Bay.</p> <p>Weed hygiene certificates sighted e.g. 31/3/16</p> <p>Toyota Land cruiser.</p>	<p>Pre-disturbance approval Tracker spreadsheet</p> <p>Ground disturbance approvals</p> <p>Daily activity reports</p> <p>Interview Principal Ecologist, Akwa Worx</p> <p>Site inspection</p>	<p>Records demonstrating implementation of TMP for the scope of works conducted to date</p> <p>Site inspection to verify actions are being undertaken on the ground</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Weed survey of the South of Embley Project Area, July 2015. Report dated 18/3/16.</p> <p>No evidence of erosion or stormwater runoff with the preliminary works conducted to date.</p> <p>Treated effluent from construction camp STP is used for irrigation and also used for dust suppression.</p> <p>Dam C Failure Impact Assessment 24/2/16 RPEQ 13652 specifies the design requirements as detailed in the Terrestrial Management Plan.</p> <p>Bare-rumped Sheathtail Bat survey has been conducted (21/11/13).</p> <p>In terms of implementation, all relevant items confirming compliance with the Terrestrial Management Plan were verified in relation to: the environmental buffer system pre-disturbance program, weed management program, water management issues, Bare-rumped Sheathtail bat surveys and traditional owner employment opportunities. No items were identified during the document review or the site audit that indicated that relevant actions required by the Terrestrial Management Plan had not been undertaken.</p>			
<p>Condition 30 EPBC 2010/5642</p> <p><i>Within 60 days of the first anniversary of operations commencing, a revised Terrestrial Management Plan must be submitted to the Minister for approval. The Terrestrial Management Plan must be reviewed, revised and submitted to the Minister for approval every five (5) years (unless otherwise agreed by the Minister in writing) thereafter for the life of the project. The approved Terrestrial Management Plans, as revised, must be implemented.</i></p>					
30.1	Within 60 days of the first anniversary of operations commencing, the Terrestrial	Terrestrial Management Plan Section 9 notes that the Terrestrial MP shall be reviewed, revised and submitted to the Minister for approval within 60	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Management Plan must be reviewed, revised and submitted to the Minister for approval.	days of the first anniversary of commencement of operations and every five years thereafter for the life of the project. Operations has not yet commenced – Not applicable.			
30.2	Every five (5) years thereafter for the life of the project the Terrestrial Management Plan must be reviewed, revised and submitted to the Minister for approval.	Terrestrial Management Plan Section 9 notes that the Terrestrial MP shall be reviewed, revised and submitted to the Minister for approval within 60 days of the first anniversary of commencement of operations and every five years thereafter for the life of the project. Operations has not yet commenced – Not applicable.	N/A	N/A	N/A
30.3	The revised Terrestrial Management Plans must be implemented in relation to the avoidance and mitigation measures a. to d. from condition 26 and strategies from condition 27.	A revised Terrestrial Management Plan is not yet required – not applicable.	N/A	N/A	N/A

BAT SURVEY

Condition 31 EPBC 2010/5642

For the Bare-rumped Sheathtail Bat (Saccolaimus saccolaimus nudiclunatus) the approval holder must:

- undertake a targeted Bare-rumped Sheathtail Bat survey in the project area, using broad spectrum acoustic monitoring prior to the commencement of the action. The survey must cover, as a minimum, the area that was subjected to netting as part of the Final Environmental Impact Statement;*
- support a research program being conducted by the Australian Bat Society which will aim to improve the quality of the reference call library for microbats of the Cape York region;*
- utilise the reference calls acquired by the research program to analyse the targeted survey results for the Bare rumped Sheathtail Bat {at minimum for those reference calls collected as part of the Final Environmental Impact Survey) and further define habitat preferences for the species; and,*

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<i>d. if the Bare-rumped Sheathtail Bat is identified, adaptive management measures to avoid and mitigate impacts from the project must be implemented in the Terrestrial Management Plan at condition 25 within six (6) months of the identification of the species.</i>					
31.1	A targeted Bare-rumped Sheathtail Bat survey must be undertaken in the project area using broad spectrum acoustic monitoring prior to the commencement of the action and covering the area that was subjected to netting as part of the Final Environmental Impact Statement.	Targeted survey for the bare-rumped sheath-tailed bat in the South of Embley Project area, near Weipa, Queensland. Field survey and acoustic analysis 21 November 2013 (Specialised Zoological). Survey method noted acoustic surveys on full spectrum recordings with ultrasonic recorders prior to the commencement of the action.	Survey report dated 21/11/13.	Evidence that the survey has been conducted and covers requirements specified.	C
31.2	Support must be provided for a research program being conducted by the Australian Bat Society which will aim to improve the quality of the reference call library for microbats of the Cape York region.	Memo dated 25/6/13 regarding donation to the Australia Bat Society confirms sponsorship to the ABS and improves the quality of reference all library for microbats in the Cape York Region. Sponsorship agreement with Australian Bat Society detailing scope and deliverables signed 27/5/13.	Memo dated 25/6/13	Evidence of support provided to Australian Bat Society.	C
31.3	Upon collection by the research program, reference calls must be used to analyse the targeted survey results for the Bare rumped Sheathtail Bat collected as part of the Final Environmental Impact Survey and further define habitat preferences for the species.	Bat survey did not identify any Bare Rumped Sheathtail Bats however habitat preference was described for the <i>S. mixtus</i> and <i>S. flaviventris</i> species.	Reviewed survey report	Review report	N/A
31.4	If the Bare-rumped Sheathtail Bat is identified, adaptive management measures to avoid	Bat survey did not identify any Bare Rumped Sheathtail Bats.	Reviewed survey report	Evaluate survey report to determine if	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	and mitigate impacts from the project must be implemented in the Terrestrial Management Plan at condition 25 within six (6) months of the identification of the species.			species identified	
Condition 32 EPBC 2010/5642 <i>The approval holder must notify the department in writing within five (5) business days of any confirmed or suspected observation/s (including for condition 31) in the project area of Bare-rumped Sheathtail Bat.</i>					
32.1	Department must be notified within five (5) business days of any confirmed or suspected observation/s in the project area of Bare-rumped Sheathtail Bat.	No Bare-rumped Sheathtail bats have been sighted.	Survey report Interview Site Environmental Advisor	Evidence of sighting species and, if applicable, records of notification	N/A
REHABILITATION STRATEGY					
Condition 33 EPBC 2010/5642 <i>The approval holder must submit an adaptive Rehabilitation Strategy, covering the construction and operation of the project to ensure the rehabilitated areas are functionally equivalent to the pre-disturbance habitat, to enable similar land use to that of the pre-disturbance habitat, by the following matters of national environmental significance:</i> <i>i. Red Goshawk (Erythrotriorchis radiates);</i> <i>ii. Masked Owl (Tyto novaehollandiae kimberli);</i> <i>iii. Rainbow Bee-eater (Merops omatus);</i> <i>iv. Oriental Cuckoo (Cuculus saturatus);</i> <i>v. Barn Swallow (Hirundo rustica); and,</i> <i>vi. if identified at condition 31(c) or condition 32, the Bare-rumped Sheathtail Bat (Saccolaimus saccolaimus nudiclunatus).</i>					
33.1	Rehabilitation Strategy must be submitted for Minister's approval in accordance with the timeframe in condition 36.	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. Operations have not yet commenced – not applicable.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
33.2	Rehabilitation Strategy must be prepared to ensure the rehabilitated areas are functionally equivalent to the pre-disturbance habitat, to enable similar land use to that of the pre-disturbance habitat, by the following matters of national environmental significance: i. Red Goshawk (<i>Erythrotriorchis radiates</i>); ii. Masked Owl (<i>Tyto novaehollandiae kimberli</i>); iii. Rainbow Bee-eater (<i>Merops ornatus</i>); iv. Oriental Cuckoo (<i>Cuculus saturatus</i>); v. Barn Swallow (<i>Hirundo rustica</i>); and, vi. if identified at condition 31(c) or condition 32, the Bare-rumped Sheath-tail Bat (<i>Saccolaimus saccolaimus nudiclunatus</i>).	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. Operations have not yet commenced – not applicable.	N/A	N/A	N/A
Condition 34 EPBC 2010/5642 <i>The land area to be progressively rehabilitated over the life of the project must be no less than 28,880 hectares. Unless otherwise specified in the approved Rehabilitation Strategy at condition 33, rehabilitation works must commence within two (2) years:</i> <i>i. following mining in the area/s where it has been completed; or,</i> <i>ii. following decommissioning and removal of any infrastructure, in each area where that infrastructure will not be retained at the end of the project.</i>					
34.1	The land area to be progressively rehabilitated over the life of the	Operations have not yet commenced and therefore rehabilitation works are not yet required – not applicable.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	project must be no less than 28,880 hectares.				
34.2	Rehabilitation works must commence within two (2) years of land disturbance categories i. or ii. occurring.	Operations have not yet commenced and therefore items i or ii have not occurred and therefore rehabilitation works are not yet required – not applicable. Note that the rehabilitation works must commence within two years following mining, where it has been completed or following decommissioning and removal of infrastructure. Mining has not commenced, therefore the two year period has not commenced.	N/A	N/A	N/A
Condition 35 EPBC 2010/5642 <i>The Rehabilitation Strategy must include adaptive management strategies to benefit the species listed at condition 33. The Rehabilitation Strategy must include measures outlined in the Final Environment Impact Statement and address effective management strategies to identify desired outcomes, benchmarks, readily measurable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and, specify the person/s roles with responsibility for implementing actions. The Rehabilitation Strategy must provide information detailing Traditional Owner employment opportunities, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Strategy (consistent with condition 42).</i>					
35.1	Rehabilitation Strategy must include adaptive management strategies to benefit the species listed at condition 33.	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. Commencement of Operations has not occurred. The Rehabilitation Strategy is required within 3 years of operations. Operations have not yet commenced. Therefore a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A
35.2	Rehabilitation Strategy must include and address effective management strategies to mitigate each potential impact,	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. Operations have not yet commenced and therefore	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specify the persons/ roles with responsibility for implementing actions.	a Rehabilitation Strategy is not yet required – not applicable.			
35.3	Rehabilitation Strategy must provide information detailing Traditional Owner opportunities for employment, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. Operations have not yet commenced and therefore a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A
	Condition 36 EPBC 2010/5642 <i>The Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. The approved Rehabilitation Strategy must be implemented.</i>				
36.1	Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations.	Operations have not yet commenced and therefore a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
36.2	The approved Rehabilitation Strategy must be implemented in relation to the land disturbance categories i. and ii. in condition 34.	Operations have not yet commenced and therefore a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A
Condition 37 EPBC 2010/5642 <i>Unless otherwise agreed to by the Minister in writing, every five (5) years from the first anniversary of the approval of the Rehabilitation Strategy at condition 33 a reviewed Rehabilitation Strategy must be submitted to the Minister. The approved Rehabilitation Strategy must be implemented.</i>					
37.1	Rehabilitation Strategy must be reviewed, revised and submitted to the Minister for approval every five (5) years thereafter for the life of the project.	Operations have not yet commenced and therefore a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A
37.2	Revised Rehabilitation Strategy must be implemented in relation to the land disturbance categories i. and ii. in condition 34.	Operations have not yet commenced and therefore a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A
	Condition 38 EPBC 2010/5642 <i>If the rehabilitation objectives identified for species identified at condition 33 do not meet any of the success criteria for any of these species as described in the approved Rehabilitation Strategy at condition 33 after 10 years of rehabilitation commencing, or as otherwise agreed in the approved Rehabilitation Strategy, the approval holder must notify the Minister in writing within 20</i>				

