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INDEPENDENT COMPLIANCE AUDIT REPORT 2019

EPBC 2010/5642

Version 1

RTA Weipa Pty Ltd – Amrun Project

15 May 2019

RIO-006

Document Control Sheet

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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. The Project involves a staged increase in production to 50 million dry product tonnes per annum of bauxite. Physical works associated with the first construction stage are substantially complete and operations commenced 2nd December 2018.

As part of the Conditions of approval, RTA Weipa is required to ensure that an independent compliance audit is undertaken in three years. 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 and SD/2017/3722). This report presents the audit findings.

In general, it was found that the Conditions of the EPBC Approval 2010/5642 and Sea Dumping Permits 2010/1762 and 2017/3722 were in compliance.

One non-compliance was identified relating to the date of submission of the 2016 annual report to the International Maritime Organisation, as required by SD2010-1762 condition 26. The Condition requires the report to be provided by 31 January 2017, however it was not submitted until 24/2/2017. This non-compliance was reported to the Department of Environment and Energy in the 2017 Annual Compliance Report. It was noted that the 2018 annual report required by the sea dumping permit SD2017/3722 was submitted by the sea dumping permit due date (23/1/2019).

2 INTRODUCTION

2.1 Background

The South of Embley (SoE) 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. The initial production capacity of the SoE Project is approximately 22.8 million dry product tonnes per annum (nameplate production capacity), which has been constructed through the Amrun Project.

RTA Weipa Pty Ltd has undertaken an Environmental Impact Statement for the SoE 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.

Once capital dredging had been completed, a new Sea Dumping Permit SD2017/3722 was issued 13/4/2018 to dump dredged material derived from maintenance dredging of the Amrun Port berth pocket and departure channel.

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, operations had commenced. The current status of works is listed below:

- Amrun Village completed (524 beds)
- Mine access road, including Winda Creek crossing completed (includes emergency airstrip)
- Capital Dredging in the Embley and Hey River estuaries completed
- Initial capital dredging at the CHITH export facility completed (capital and maintenance)
- Chith export facility wharf and jetty completed
- Hey River barge/ferry terminal completed
- Humbug barge/ferry terminal completed
- Clearing has been completed for the Boyd Mine Infrastructure Area, first stage of Arraw Dam (formerly Dam C) and the Infrastructure corridor
- Process water pond completed
- Boyd (Amrun) Mine Infrastructure Area permanent power station and switch rooms completed

- Process facilities (beneficiation plant, power station, workshops, warehouse, administration facilities) completed and operational
- Fresh water supply dam (Arraw Dam) inclusive of integrated spillway/fishway first stage completed
- Drilling of artesian bores 1 – 6 completed and commissioned
- Tailings Storage Facility starter dam completed, with pumps to be commissioned
- Waterway barrier works (Winda and infrastructure crossings A and B) - completed
- Sediment ponds (MIA slot, northern and southern) - completed
- Boyd (Amrun) Mine Infrastructure Area water retention slot - completed
- Bauxite mining – commenced northern cell TSF
- Bauxite stockpiles – commenced
- Shipping - commenced

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 Permits SD2010/1762 dated 29 July 2015 and Sea Dumping Permit SD2017/3722 dated 13 April 2018, now known as the Amrun Project, was conducted by Lana Shoesmith from Ardent Group Pty Ltd (CEnvP #092; Exemplar Global Lead Environmental Auditor #12299) 8-11/4/2019.

This is the second 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 Permits SD2010/1762 and SD2017/3722 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 since the last independent audit conducted in April 2016. At the time of the previous audit, only 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 had been conducted. Since that time, construction has been finalised and operations commenced on 2/12/2018 marked by the first shipment.

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 6 March 2019 (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 were prepared and submitted to the DoE for approval. This approval was granted by DoE on 6 March 2019 (letter of approval included at Appendix 3).

The site audit was conducted 8-11 April 2019. Documents and records were reviewed. An inspection of the following areas was conducted: Humbug terminal, Hey River terminal, Chith Export Facility, Amrun Wharf, mine access road, mine infrastructure area, Pera Head (viewed), Arraw Dam and Amrun Accommodation Village. 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 Permits. 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 Sheathtail 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. development of Rehabilitation Strategy.

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

Observations made in the previous EPBC were reviewed and the status of actions is reported. Observations for the current audit 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 Permits SD2010/1762 and SD2017/3722; 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 and approval of the audit criteria and methodology.

Appendix 4 includes the Auditor's Declaration of Independence signed by the Lead Environmental Auditor declaring there is no conflicting or competing interests.