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	<i>business days of the area (hectares) over which the rehabilitation objectives and success criteria were not met.</i>				
38.1	If the rehabilitation objectives in Condition 33 do not meet any of the success criteria detailed in the approved Rehabilitation Strategy after 10 years of rehabilitation commencing, or as otherwise agreed in the approved Rehabilitation Strategy, the Minister must be notified in writing within 20 business days of the area (hectares) over which the rehabilitation objectives and success criteria were not met.	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of operations. Operations have not yet commenced. Rehabilitation has not yet commenced – not applicable.	N/A	N/A	N/A
OFFSET STRATEGY					
Condition 39 EPBC 2010/5642 <i>Within six (6) months of notifying the Minister at Condition 38, the approval holder must submit to the Minister for approval an Offset Strategy outlining the offset to be provided for the matters of national environmental significance identified at condition 33. The related offset must be in accordance with the Environmental Protection and Biodiversity Conservation Act 1999 Environmental Offset Policy (October 2012), or its most current version.</i>					
39.1	Within six (6) months of notifying the Minister at condition 38, an Offset Strategy outlining the offset must be provided to the Minister for approval for the matters of national environmental significance identified at condition 33 submitted.	Rehabilitation is not yet required as operations have not yet commenced. No notifications have been made to the Minister in relation to Condition 38, therefore an offset strategy is not required.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
39.2	The offset must be in accordance with the Environmental Protection and Biodiversity Conservation Act 1999 Environmental Offset Policy (October 2012), or its most current version.	An offset strategy is not required at this time.	N/A	N/A	N/A
Condition 40 EPBC 2010/5642 <i>An approved Offset Strategy must be implemented.</i>					
40.1	Following approval, the Offset Strategy must be implemented.	An Offset Strategy is not yet required.	N/A	N/A	N/A
CONSULTATION					
Condition 41 EPBC 2010/5642 <i>The approval holder must consult with Indigenous people in accordance with the process under the Indigenous Land Use Agreement (known as the Western Cape Communities Coexistence Agreement) during preparation of management plans and strategies specified in this approval.</i>					
41.1	Traditional Owners must be consulted through the WCCCA during preparation of Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	<p>Capital Dredging Management Plan – River Facilities – section 9 notes that the plan was lodged with the WCCCA Coordinating Committee and subsequently presented to a meeting of the CEMP Working Group.</p> <p>Capital Dredging Management Plan – Port – section 11 describes consultation with WCCA including lodgement of Plan in May 2014 and subsequently presented to the CEMP Working Group.</p> <p>Inshore Dolphin Offset Strategy – Section 7.</p> <p>Temporary Barge Plan – section 7.</p> <p>Marine and Shipping Management Plan – section 10.</p> <p>Feral Pig Management Offset Strategy – Section 10.</p> <p>Terrestrial Management Plan.</p>	<p>Temporary Barge Plan</p> <p>Marine and Shipping Management Plan</p> <p>Capital Dredging Plan – River</p> <p>Capital Dredging Plan – Port</p> <p>Inshore Dolphin Strategy</p> <p>Terrestrial Management Plan</p> <p>Feral Pig Offset Strategy</p>	<p>Evaluate each of the listed plans to ensure there is detail relating to Traditional Owner consultation</p> <p>Records of consultation</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Maintenance Dredging Management Plan and Rehabilitation Strategy not yet developed.</p> <p>CHEMP Working Group Minutes 21/10/15 – includes details under Item 4 relating to the Dredge Management Plan – Port.</p> <p>CHEMP Working Group Minutes 13-14/11/14 – includes details relating to the listed management plans and strategies.</p> <p>Email correspondence e.g. 2/12/14, 17/11/14, 16/11/14 relating to CHEMP feedback on management plans presented to the committee on 13/11/14. This correspondence made reference to all relevant plans and strategies, including the Terrestrial Management Plan.</p> <p>It was confirmed that all Plans and Strategies have been lodged with the Western Cape Communities Coexistence Agreement (WCCCA) Coordinating Committee. All Plans and Strategies have been presented to the Communities, Heritage and Environment Management Plan (CHEMP) Working Group. Members of the CHEMP Working Group were given the opportunity to provide any comments.</p> <p>WCCC SoE Project Sub-Committee Meeting 10/2/16.</p> <p>WCCC SoE Project Sub-Committee Meeting 6/5/16.</p>	<p>Minutes WCCC SoE Sub-Committee meetings and attachments</p> <p>Email correspondence</p>		

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
EMPLOYMENT OPPORTUNITIES					
Condition 42 EPBC 2010/5642 <i>The approval holder must identify employment opportunities (e.g. under an Indigenous Land and Sea Program or seed collection associated with rehabilitation activities) for Indigenous persons to facilitate the implementation of the conditions specified in this approval.</i>					
42.1	Traditional Owner employment opportunities must be identified within Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	<p>Terrestrial MP Section 8, as described in Condition 27 (criteria 27.3).</p> <p>Construction Marine and Shipping Plan Section 9 as described in Condition 7 (criteria 7.3).</p> <p>Feral Pig Management Offset Strategy section 9 as described in condition 45 (criteria 45.3).</p> <p>Temporary Barge Plan section 6 describes Traditional Owner Employment opportunities.</p> <p>Inshore Dolphin Offset Strategy section 3.3 covers employment opportunities.</p> <p>Capital Dredge Management Plan – River Facilities section 8 details Traditional Owner Employment opportunities.</p> <p>Capital Dredge Management Plan – River Facilities section 10 details Traditional Owner Employment opportunities.</p> <p>Rehabilitation Strategy and Maintenance Dredging Management Plan have not yet been prepared.</p> <p>Draft Environmental Modules for the Amrun Project Land and Sea Management Program – work modules to identify and map capacity requirements to deliver the environmental component of the SoE Land and Sea Management Program.</p>	<p>Reviewed: Temporary Barge MP, MSMP, DMP-Port, DMP-River, TMP, Feral Pig MOS, Inshore Dolphin Offset Strategy.</p> <p>Land and Sea Management Program modules – draft</p> <p>Interview Manager - Community Relations</p>	<p>Evaluate listed plans to ensure employment opportunities are described.</p> <p>Review programs that reflect the commitments made in the plans.</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Advised seed collections are undertaken by registered pickers as part of the land rehabilitation works.			
FERAL PIG MANAGEMENT OFFSET STRATEGY					
Condition 43 EPBC 2010/5642 <i>The approval holder must implement an adaptive Feral Pig Management Offset Strategy to reduce the annual level of feral predation on listed turtle species nests for the period of this approval.</i>					
43.1	Feral Pig Management Offset Strategy must be implemented in accordance with timeframes identified in the approved Strategy.	<p>Rio Tinto Alcan Weipa Feral Pig Management Offset Strategy 8 July 2015 – updated.</p> <p>Rio Tinto Alcan Weipa Feral Pig Management Offset Strategy 24 April 2015 – this version was approved.</p> <p>Section 1 Feral Pig MOS notes that the purpose of the Strategy is to reduce the annual level of feral pig predation on the nests of listed turtle species (Green Turtle, Hawksbill Turtle, Flatback Turtle, Loggerhead Turtle, Olive Ridley Turtle, Leatherback Turtle).</p> <p>Section 5 notes that given the many factors for consideration in relation to feral pig control, a staged approach for development and implementation of the Feral Pig MOS will be adopted. The objective is to complete the action in time to allow the initial feral pig control campaign to commence before the peak turtle season following commencement of the action.</p> <p>Upon completion of the implementation plan the Feral Pig MOS shall be revised to include the implementation plan and resubmitted. This has occurred in April 2016 prior to the first control</p>	<p>Feral Pig MOS</p> <p>Feral Pig MOS – draft April 2016</p>	Evaluate evidence relating to implementation of the Feral Pig MOS	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		campaign. The revised Strategy shall be independently peer reviewed prior to submission.			
Condition 44 EPBC 2010/5642 <i>The Feral Pig Management Offset Strategy must be implemented at a minimum, in the project area as described in Figure 7-23 of the Final Environmental Impact Statement</i>					
44.1	Feral Pig Management Offset Strategy must be implemented in accordance with the areas identified in the approved Strategy.	Appendix B shows feral pig control areas, as described in the EIS Figure 7-23.	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to surveying of turtles	C
Condition 45 EPBC 2010/5642 <i>The Feral Pig Management Offset Strategy must include surveying to develop significantly robust baseline data for listed turtle species nesting in the project area and desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and, specify the person/s roles with responsibility for implementing actions. The Feral Pig Management Offset Strategy must provide information detailing Traditional Owner employment opportunities, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Strategy (consistent with condition 42).</i>					
45.1	Feral Pig Management Offset Strategy must include surveying to develop significantly robust baseline data for listed turtle species nesting in the project area	Section 6.1 Feral Pig MOS describes species present, resultant from the turtle surveys. Nesting density and predation results are noted. Suitability of the land based surveys is described.	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to surveying of turtles	C
45.2	Feral Pig Management Offset Strategy must include desired outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and, specify the person/s roles with	Six control option have been identified and a staged approach has been adopted. Section 5 Feral Pig MOS specifies outcomes including prepare implementation plan and finalise feral pig monitoring plan. The objective is to complete these actions in time to allow the initial feral pig control campaign to commence before the peak turtle nesting season and to achieve 70% reduction in the rate of feral pig predation of nests, to be achieved	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to setting of outcomes	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	responsibility for implementing actions.	within three years. Revision of the strategy is required upon implementation of the plan, including independent peer review. Monitoring requirements are in place and the information will be used to contribute to adaptive management.			
45.3	Feral Pig Management Offset Strategy must provide information detailing Traditional Owner opportunities for employment, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).	Section 9 Feral Pig MOS notes the Traditional Owner employment opportunities extend to the Feral Pig Control Program, particularly with turtle nest monitoring. It is noted that the extent of opportunities in feral pig control shall depend on the final control techniques adopted. Reference is made to the employment and training plan. Quarterly review reports are to be provided detailing numbers engaged.	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to Traditional Owner employment opportunities	C
Condition 46 EPBC 2010/5642 <i>The Feral Pig Management Offset Strategy must adhere to the department's Threat Abatement Plan for Predation, Habitat Degradation, Competition And Disease Transmission By Feral Pigs, or its most current version. The Feral Pig Management Offset Strategy must also adhere to the Humane Pest Animal Control: Code of Practice And Standard Operating Procedures (that is currently being updated), or its most current version.</i>					
46.1	The Feral Pig Management Offset Strategy must adhere to the department's Threat Abatement Plan for Predation, Habitat Degradation, Competition And Disease Transmission By Feral Pigs, or its most current version.	It is noted in Section 5 Feral Pig MOS that the EPBC Act Approval requires that the Strategy adheres to the <i>Threat Abatement Plan for Predation, Habitat Degradation, Competition And Disease Transmission By Feral Pigs</i> (Department of the Environment and Heritage 2005). This is demonstrated in Appendix C Threat Abatement Plan.	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to Threat Abatement Plan	C
46.2	The Feral Pig Management Offset Strategy must adhere to the Humane Pest Animal Control: Code of Practice And Standard	It is noted in Section 5 Feral Pig MOS that the feral pig control measures adopted shall adhere to the <i>Humane Pest Animal Control: Code of Practice and Standard Operating Procedures</i> (NSW Department	Reviewed Feral Pig MOS Feral Pig MOS – draft April 2016	Evaluate Feral Pig MOS relating to Humane	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Operating Procedures (that is currently being updated), or its most current version.	of Primary Industries, 2005). This code is currently being updated. Updated version (Draft) – 14 April 2016 includes reference to the NSW Model Code of Practice Humane Control of feral pigs (2014)		Control of Feral Pigs	
Condition 47 EPBC 2010/5642 <i>The findings from the Feral Pig Management Offset Strategy must be used to inform the Marine and Shipping Management Plan at Condition 5 on an ongoing basis.</i>					
47.1	The findings from the Feral Pig Management Offset Strategy must be used to inform the Marine and Shipping Management Plan at condition 5 on an ongoing basis.	Section 8 Feral Pig MOS notes that the findings from the Feral Pig Management Offset Strategy must be used to inform the Marine and Shipping Management Plan under Condition 5 EPBC Act Approval on an ongoing basis. This will be included in the operational version, which is not yet prepared or required.	N/A	N/A	N/A
Condition 48 EPBC 2010/5642 (Variation dated 3 June 2014) <i>The Feral Pig Management Offset Strategy must be submitted to the Minister for approval at least 6 months prior to the commencement of the action. The commencement of the action must not occur until the Feral Pig Management Offset Strategy has been approved by the Minister.</i>					
48.1	Feral Pig Management Offset Strategy must be submitted to the Minister for approval at least 6 months prior to commencement of the action.	Letter DoE dated 25/8/15 reference updated Feral Pig Management Offset Strategy dated 24/4/15 noting the strategy has been reviewed by officers of the Department and has been found to meet the relevant conditions. Delegate of the Minister has approved the Strategy. Commencement of the action, as defined by the EPBC 2010/5642 permit, has not commenced at the time of audit. Therefore timing of the submission of the Feral Pig Management Strategy is at least six months prior to the commencement of the action.	DoE letter dated 25/8/15	Correspondence demonstrating submission of Feral Pig MOS	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
48.2	Feral Pig Management Offset Strategy must be approved prior to commencement of the action.	<p>Letter to DoE dated 23/12/14 seeking approval for the Feral Pig Management Offset Strategy, including independent peer review.</p> <p>Email dated 8/7/15 with updated Feral Pig Management Offset Strategy.</p> <p>Letter DoE dated 25/8/15 reference updated Feral Pig Management Offset Strategy dated 24/4/15 noting the strategy has been reviewed by officers of the Department and has been found to meet the relevant conditions. Delegate of the Minister has approved the Strategy.</p> <p>Commencement of the action, as defined by the EPBC 2010/5642 permit, has not commenced at the time of audit. Therefore timing of the submission of the Feral Pig Management Strategy is at least six months prior to the commencement of the action.</p>	DoE letter dated 25/8/15 approval Feral Pig Management Offset Strategy.	Correspondence demonstrating approval of Feral Pig MOS	C
DOLPHIN OFFSET STRATEGY					
Condition 49 EPBC 2010/5642 <i>The approval holder must implement an Inshore Dolphin Offset Strategy to inform knowledge about the distribution and abundance of local and regional populations of listed dolphin species in the Western Cape York area, and identification of habitat utilised by listed dolphin species.</i> Rio Tinto Alcan Weipa Inshore Dolphin Offset Strategy South of Embley Project					
49.1	Inshore Dolphin Offset Strategy must be implemented in accordance with the approved Strategy.	SoE Project Inshore Dolphin Offset Strategy July 2015 specifies that the two principal objectives of the strategy are to provide a better understanding of the distribution, habitat use and abundance of Australian snubfin and Australian humpback dolphins within the study area; and to contribute information toward the National Inshore Dolphin Strategy. Design summary and sampling	Inshore Dolphin Offset Strategy GHD Dolphin Survey Baseline Report Training Records	Evidence of survey conducted in accordance with strategy	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>procedures are described. Section 3.2.8 required a two day workshop prior to boat based surveys being conducted. An indicative survey schedule is included specifying one pre-construction survey, three surveys during initial construction, 1 within one year of operation and an additional survey.</p> <p>Rio Tinto Alcan South of Embley Inshore Dolphin Project December 2014 Baseline Survey March 2015 (GHD).</p> <p>The purpose of the survey is to inform knowledge about the distribution and abundance of local and regional populations of listed dolphin species in the Western Cape York area, and identification of habitat utilised by listed dolphin species.</p> <p>The survey design systematically covered the study area between the latitudes 12.60°S and latitude 13.35°S.</p> <p>Two days training conducted with all survey personnel, including Traditional Owners (6-7/12/14). Boat based surveys conducted 7-19/12/14 throughout the study site.</p> <p>In terms of implementation, all relevant items confirming compliance with the Inshore Offset Dolphin Strategy were demonstrated.</p> <p>No items were identified during the document review or the site audit that indicated that relevant actions required by the Inshore Offset Dolphin Strategy had not been undertaken.</p>			