Appendix 5 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 Permits.

4 Findings

4.1 Overview

In general, it was found that the Conditions of the EPBC Approval 2010/5642 and Sea Dumping Permits 2010/1762 and 2017/3722 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 the 2016 annual report to the International Maritime Organisation, as required by SD2010-1762 condition 26. The Condition required the report to be provided by 31 January 2017, however it was not submitted until 24/2/2017. It was noted that the following annual report was submitted by the due date (23/1/2019), as required by SD2017/3722.

Table 1. Non-compliances.

Condition/Audit Criteria	Requirement	Evidence	Audit Finding
26	RTAW must provide a report to the Department in the form at Appendix 2 to this permit, following commencement of dumping activities under this permit, by 31 January each year until expiry of the permit.	Capital dredging occurred 26/3/2016 – 19/4/2016. Reporting relating to the capital dredging was required by 31/1/17. Reporting occurred on 24/2/2017 via email to seadumping@environment.gov.au	NC as the report was provided after the due date.

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
67.1	It was noted that records were held in various locations and was often dependent on individuals to save the data in an appropriate location. As the Project has moved from the Construction to Operations phase, the Project has undertaken a transition of responsibility for the overall environmental compliance management.	It is recommended that a central record register be developed and utilised to ensure that there is a file location to demonstrate all environmental compliance obligations.

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. This is not required for the project.
6.1j	Temporary Barge Plan can be incorporated into Marine and Shipping Management Plan.	Temporary Barge Plan is a separate document.
10.1,10.2 11.3	A Marine and Shipping Management Plan for stage 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 commenced 2/12/2018 and therefore subsequent plans are 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 for capital dredging 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.
24,1,30.1, 30.2,30.3	Revision of Terrestrial Management Plan.	Dates for revision have not been passed.

31.4, 32.1	Actions to be taken if Bare-rumped Sheathtail bats are found, including reporting.	No Bare-rumped Sheathtail 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,	Requirement to provide survey data, if requested	No request made.
63.1	Requirement must update specified programs upon request.	No request from the Minister.
67.2	Provide requested records to Department.	No request made.
70.1,70.2	Management of sensitive information.	No examples where material has been identified as culturally sensitive.
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.	EPBC 2016 Audit Report notes Temporary Barge Plan submitted.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit Report Reviewed correspondence demonstrating submission of TBMP	C No further auditing required
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.	EPBC 2016 Audit Report notes Temporary Barge Plan address all requirements relevant to the construction and operation of the temporary barge facility near Pera Head.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit report Evaluation of TBP relating to impacts to listed turtles	C No further auditing required
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	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	EPBC 2016 Audit Report notes that the Temporary Barge 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.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit report Evaluation of TBP relating to surveying	C No further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	be impacted by the temporary barge facility.				
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>					
3.1	The Temporary Barge Plan must include adaptive management and mitigation measures to benefit listed turtle species.	Temporary Barge Plan includes adaptive management and mitigation measures to benefit listed turtle species.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit report Evaluation of TBP relating to adaptive management and mitigation measures	C No further auditing required
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.	Temporary Barge Plan documents 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 specifies the roles with responsibility for implementing actions.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit report Evaluation of TBP relating to management strategies	C No further auditing required
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>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
4.1	The Temporary Barge Plan must be approved by the Minister prior to commencement of the temporary barge facility.	Temporary Barge Plan was approved by the Minister. No works in relation to the Temporary Barge Plan have commenced. A Temporary Barge was not constructed.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit report	C No further auditing required
4.2	The approved Temporary Barge Plan must be implemented.	Site inspection confirmed a Temporary Barge facility has not been constructed near Pera Heads. No works in relation to the TBP have been undertaken. Therefore, implementation of the TBP is not applicable.	Interview Senior Advisor – Environment Site visit	Site inspection confirmed no works in relation to the TBP have been conducted.	N/A No further auditing required. There is no operational requirement for a temporary barge to be built.