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
Condition 50 EPBC 2010/5642 <i>The Inshore Dolphin Offset Strategy must be implemented at a minimum, in the marine environment between latitude 12.60°S and latitude 13.35°S and must include provision for the Inshore Dolphin Offset Strategy actions to be undertaken prior to construction, during construction and periodically after construction (for a minimum period of 13 years following the commencement of construction, but not necessarily every year) of the Boyd Port and river facilities.</i>					
50.1	Inshore Dolphin Offset Strategy must be implemented in accordance with the approved Strategy.	<p>Section 1 Inshore Dolphin Offset Strategy purpose includes to describe surveys to be undertaken between latitude 12.60°S and latitude 13.35°S. It is noted that these surveys are to inform the Marine and Shipping Management Plan for the operational phase.</p> <p>Rio Tinto Alcan South of Embley Inshore Dolphin Project December 2014 Baseline Survey March 2015 (GHD) specifies location of survey as undertaken between latitude 12.60°S and latitude 13.35°S.</p> <p>In terms of implementation, all relevant items confirming compliance with the Inshore Offset Dolphin Strategy were demonstrated.</p> <p>No items were identified during the document review or the site audit that indicated that relevant actions required by the Inshore Offset Dolphin Strategy had not been undertaken.</p>	<p>Inshore Dolphin Offset Strategy</p> <p>Rio Tinto Alcan South of Embley Inshore Dolphin Project December 2014 Baseline Survey March 2015 (GHD).</p>	Evidence of survey conducted in the location approved in the strategy	C
50.2	Inshore Dolphin Offset Strategy actions are to be undertaken prior to construction, during construction and periodically after construction.	Section 3 describes survey methods, training workshops, indicative schedule.	GHD Dolphin Survey Baseline Report	Evidence survey undertaken prior to construction	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Baseline survey has been undertaken. Rio Tinto Alcan South of Embley Inshore Dolphin Project December 2014 Baseline Survey March 2015 (GHD). Construction has not yet commenced.			
Condition 51 EPBC 2010/5642 <i>The Inshore Dolphin Offset Strategy must contribute to independent research on listed dolphin species, and specify targeted outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, and the person/s roles with responsibility for implementing actions. The Inshore Dolphin Offset Strategy must provide information detailing Traditional Owner employment opportunities, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Strategy (consistent with condition 42).</i>					
51.1	Inshore Dolphin Offset Strategy must contribute to independent research on listed dolphin species.	Sections 3-7 Inshore Dolphin Offset Strategy Rio Tinto Alcan South of Embley Inshore Dolphin Project December 2014 Baseline Survey March 2015 (GHD). The Inshore Dolphin Offset Strategy provided research data relating to dolphin population dynamics in relation to distribution, number and behaviour.	Inshore Dolphin Offset Strategy GHD Survey	Evidence of intent of Dolphin Strategy	C
51.2	Inshore Dolphin Offset Strategy must specify outcomes, benchmarks, readily measureable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and, specify the	Section 4 details the targeted outcomes, benchmarks and goals for the implementation of the strategy. Section 5 lists performance indicators. Reporting and implementation is detailed in section 6. Section 8 nominates accountabilities and responsibilities for implementing the Strategy, with	Reviewed Inshore Dolphin Offset Strategy	Evidence that Inshore Dolphin Offset Strategy addresses listed requirements	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	person/s roles with responsibility for implementing actions.	the nominated environmental professional for the Project responsible for enabling the surveys to be conducted.			
51.3	Inshore Dolphin Offset Strategy must provide information detailing Traditional Owner opportunities for employment, and mechanisms for reporting the number of local indigenous person/s actually employed in the implementation of this Plan (consistent with condition 42).	Section 3.3 notes that the Traditional Owners will be given the opportunity to participate in all surveys as observers and to assist researchers during the survey.	Reviewed Inshore Dolphin Offset Strategy	Evaluate Inshore Dolphin Offset Strategy relating to Traditional Owner employment opportunities	C
Condition 52 EPBC 2010/5642 <i>The Inshore Dolphin Offset Strategy must be developed in consultation with the department.</i>					
52.1	Inshore Dolphin Offset Strategy must be developed in consultation with the department.	Section 1 Inshore Dolphin Offset Strategy notes that the Strategy has been developed in consultation with DoE. Inshore Dolphin Offset Strategy submitted to the DoE with an approved Independent Peer Review of the Strategy. The Strategy was updated in line with comments supplied by DoE. This was evidenced by the letter dated 28/7/15 referring to the updated Inshore Dolphin Offset Strategy submitted on 14/5/13. The Strategy has been reviewed by officers of the Department and has been found to meet the requirements of the relevant conditions and on this basis, as a delegate of the Minister, the Strategy has been approved.	Reviewed Inshore Dolphin Offset Strategy DoE letter dated 28/7/15	Evaluate Inshore Dolphin Offset Strategy relating to consultation	C
Condition 53 EPBC 2010/5642 <i>The approval holder must fund the Inshore Dolphin Offset Strategy to a minimum of \$800,000 (GST exclusive) and a maximum of \$1,200,000 (GST exclusive).</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
53.1	Cost of implementing Inshore Dolphin Offset Strategy must be estimated to be between \$800,000 (GST exclusive) and a maximum of \$1,200,000 (GST exclusive).	Section 1 notes commitment to fund the Strategy at a minimum of \$800,000 to a maximum of \$1,200,000 (GST exclusive). GHD Fee proposal and scope dated 26/9/14 includes pre-construction, annual construction and post-construction surveys. Fee estimate \$1,181,350 (excl GST).	Reviewed Inshore Dolphin Offset Strategy GHD Fee Proposal GHD Dolphin survey report	Evidence of funding	C
Condition 54 EPBC 2010/5642 <i>The findings from the Inshore Dolphin Offset Strategy, including corrective actions and contingency measures relating to operations, must be used to inform the Marine and Shipping Management Plan at condition 5 on an ongoing basis.</i>					
54.1	Findings from the Inshore Dolphin Offset Strategy must be used to inform Marine and Shipping Management Plan from condition 8, stage ii.	Section 3.4 notes that the findings of the Inshore Dolphin Offset Strategy, including corrective actions and contingency measures relating to operations, will be used to inform the Operations Shipping and Management Plan. Operations have not yet commenced.	N/A	N/A	N/A
Condition 55 EPBC 2010/5642 (Variation dated 3 June 2014) <i>The Inshore Dolphin Offset Strategy must be submitted to the Minister for approval at least 6 months prior to the commencement of the action. The commencement of the action must not occur until the Inshore Dolphin Offset Strategy has been approved by the minister.</i>					
55.1	Inshore Dolphin Offset Strategy must be submitted to the Minister for approval at least 6 months prior to commencement of the action.	Letter dated 28/7/15 referring to updated Inshore Dolphin Offset Strategy submitted on 14/5/13. The Strategy has been reviewed by officers of the Department and has been found to meet the requirements of the relevant conditions and on this basis, as a delegate of the Minister, the Strategy has been approved.	DoE letter dated 28/7/15	Correspondence demonstrating submission of Inshore Dolphin Offset Strategy	C
55.2	Inshore Dolphin Offset Strategy must be approved prior to commencement of the action.	Letter dated 28/7/15 referring to updated Inshore Dolphin Offset Strategy submitted on 14/5/13. The Strategy has been reviewed by officers of the Department and has been found to meet the	DoE letter dated 28/7/15	Correspondence demonstrating approval of	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		requirements of the relevant conditions and on this basis, as a delegate of the Minister, the Strategy has been approved.		Inshore Dolphin Offset Strategy	
SURVEY DATA					
Condition 56 EPBC 2010/5642 <i>All survey data and methodology collected for the project must be recorded in accordance with approved management plans. When requested by the department, the approval holder must provide to the department survey data and information related to matters of national environmental significance. This information must be provided within 30 business days of request, or in a timeframe agreed to by the department in writing. The department may use the survey data for other purposes. The approval holder must also provide the survey data and methodology, within 30 business days, to anyone who requests the survey data and methodology in writing. Notification of the availability of the survey data and methodology must be provided on the approval holder's website for the duration of this approval.</i>					
56.1	Survey data and methodology collected for the project must be recorded in accordance with approved management plans.	<p>Rio Tinto Alcan South of Embley Inshore Dolphin Project December 2014 Baseline Survey March 2015 (GHD).</p> <p>Targeted survey for the bare-rumped sheath-tailed bat in the South of Embley Project area, near Weipa, Queensland. Field survey and acoustic analysis 21 November 2013 (Specialised Zoological).</p> <p>Amrun Pre-clear fauna survey tracker spreadsheet records process for managing surveys and approval for clearing.</p> <p>Weed survey of the South of Embley Project Area, July 2015. Report dated 18/3/16.</p>	<p>Inshore Dolphin Survey</p> <p>Bare-rumped sheath-tailed bat</p> <p>Weed survey</p> <p>Amrun Pre-clear fauna survey tracker</p>	Review sample of survey data and methodology when reviewing implementation of the approved management plans	C
56.2	Records must be made available within 30 business days of request by the Department. Such documents may be subject to	No requests for records have been made by the Department.	Interview Senior Environmental Advisor	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	audit by the Department and used to verify compliance with the conditions of approval.				
56.3	Records must be made available within 30 business days on request by anyone who requests the survey data in writing.	No requests for records have been made by the Department.	N/A	N/A	N/A
56.4	Notification of the availability of the survey data and methodology must be provided on the approval holder's website for the duration of this approval.	<p>Rio Tinto Amrun Project website currently has a Community Feedback number and email address. It is recommended that the word "enquiries" be added to the description of the community feedback contact details. Also ensure there is an internal procedure that requires any written requests for survey data and methodology are provided within 30 days.</p> <p>All reports are available on the website, including survey data and methodology. It is noted that, in accordance with Condition 57, every 12 months after commencement of the action, there is a requirement to publish on the website all survey methodology, reports and related analysis of survey data – a timeframe that has not yet passed.</p>	<p>Review website and note reports are available: Bare-rumped Sheath tailed bat survey</p> <p>Inshore dolphin baseline survey</p>	Review website	C - OBS
WEBSITE					
Condition 57 EPBC 2010/5642 <p><i>Every 12 months after the commencement of the action, unless otherwise agreed to in writing by the Minister, the approval holder must publish on their website, for the duration of the project (including decommissioning), all the survey methodology, reports and related analysis of survey data for current program/s, plants, strategies or other conditions specified in this approval for each individual matter of national environmental significance. The department must be notified within ten (10) business days of publication.</i></p>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
57.1	Within 12 months after the commencement of the action all survey methodology, reports and related analysis of survey data for current program/s, plants, strategies or other conditions specified in this approval for each individual matter of national environmental significance must be published on Project website.	Commencement of the action is defined under EPBC 2010/5642 as any works that are required to be undertaken for construction (except exploration, site investigation and preliminary works). At the time of audit, commencement of the action had not been satisfied and therefore publishing the listed items on the Project website is not yet required – not applicable. It is noted that currently survey reports such as the bat survey and the dolphin survey are already included on the website. It is the intent to ensure that all completed surveys required by the relevant programs, plans and strategies are published on the website. It is recommended that in the relevant programs, plans and strategies that there is a requirement to publish the relevant survey data and methodology every 12 months after the commencement of the action. It should also be noted that the department must be notified within 10 business days of publication.	N/A	N/A	N/A - OBS
57.2	The department must be notified within ten (10) business days of publication.	At the time of audit, commencement of the action had not been satisfied and therefore publishing the listed items on the Project website is not yet required – not applicable.	N/A	N/A	N/A
Condition 58 EPBC 2010/5642 <i>Within five (5) business days from this approval, the approval holder must publish the Final Environmental Impact Statement on their website for the duration of the project, including decommissioning.</i>					
58.1	Within five (5) business days from this approval the Final Environmental Impact Statement	Final EIS (Commonwealth) available on website. Sighted	Website Email dated 9/4/13 to CG Office	Review website Review correspondence	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	must be published on Project website.	http://www.riotinto.com/australia/commonwealth-eis-16118.aspx Email 9/4/13 to Coordinator General (Queensland) stating that the Final EIS had been submitted to DSEWPaC and that the Final EIS is available on the website. EPBC Approval date 14/5/13.		indicating date EIS published on website	
Condition 59 EPBC 2010/5642 <i>Unless otherwise agreed to in writing by the Minister the approval holder must publish, for the life of the project including decommissioning, all current approved programs/s, plan/s, review/s (including the Independent Peer Reviews) or strategies referred to in these conditions of approval on their website. Each of the approved program/s, plan/s or strategies (including revised versions) must be published on the approval holder's website within one (1) month of approval.</i>					
59.1	Within one (1) month of approval by the Minister unless otherwise agreed to in writing by the Minister, the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy (including independent peer reviews) must be published on Project website.	Noted the following documents are available on the website. http://www.riotinto.com/australia/key-project-documents-16128.aspx Temporary Barge Plan July 2015 Temporary Barge Plan July 2015 – Response to Reviewer (14/12/14) Capital Dredge Management Plan – Port (Initial Capital Dredging) November 2015 Capital Dredge Management Plan – Port – Response to Reviewer (13/8/15) Capital Dredge Management Plan – River Facilities 16 September 2015 Capital Dredge Management Plan – River Facilities - Response to Reviewer (11/11/14) Construction Marine and Shipping Management Plan 19 November 2015	Website Email 27/10/15	Review website Review correspondence to demonstrate date documents were uploaded to website	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Construction Marine and Shipping Management Plan – Response to Reviewer (14/7/15)</p> <p>Terrestrial Management Plan 14 October 2015</p> <p>Terrestrial Management Plan – Response to Reviewer – actual review not on website – just a letter to DoE</p> <p>Inshore Dolphin Strategy July 2015</p> <p>Inshore Dolphin Strategy – Response to Reviewer (24/11/15)</p> <p>Feral Pig Management Offset Strategy August 2015</p> <p>Feral Pig Management Offset Strategy – Response to Reviewer</p> <p>Rehabilitation Strategy – not yet approved by the Minister – not written and/or required.</p> <p>Email dated 27/10/15 From G.Woodrow requesting uploading management plans to website. Email specifies approval date of 14/10/15 and notes it must be uploaded prior to 14/11/15 to meet compliance requirements. Email response 10/11/15 from C.Mietzel confirming attached documents (Terrestrial Management Plan, Independent Peer Review Terrestrial Management Plan and Independent Peer Review DMP – River Facilities) have been uploaded.</p>			
PEER REVIEW Condition 60 EPBC 2010/5642 <i>Unless otherwise agreed in writing by the Minister, each program/s, plan/s, or strategies specified in the conditions must be independently peer reviewed prior to submission to the Minister for approval. The approval holder must nominate an Independent Peer Reviewer to the Minister. The person/organisation/technical committee conducting the independent peer review must be approved by the Minister, prior to the commencement of the</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<i>review. The independent peer review criteria must be agreed to by the Minister and any reviews undertaken must address the criteria to the satisfaction of the Minister.</i>					
60.1	Independent Peer Reviews must be completed for the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Temporary Barge Plan July 2015 Temporary Barge Plan July 2015 – Response to Reviewer (14/12/14) Capital Dredge Management Plan – Port (Initial Capital Dredging) November 2015 Capital Dredge Management Plan – Port – Response to Reviewer (13/8/15) Capital Dredge Management Plan – River Facilities 16 September 2015 Capital Dredge Management Plan – River Facilities - Response to Reviewer (11/11/14) Construction Marine and Shipping Management Plan 19 November 2015 Construction Marine and Shipping Management Plan – Response to Reviewer (14/7/15) Terrestrial Management Plan 14 October 2015 Terrestrial Management Plan – Response to Reviewer Inshore Dolphin Strategy July 2015 Inshore Dolphin Strategy – Response to Reviewer (24/11/15) Feral Pig Management Offset Strategy August 2015 Feral Pig Management Offset Strategy – Response to Reviewer Rehabilitation Strategy – not yet approved by the Minister – not written and/or required.	Review listed documents as shown in the auditor evidence	Review evidence of Independent Peer Reviews being conducted prior to submission	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
60.2	Independent Peer Reviewers must be approved by the Minister prior to the commencement of the review for the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	<p>Letter dated 15/10/14 from DoE acknowledging correspondence dated 26/9/14 requesting approval of three nominated independent peer reviewers and review criteria for:</p> <p>Mr Stephen Raaymakers – Temporary Barge Plan Dr Jim Stoddart – Capital Dredge Management Plan – River Facilities Dr Lyndon Brooks – Inshore Dolphin Offset Strategy</p> <p>It was noted that the Officers of the Post Approvals Section had reviewed the information provided and was satisfied that the peer review criteria, qualifications, experience and the level independence of the nominated peer reviewers meet the requirements of the relevant approval conditions. It was noted that, as a delegate of the Minister, the three nominated peer reviewers and the review criteria for the above plans and strategy are approved.</p> <p>Letter dated 11/12/14 from DoE acknowledging correspondence dated 4/12/14 requests approval of Dr Jim Stoddart to undertake a review of the Capital Dredge Management Plan – Port Development. It was noted that the Officers of the Post Approvals Section had reviewed the information provided and were satisfied the review criteria and suitability of independent peer reviewer met the requirements of the approval. It was noted that, as a delegate of the Minister, the review criteria and Dr Jim Stoddart as the peer</p>	<p>Letter dated 15/10/14 from DoE. Letter dated 22/10/14 from DoE. Letter dated 11/12/14 from DoE. Letter dated 10/10/14 re Terrestrial MP. Letter dated 10/10/14 re Construction Marine and Shipping MP. Letter dated 10/10/14 re Feral Pig Management Offset Strategy. Letter dated 26/9/14 re Temporary Barge Plan. Letter dated 26/9/14 re River Dredge Management Plan. Letter dated 26/9/14 re Inshore</p>	Review correspondence of approval	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>review of the Capital Dredge Management Plan – Port be approved.</p> <p>Letter dated 22/10/14 from DoE acknowledging correspondence dated 10/10/14 requesting approval of three nominated independent peer reviewers and review criteria for:</p> <p>Dr David Dique – Terrestrial Management Plan Dr Andrew Bengsen – Feral Pig Management Offset Strategy Mr Stephen Raaymakers – Construction Marine and Shipping Management Plan</p> <p>It was noted that the Officers of the Post Approvals Section had reviewed the information provided and was satisfied that the peer review criteria, qualifications, experience and the level independence of the nominated peer reviewers meet the requirements of the relevant approval conditions. It was noted that, as a delegate of the Minister, the three nominated peer reviewers and the review criteria for the above plans and strategy are approved.</p> <p>Maintenance Dredging Management Plan not yet written or required.</p>	<p>Dolphin Offset Strategy. Letter dated 4/12/14 re Capital Dredge Management Plan.</p>		
60.3	Independent peer review criteria must be agreed to by the Minister for the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging	<p>Letter dated 15/10/14 from DoE acknowledging correspondence dated 26/9/14 requesting approval of three nominated independent peer reviewers and review criteria for:</p> <p>Mr Stephen Raaymakers – Temporary Barge Plan Dr Jim Stoddart – Capital Dredge Management Plan – River Facilities</p>	<p>Letter dated 15/10/14 from DoE. Letter dated 22/10/14 from DoE.</p>	Review correspondence approving independent peer review criteria	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy	<p>Dr Lyndon Brooks – Inshore Dolphin Offset Strategy It was noted that the Officers of the Post Approvals Section had reviewed the information provided and was satisfied that the peer review criteria, qualifications, experience and the level of independence of the nominated peer reviewers met the requirements of the relevant approval conditions. It was noted that, as a delegate of the Minister, the three nominated peer reviewers and the review criteria for the above plans and strategy are approved.</p> <p>Letter dated 11/12/14 from DoE acknowledging correspondence dated 4/12/14 requests approval of Dr Jim Stoddard to undertake a review of the Capital Dredge Management Plan – Port Development. It was noted that the Officers of the Post Approvals Section had reviewed the information provided and were satisfied that the review criteria and suitability of the independent peer reviewer met the requirements of the approval. It was noted that, as a delegate of the Minister, the review criteria and Dr Jim Stoddard as the peer reviewer of the Capital Dredge Management Plan – Port be approved.</p> <p>Letter dated 22/10/14 from DoE acknowledging correspondence dated 10/10/14 requesting approval of three nominated independent peer reviewers and review criteria for: Dr David Dique – Terrestrial Management Plan</p>	<p>Letter dated 11/12/14 from DoE. Letter dated 10/10/14 re Terrestrial MP. Letter dated 10/10/14 re Construction Marine and Shipping MP. Letter dated 10/10/14 re Feral Pig Management Offset Strategy. Letter dated 26/9/14 re Temporary Barge Plan. Letter dated 26/9/14 re River Dredge Management Plan. Letter dated 26/9/14 re Inshore Dolphin Offset Strategy. Letter dated 4/12/14 re Capital Dredge Management Plan.</p>		

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Dr Andrew Bengsen – Feral Pig Management Offset Strategy</p> <p>Mr Stephen Raaymakers – Construction Marine and Shipping Management Plan</p> <p>It was noted that the Officer of the Post Approvals Section had reviewed the information provided and was satisfied that the peer review criteria, qualifications, experience and the level of independence of the nominated peer reviewers met the requirements of the relevant approval conditions. It was noted that, as a delegate of the Minister, the three nominated peer reviewers and the review criteria for the above plans and strategy are approved.</p> <p>Maintenance Dredging Management Plan not yet written or required.</p>			
60.4	Independent Peer Reviews must address the criteria to the satisfaction of the Minister for the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy	For each document submitted, criteria for independent peer review were submitted and approved by DoE. Subsequently documents with independent peer review reports which were assessed by DoE and ultimately approved in line with evidence shown in Condition 60. This demonstrates Independent Peer Reviews have addressed the criteria to the satisfaction of the Minister.	<p>Letter dated 15/10/14 from DoE.</p> <p>Letter dated 22/10/14 from DoE.</p> <p>Letter dated 11/12/14 from DoE.</p> <p>Letter dated 10/10/14 re Terrestrial MP.</p> <p>Letter dated 10/10/14 re Construction</p>	Review correspondence approving independent peer review criteria and correspondence approving relevant management plan or strategy	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
			Marine and Shipping MP. Letter dated 10/10/14 re Feral Pig Management Offset Strategy. Letter dated 26/9/14 re Temporary Barge Plan. Letter dated 26/9/14 re River Dredge Management Plan. Letter dated 26/9/14 re Inshore Dolphin Offset Strategy. Letter dated 4/12/14 re Capital Dredge Management Plan.		
Condition 61 EPBC 2010/5642 <i>The reviews undertaken for condition 60 must include an analysis of the effectiveness of the avoidance and mitigation measures in meeting the objectives, targets or management measures identified in the program/s, plants or strategies being reviewed.</i>					
61.1	Independent Peer Reviews must include an analysis of the effectiveness of the avoidance and mitigation measures in meeting the objectives, targets or management measures identified	For each document submitted, criteria for independent peer review were submitted and approved by DoE. Subsequently documents with independent peer review reports which were assessed by DoE and ultimately approved in line with evidence shown in Condition 60. This	Letter dated 15/10/14 from DoE. Letter dated 22/10/14 from DoE.	Review correspondence approving independent peer review criteria and	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	in the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	demonstrates Independent Peer Reviews have addressed the criteria to the satisfaction of the Minister. It was noted that the peer reviews included an analysis of the effectiveness of the avoidance and mitigation measures in meeting the objectives, targets or management measures identified in the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Letter dated 11/12/14 from DoE. Letter dated 10/10/14 re Terrestrial MP. Letter dated 10/10/14 re Construction Marine and Shipping MP. Letter dated 10/10/14 re Feral Pig Management Offset Strategy. Letter dated 26/9/14 re Temporary Barge Plan. Letter dated 26/9/14 re River Dredge Management Plan. Letter dated 26/9/14 re Inshore Dolphin Offset Strategy. Letter dated 4/12/14 re Capital Dredge Management Plan.	correspondence approving relevant management plan or strategy	

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
Condition 62 EPBC 2010/5642 <i>Unless otherwise specified in these conditions or notified in writing by the Minister, the approval holder must provide to the Minister, a copy of all advice and recommendations made by the Independent Peer Reviewer for program/s, plants, or strategies, and an explanation of how the advice and recommendations will be implemented, or an explanation of why the approval holder does not propose to implement certain recommendations.</i>					
62.1	Independent Peer Reviews including all advice and recommendations must be provided to the Minister for Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Each independent review specifies the review criteria, independent review comments and the response to the peer review comments. The independent peer review report including all advice and recommendations and the responses have been submitted to the DoE and subsequently approved for all plans and strategies. Correspondence relating to the approval is detailed throughout this checklist.	Temporary Barge Plan, Marine and Shipping Management Plan, Dredging Management Plan River and Ports, Terrestrial Management Plan, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Review Independent Review Criteria Review independent review reports Review response to reports Review correspondence demonstrating acceptance by DoE	C
62.2	Rio Tinto responses to Independent Peer Reviews must be provided to the Minister for Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Each independent review specifies the review criteria, independent review comments and the response to the peer review comments. The independent peer review report including all advice and recommendations and the responses have been submitted to the DoE and subsequently approved for all plans and strategies. Correspondence relating to the approval is detailed throughout this checklist.	Temporary Barge Plan, Marine and Shipping Management Plan, Dredging Management Plan River and Ports, Terrestrial Management Plan, Feral Pig Management Offset Strategy and	Review Independent Review Criteria Review independent review reports Review response to reports Review correspondence demonstrating	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
			Inshore Dolphin Offset Strategy.	acceptance by DoE	
Condition 63 EPBC 2010/5642 <i>If the Minister is not satisfied that the final revised version of the plan/s, program/s or strategies specified in this approval adequately addresses the condition/s specified in the approval, the approval holder will be notified in writing by the Minister that they must update a plan/s, program/s or strategies to meet the condition/s that have not been adequately addressed.</i>					
63.1	If notification provided by the Minister that condition/s specified in the approval are not adequately addressed any approved plan/s, program/s or strategies must be updated.	No notification provided – not applicable.	N/A	N/A	N/A
Condition 64 EPBC 2010/5642 <i>For any plan/s and/or strategy specified in this approval that is to be approved by the Minister, the approval holder must ensure the Minister is provided at least 60 business days for review and consideration of the programs/s, plan/s, or strategies specified in this approval, unless otherwise agreed in writing by the Minister. This does not apply to urgent changes required to protect the environment or repair or mitigate any damage that may or will be, or has been, caused by the action to any matter protected by Part 3 of the EPBC Act for which the approval has effect.</i>					
64.1	Minister must be provided at least 60 business days for review and consideration of the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Temporary Barge Plan, Marine and Shipping Management Plan, Dredging Management Plan-Port, Dredging Management Plan-River, Terrestrial Management Plan, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy have all been approved by the Minister prior to the commencement of the relevant activity, where that activity has actually commenced.	Details noted throughout this checklist.	Evaluate all relevant plans to ensure these were approved prior to commencement	C
Condition 65 EPBC 2010/5642					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<p><i>To avoid duplication, the approval holder may provide the Minister with any plan/s, program/s or strategies prepared for the State provided the plan/s, program/s or strategies meets the conditions specified in this approval. The plan/s, program/s or strategies must include a cross reference table that clearly identifies:</i></p> <p><i>a. the condition specified in this approval for which the plan/s, strategy or program/s is being provided; and</i></p> <p><i>b. the relevant folder, chapter, section number and page number in the plan/s, program/s or strategies where the condition has been addressed.</i></p>					
65.1	<p>If any plan/s, program/s or strategies prepared for the State are to be provided to the Minister for approval they must include a cross reference table that clearly identifies:</p> <p>a. the condition specified in this approval for which the plan/s, strategy or program/s is being provided; and</p> <p>b. the relevant folder, chapter, section number and page number in the plan/s, program/s or strategies where the condition has been addressed.</p>	<p>SoE Project Inshore Dolphin Strategy Table 1 specifies the relevant EPBC Approval Conditions and the relevant section to address the Conditions are listed.</p> <p>SoE Project Construction Marine and Shipping Management Plan Table 1.</p> <p>Dredge Management Plan – Port Table 1.</p> <p>Dredge Management Plan – River Facilities Table 1.</p> <p>Feral Pig Management Offset Strategy Table 1.</p> <p>Terrestrial Management Plan Table 1.</p> <p>Temporary Barge Plan Table 1.</p>	All listed plans stated in the auditor evidence.	Evaluate all relevant plans to ensure that a cross reference table is included, as described	C
COMMENCEMENT DATES					
Condition 66 EPBC 2010/5642					
<p><i>Within ten (10) days after the commencement of preliminary works, construction, operation and/or commencement of the action, the approval holder must advise the Minister in writing of the actual date of commencement.</i></p>					
66.1	<p>Within 10 days following commencement of preliminary works written notification must be provided to the Minister advising the actual date of commencement.</p>	<p>Email sent From Paul Dewar GMHSE – Bauxite & Alumina Rio Tinto 2/11/15 to Manel Samarakoon, Assistant Director, Approvals Monitoring North Section, Environmental Assessment and Compliance Division, Department of Environment with letter dated 26/10/15 stating on 21/10/15</p>	<p>Letter dated 5 days after commencement of preliminary works.</p> <p>Email with letter attachment sent 12</p>	Evaluate correspondence relating to notification of preliminary works	N/C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>clearing for the construction of the temporary accommodation camp commenced and noted this activity was defined as preliminary works. Email response 2/11/15 – thank you for the notification.</p> <p>It is recognised that the letter was dated within the ten days specified by the Condition however the email of submission to the Department was 12 days after preliminary works had commenced. This non-compliance is minor and administrative in nature and a result of an error rather than a systematic issue with management of Departmental correspondence.</p>	days after commencement of preliminary works.		
66.2	Within 10 days following commencement of construction written notification must be provided to the Minister advising the actual date of commencement	<p>Conversation 29/4/16 Glenn Woodrow stating that construction as per the EPBC definition d) has not yet commenced.</p> <p>Site visit demonstrated construction has not yet commenced.</p> <p>After the site audit had been completed, an email notification was received on 13/5/16 from the Project Senior Environmental Advisor stating that clearing in excess of 30 hectares for the temporary accommodation camp in project area had commenced on 12/5/16, which defines commencement of construction and commencement of the action. Written notification to the Minister advising commencement date will be assessed at the next audit as the 10 days following commencement of construction had not yet passed</p>	Site verification	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		during the audit period and therefore this reporting requirement was not yet applicable.			
66.3	Within 10 days following commencement of operation written notification must be provided to the Minister advising the actual date of commencement	Operations have not yet commenced. Operations is defined by the EPBC approval as commencement of activities associated with bauxite mining and production, including shipping activities from the Boyd Port and facilities in the Hey and Embley Rivers. This does not include activities associated with construction or preliminary works. Construction works commencement 12/5/16. Site visit demonstrated operations has not yet commenced.	Site verification	N/A	N/A
66.4	Within 10 days following commencement of the action written notification must be provided to the Minister advising the actual date of commencement.	Commencement of the action is defined in EPBC Permit 2010/5642 b) any works that are required to be undertake for construction (except exploration, site investigation and preliminary works). Advised that construction has not yet commenced. Not yet applicable.	Site verification	N/A	N/A
RECORD KEEPING					
Condition 67 EPBC 2010/5642 <i>The approval holder must maintain accurate records substantiating all activities associated with or relevant to the conditions of approval, including measures taken to implement the plan/s or strategies as specified in these conditions and make them available upon request to the department. Such records may be subject to audit by the department or an independent auditor in accordance with section 458 of the EPBC Act, or used to verify compliance with the conditions of approval. Summaries of audits will be posted on the department's website. The results of audits may also be published through the general media.</i>					
67.1	Accurate records of activities must be maintained in relation to activities associated with or	Throughout the audit it was evidence that appropriate and accurate records substantiating activities relevant to the approval were maintained.	Assessed throughout audit	Assess records throughout audit	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	relevant to the conditions of approval.	This extended to monitoring, training, dredging, surveys, inspection checklists and correspondence.			
67.2	Records must be made available on request by the Department. Such documents may be subject to audit by the Department and used to verify compliance with the conditions of approval.	No request has been made by the Department to make records available.	N/A	N/A	N/A
REPORTING					
Condition 68 EPBC 2010/5642 <i>Within three (3) months of every 12 month anniversary of commencement of the action the approval holder must publish a report on their website, for the duration of the project including decommissioning, addressing compliance with the conditions of this approval over the previous 12 months, including implementation of any management plan/s or strategies as specified in the conditions. Non-compliance with any of the conditions of this approval must be reported to the department at the same time as the compliance report is published. Within five (5) days after publication, the person taking the action must provide the Minister with a copy of the report/s.</i>					
68.1	Compliance report/s must be published within three (3) months of every 12 month anniversary of commencement of the action.	Commencement of the action is defined under EPBC 2010/5642 as any works that are required to be undertaken for construction (except exploration, site investigation and preliminary works). At the time of audit, commencement of the action had not been satisfied and therefore publishing a compliance report on the website is not yet required – not applicable.	N/A	N/A	N/A
68.2	Non-compliance with any of the conditions of this approval must be reported to the department at the same time as the compliance report/s is published.	At the time of audit, commencement of the action had not been satisfied and therefore publishing a compliance report reporting on any non-compliances to the department is not yet required – not applicable.	N/A	N/A	N/A
68.3	Copy/s of the compliance report/s must be provided to the Minister	At the time of audit, commencement of the action had not been satisfied and therefore publishing a	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	within five (5) days after publication.	compliance report is not yet required – not applicable.			
AUDITING					
Condition 69 EPBC 2010/5642 <i>Every three years from the date of this approval, the approval holder must ensure that an independent audit of compliance with the conditions of approval is conducted and a report submitted to the Minister. The independent auditor must be approved by the Minister prior to the commencement of the audit. Audit criteria must be agreed to by the Minister and the audit report must address the criteria to the satisfaction of the Minister.</i>					
69.1	Every three years from the date of this approval independent audit/s of compliance with the conditions of approval must be conducted and audit report submitted to the Minister.	Current audit conducted by Ardent Group Pty Ltd is the first independent audit of compliance with the conditions of approval. Submission of the audit report will occur after the finalisation of the report and therefore cannot be determined as part of this audit scope.	Current audit report	Current audit report	C
69.2	The independent auditor/s must be approved by the Minister prior to the commencement of the audit.	DoE letter dated 7/4/2016 Reference EPBC 2010/5642 approves Lana Shoesmith Ardent Group Pty Ltd as the independent auditor.	DoE Letter dated 7/4/16	Review correspondence relating to auditor approval	C
69.3	Audit criteria must be agreed to by the Minister and the audit report/s must address the criteria to the satisfaction of the Minister.	DoE letter dated 3/5/2016 Reference EPBC 2010/5642 approves submitted audit criteria in response to request for approval 11/4/16. The satisfaction of the Minister cannot be determined as part of this audit scope.	DoE letter dated 3/5/16	Review correspondence relating to audit criteria	C
SENSITIVE INFORMATION					
Condition 70 EPBC 2010/5642 <i>For the purposes of reporting at Condition 68, where material required under condition 41 and Condition 42 is culturally sensitive and cannot be disclosed at the explicit and written consent of the relevant Indigenous people with rights, claims or interests in the area, the approval holder must advise the department of the extent to which it cannot comply with condition 41 and Condition 42 or that reason.</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
70.1	The department must be advised where material required under condition 41 and condition 42 is culturally sensitive and cannot be disclosed for the purposes of reporting at condition 68 at the explicit and written consent of the relevant Indigenous people with rights, claims or interests in the area.	There have been no examples where material is culturally sensitive and cannot be disclosed.	N/A	N/A	N/A
70.2	The department must be advised of the extent to which Rio Tinto cannot comply with condition 41 and 42 or that reason.	There have been no examples where material is culturally sensitive and cannot be disclosed.	N/A	N/A	N/A
RECORD REGISTER					
Condition 71 EPBC 2010/5642 <i>Where the conditions require the approval holder to submit a program/s, plan/s or strategies for the Minister's approval, the approval holder must maintain a register recording:</i> <ul style="list-style-type: none"> <i>a. the date on which each plan was approved by the Minister;</i> <i>b. if a plan has not been approved, the date on which it was, or is expected to be, submitted to the Minister;</i> <i>c. the dates on which reports on the outcomes of reviews have been approved by the Minister; and,</i> <i>d. the dates on which the subsequent reviews are due.</i> 					
71.1	A register must be maintained which records the dates required by a. to d. for the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation	EPBC Approvals_Plans_Strategies_Review Register documents dates of submission to Minister, comments received, response to comments submitted (subsequent reviews i.e. #2 and #3, as relevant). Dates recorded for Inshore Dolphin Offset Strategy, Feral Pig Offset Strategy, Temporary Barge Plan, Terrestrial Management Plan, River Facilities Dredge Management Plan, Port	Reviewed Register	Review register to ensure it is complete in line with the listed requirements.	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	Dredge Management Plan, Construction Marine and Shipping Management Plan.			
71.2	The register must be submitted to the department at the time the annual compliance report is published.	Not applicable – first annual compliance report is not yet required. In accordance with Condition 68, this is within three months of the 12-month Anniversary of the Commencement of Action. Commencement of Action has not been satisfied.	N/A	N/A	N/A
Condition 72 EPBC 2010/5642 <i>If the approval holder wishes to carry out any activity otherwise than in accordance with a programs/s. plan/s or strategies as specified in the conditions, the approval holder must submit to the department for the Minister's written approval a revised version of that programs/s, plan/s or strategies. The varied activity must not commence until the Minister has approved the varied programs/s, plants or strategies writing. The Minister will not approve a varied programs/s, plan/s or strategies unless the revised programs/s, plants or strategies would result in an equivalent or improved environmental outcome over time. If the Minister approves the revised programs/s, plan/s or strategies they must be implemented in place of the plants or strategies originally approved.</i>					
72.1	Where changes have been required in activities described in the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy, revised versions of the plan(s) must be submitted to the Minister for approval.	To date, no changes have been required as described in the listed documents and there have been no submissions of revised plans to the Minister for approval.	N/A	N/A	N/A
72.2	Approval for varied management plan(s) and/or monitoring programs(s) must be received	There have been no submissions of revised plans to the Minister for approval – not applicable.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	from the Minister in writing prior to commencement of the variation.				
Condition 73 EPBC 2010/5642 <i>If, at any time after the first five (5) year anniversary of the date of this approval, the approval holder has not commenced the action, then the approval holder must not commence the action without the written agreement of the Minister.</i>					
73.1	Commencement of the action must not occur after the first five (5) year anniversary of the date of this approval without the written agreement of the Minister.	Email 13/5/16 from Senior Environmental Advisor stating Commencement of the action was triggered 12/5/16. The Commencement of the Action is within the five year anniversary of the EPBC2010/5642 dated 14/5/2013.	Email 13/5/16 Site inspection verifying stage of works	Evidence of start date commencement of action	C
Condition 74 EPBC 2010/5642 <i>The financial cost of adhering to the conditions specified in this approval will be borne by the approval holder.</i>					
74.1	The financial costs of adhering to the conditions specified in this approval must be borne by the approval holder.	Audit demonstrates that there is adherence to the conditions specified in the approval. Advised that the approval holder has incurred the costs.	Audit Checklist	Evidence throughout audit	C
Condition 75 EPBC 2010/5642 <i>If the Minister believes that it is necessary or convenient for the better protection of World Heritage properties (sections 12 & 15A), National Heritage Place (section 158 & 15C), Listed threatened species and communities (sections 18 & 18A), Listed Migratory Species (section 20 & 20A), Commonwealth Marine Area (sections 23 & 24a) and Great Barrier Reef Marine Park (sections 248 and 24C) to do so, the Minister may request that the approval holder make specified revisions to the programs/s, plan/s or strategies specified in the conditions and submit the revised programs/s, plan/s or strategies for the Minister's written approval. The approval holder must comply with any such request. The revised approved programs/s, plan/s or strategies must be implemented. Unless the Minister has approved the programs/s, plan/s or strategies then the approval holder must continue to implement the programs/s, plants or strategies originally approved, as specified in the conditions.</i>					
75.1	If the Minister requests specified revisions for the better protection of World Heritage properties (sections 12 & 15A), National Heritage Place (section 158	No requests received from the Minister.	Interview Senior Environmental Advisor	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	&15C), Listed threatened species and communities (sections 18 & 18A), Listed Migratory Species (section 20 & 20A), Commonwealth Marine Area (sections 23 & 24a) and Great Barrier Reef Marine Park (sections 24B and 24C), approved plan/s, program/s or strategies must be updated and submitted to the Minister for approval				
75.2	Updated plan/s, program/s or strategies must be implemented in relation to the relevant conditions for implementation of plan/s, program/s or strategies in this approval.	Not applicable - no requests received from the Minister.	N/A	N/A	N/A
75.3	Previously approved plan/s, program/s or strategies must continue to be used until the Minister has approved the updated plan/s, program/s or strategies.	Not applicable - no requests received from the Minister.	N/A	N/A	N/A
Condition 76 EPBC 2010/5642 <i>The approval holder must undertake the action in accordance with, and ensure persons that are under the direction or control of the approval holder for the South of Embley Bauxite Mine and Port Development project comply with, the approved plan/s, program/s or strategies to avoid, mitigate, manage and offset impacts to outstanding universal value of the World Heritage properties (sections 12 & 15A). National Heritage Place (section 15B & 15C), Listed threatened species and communities (sections 18 & 18A), Listed Migratory Species (section 20 & 20A), Commonwealth Marine Area (sections 23 & 24a) and Great Barrier Reef Marine Park (sections 24B and 24C).</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
76.1	Project activities and persons undertaking project activities must comply with the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s, Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	<p>Audit demonstrates that there is adherence to the conditions specified in the approval.</p> <p>All personnel interviewed understood the relevant requirements and were able to provide examples of implementation, as they applied to the scope of works conducted to date.</p>	Audit Checklist	Evidence throughout audit	C

Appendix 2 Personnel Interviewed

Date	Name	Role	Comments
3-12/5/16	Glenn Woodrow	Senior Environmental Advisor	Accompanied site audit
3/5/16	Marcia Hanrahan	General Manager Amrun Project	
3/5/16	Phil Newsome	Project Manager Amrun Project	
3/5/16	Linda Wells	Marine Scientist	Additional phone conversations during audit period for clarification of records
3/5/16	Professor David Parry	Principal Advisor – Environment	
3/5/16	Steve Miller	Senior Environmental Scientist	
3/5/16	David Gwilliam	Area Manager – Marine	
3/5/16	Ben Lowes	Spatial Analyst	
3/5/16	Pamela Tummers	Senior Environmental Scientist	
10/5/16	Brad Welsh	Manager – Community Relations	
10-11/5/16	Maria Dotlic	Environmental Advisor, Bechtel	
11/5/16	Peter de Kwant	SSE	
11/5/16	Adam James	Akwa Worx	Sewage Treatment
11/5/16	Matthew Ridgewell	Warrigal Deckhand	
11/5/16	Justin McKinlay	Warrigal Vessel Master	
12/5/16	Morgan Thomas	Principal Ecologist Ecotone Environmental Services	Via phone (based in Cairns)

Appendix 3

Auditor Approval Letter



Australian Government
Department of the Environment

Our reference: EPBC 2010/5642

Contact Officer: Carissa Louend
Telephone: (02) 6159 7155
Facsimile: (02) 6274 1878
Email: Audit@environment.gov.au

Mr Geoff Brookes
Chief Advisor – Site Management South of Embley (Amrun) Project
RTA Weipa Pty Ltd
123 Albert St
Brisbane QLD 4000

Dear Mr Brookes

Re: RTA Weipa Pty Limited – Amrun (South of Embley) Bauxite Mine and Port Development, Cape York Queensland (EPBC 2010/5642) – Appointment of Independent Auditor

Thank you for your correspondence dated 29 March 2016, regarding the independent audit of compliance for the approval (dated 14 May 2013) under the *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act).

You have sought (in accordance with condition 69 of the EPBC Act approval 2010/5642), for an auditor from Ardent Group Pty Ltd to be appointed as the independent auditor.

This request has been assessed and I am pleased to inform you, as delegate of the Minister for the Environment, that I approve the appointment of Ms Lana Shoesmith from Ardent Group Pty Ltd as the independent auditor.

If you would like to discuss this matter further please contact Ms Carissa Louend on (02) 6159 7155 or email Audit@environment.gov.au.

Yours sincerely



Shane Gaddes
Assistant Secretary
Compliance & Enforcement Branch
Environment Standards Division

7 April 2016

Appendix 4

Audit Criteria Approval Letter



Australian Government
Department of the Environment

Our reference: EPBC 2010/5642

Contact Officer: Ms Carissa Louend
Telephone: (02) 6159 7155
Email: Audit@environment.gov.au

Mr Glenn Woodrow
Senior Advisor – Environment South of Embley (Amrun) Project
RTA Weipa Pty Ltd
123 Albert Street
Brisbane, QLD 4000

Dear Mr Woodrow

Conditioned audit of the approval granted for the *South of Embley Bauxite Mine and Port Development, Cape York Queensland* (EPBC 2010/5642) – Approval of audit criteria

I refer to your letter of 11 April 2016 in which you submitted revised audit criteria and methodology for the conditioned audit of *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act) approval 2010/5642.

Officers of this Department of the Environment (the Department) have reviewed the audit criteria and methodology and consider that it provides sufficient scope for an assessment of compliance with the conditions attached to the approval. On this basis, as delegate of the Minister for the Environment, I am pleased to inform you that I approve the proposed audit criteria and methodology.

I request that you please submit the audit report to the Department within ten (10) weeks from the date of this letter. I look forward to receiving a copy of the audit report.

Finally, I take this opportunity to remind you of the Department's expectations in terms of audit reports being required to include details of measurements made, sample sizes and audit evidence obtained. In considering the audit evidence obtained:

- there must not be an over-reliance on representations made by the approval holder or their representatives (i.e. audit findings should be based on independently verifiable third party evidence);
- where sample records are referenced (e.g. pre-clearance surveys) a representative random sample of a minimum of 10 per cent of the records must be reviewed; and
- statements that support audit findings must not include terms that are open to interpretation and they must provide sufficient context to inform the basis for audit conclusions.

Should you require any further information please contact Ms Carissa Louend on 02 6159 7155 or email Audit@environment.gov.au.

Yours sincerely


Shane Gaddes
Assistant Secretary
Compliance & Enforcement Branch
Environment Standards Division

3 May 2016

GPO Box 787 Canberra ACT 2601 • Telephone 02 6274 1111 • Facsimile 02 6274 1666 • www.environment.gov.au

Appendix 5 Auditor's Declaration of Independence



Independent Audit and Audit Report Guidelines

For controlled actions which have been approved under Chapter 4 of the
Environment Protection and Biodiversity Conservation Act 1999

2015

© Commonwealth of Australia, 2015.

Appendix A—Auditor's Declaration of Independence

I, Lana Shoesmith of Ardent Group Pty Ltd, 159 Musgrave Road, Red Hill Qld 4059

declare that to the best of my knowledge and belief I and my organisation do not have any conflicting or competing interests with:

The Auditee, Rio Tinto, the Auditee's staff or representatives or other persons associated with the Auditee, including any personal, financial, business or employment relationship, except to the extent detailed below.

The project to be audited Amrun Project (formerly known as the South of Embley Project) EPBC 2010/5642.

I shall notify the Department of the Environment within seven days of any change in these circumstances or any other change that may affect my independent status.

I shall at all times observe any professional code of conduct and/or ethics applicable to undertaking audits (i.e. – as prescribed by the agency with which I hold accreditation/membership). I take full responsibility for any factual inaccuracy or mistake made in giving this declaration, particularly to the extent that others rely upon the truth of this declaration. I acknowledge that the Department of the Environment may request further information to verify my independence at any time.

Details of any personal, financial, business or employment relationship with the Auditee, the Auditee's staff, representatives or associated persons. (This is in the context of both the person making the declaration and the organisation that they are employed by – specify 'nil' if none):

NIL

Details of any personal, financial, business or employment relationship with the project to be audited. (This is in the context of both the person making the declaration and the organisation that they are employed by - specify 'nil' if none):

NIL

Details of audit qualifications and professional accreditations/memberships. (Include copies of current audit qualifications and current professional accreditations/memberships) :

- Exemplar Global Lead Environmental Auditor #12299
- Certified Environmental Practitioner CEnvP #092
- Member Environmental Institute of Australia and New Zealand EIANZ #55061
- Bachelor of Science (Honours) and Graduate Diploma Environmental Management

In making this declaration, I am aware that section 491 of the *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act) makes it an offence in certain circumstances to knowingly provide false or misleading information or documents to specified persons who are known to be performing a duty or carrying out a function under the EPBC Act or the regulations. The offence is punishable on conviction by imprisonment for not more than 1 year, a fine not more than 60 penalty units, or both. An extract of section 491 of the EPBC Act is attached

Signed

A handwritten signature in black ink, appearing to read "Lana Shoesmith".

Full name: Lana Shoesmith

Organisation: Ardent Group Pty Ltd

Date: 18/3/16

Footnote:

- Where an organisation or a team of auditors is nominated to undertake the audit, each individual that is nominated is to complete a separate declaration.
- The curriculum vitae of all audit team members are to be submitted with the declaration outlining their relevant experience and qualifications.

Appendix 6 Auditor's Certification

Audit Report—Auditor's Certification

Auditor Details: Lana Shoesmith, General Manager, Audits and Compliance, Ardent Group Pty Ltd,
159 Musgrave Road Hill, Queensland 4059, phone: 07 3368 1033

Auditor's qualifications and/or experience:

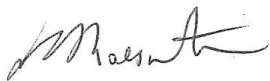
- Exemplar Global Lead Environmental Auditor #12299
- Certified Environmental Practitioner CEnvP #092
- Member Environmental Institute of Australia and New Zealand EIANZ #55061
- Bachelor of Science (Honours) and Graduate Diploma Environmental Management

Auditor's declaration:

I, Lana Shoesmith

- For environmental audits that are required by a condition of an *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act) approval I certify that, to the best of my knowledge, all information provided in the audit report attached to this audit certification statement is true, correct and complete.

I am aware that section 491 of the EPBC Act makes it an offence in certain circumstances to knowingly provide false or misleading information or documents to specified persons who are known to be performing a duty or carrying out a function under the EPBC Act or the regulations. The offence is punishable on conviction by imprisonment for not more than 1 year, a fine not more than 60 penalty units, or both.

A handwritten signature in black ink, appearing to read "Lana Shoesmith", is written over a faint, larger version of the same signature.

Signature:

Date: 17/6/16