MARINE AND SHIPPING MANAGEMENT PLAN

Condition 5 EPBC 2010/5642

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:

- 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,*
- f. Dugong (Dugong dugon) and Bryde's Whale (Balaenoptera edeni).*

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
5.1	Marine and Shipping Management Plan/s (MSMP) must be submitted for minister approval in accordance with condition 8.	<p>Condition 8 allows for the Marine and Shipping MP to be submitted in stages. Stage i is the construction stage and Stage ii relates to operations.</p> <p>The Project has moved from the construction stage i phase to stage ii operations phase.</p> <p>EPBC 2016 audit found that the RTA Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 was submitted in accordance with Condition 8.</p> <p>DoE letter of approval Reference 2010/5642 letter dated 2/10/2018 grants, as a delegate of the Minister for the Environment, approval of the Operations Marine and Shipping Management Plan, in accordance with Condition 8.</p> <p>RTA Weipa South of Embley Project Operations Marine and Shipping Management Plan FINAL dated 2 October 2018.</p>	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed Operations MSMP</p> <p>DoE letter dated 2/10/2018</p>	<p>EPBC 2016 audit report</p> <p>Correspondence to verify MSMP submitted to DoE for approval</p>	C
5.2	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:	EPBC 2016 audit found that the RTA Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 Operations 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	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed Operations MSMP</p>	<p>EPBC 2016 audit report</p> <p>Evaluation of OMSMP to verify impacts are defined and</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	<p>a. the outstanding universal value of the Great Barrier Reef World Heritage Property;</p> <p>b. Great Barrier Reef National Heritage Place;</p> <p>c. Great Barrier Reef Marine Park;</p> <p>d. Listed turtle species;</p> <p>e. Listed dolphin species; and,</p> <p>f. Dugong (<i>Dugong dugon</i>) and Bryde's Whale (<i>Balaenoptera edeni</i>).</p>	<p>covers all marine based activities, including shipping, associated with the operations phase of the Project.</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 5 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> <p>Section 7 describes Potential Impacts, Avoidance, Mitigation and Management associated with the operations phase of the Project on MNES. This section covers requirements relating to: underwater vessel noise; prevention of marine pollution; spill management and response; vessel traffic management; vessel strike management; turbidity; marine pest prevention and response; and lighting management.</p> <p>Reference is made to the Foreshore Access Management Plan to restrict access for unpermitted persons to foreshore areas between Ina Creek and Winda Winda Creek.</p>		<p>measures are described to avoid, manage and mitigate against impacts to items a-f</p>	

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	<p>Condition 6 EPBC 2010/5642</p> <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> 				

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<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 (Giyphis sp. A).</i>					
6.1	Marine and Shipping Management Plan/s prepared in accordance with condition 8 must incorporate avoidance and mitigation mechanisms addressing a. through l.	<p>EPBC 2016 audit report stated that the RTA Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Construction MSMP) was prepared in accordance with Condition 6.1.</p> <p>RTA Weipa SoE Project Operations Marine and Shipping Management Plan FINAL 2 October 2017 (Operations MSMP) was prepared in accordance with Condition 6.1.</p>	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed Operations MSMP to ensure items a-l are addressed. Interviews with Marine Scientist and Environmental Specialist Contractor</p>	<p>EPBC 2016 Audit report provided evaluation of the Construction MSMP</p> <p>Evaluation of Operations MSMP</p>	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;	Operations Marine and Shipping MP Section 7 specifies the requirement to implement measures to address operational shipping and marine activities that could have an 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.	Reviewed Operations MSMP	Evaluation of Operations MSMP relating to impacts to the marine environment	C
b	impacts from changes to coastal processes, including beach and/or	Operations Marine and Shipping MP Section 6.6 specifies the requirement to implement measures	Reviewed Operations MSMP	Evaluation of Operations	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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;	to address impacts associated with changes to coastal processes. The Chith Export Facility is a piled jetty and wharf structure with six piles on the beach/foreshore area and a small dredged footprint approximately 500m from the shoreline. Risk was assessed as negligible and no further mitigation mechanisms are required to address potential changes to coastal processes.		MSMP relating to impacts from changes to coastal processes	
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);	Operations Marine and Shipping MP Section 7.4 details the measures to address artificial light related impacts on listed turtle species (including hatchlings) nesting beaches and adjacent marine environment. These measures include: light design, direction of light emission, location, shielding requirements and restrictions in the use of light particularly during peak turtle nesting season. Monitoring of impact of light is to be conducted and an offset management program for marine turtles including feral pig control is to be implemented.	Reviewed Operations MSMP	Evaluation of Operations 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	Operations Marine and Shipping MP Section 7.1.4 specifies the requirement to implement measures to ensure shipping activities are undertaken in accordance with the Great Barrier Reef Marine Park	Reviewed Operations MSMP	Evaluation of Operations 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;	Zoning Plan (2003) and defines Designated Shipping Areas. Contractual arrangements are in place to ensure compliance with the regulatory requirements for shipping through the GBRMP Act and AMSA, MSQ and international requirements.		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);	Operations Marine and Shipping MP Section 7.3 covers prevention of marine pollution and includes practices relating to shipping activities to minimise impact on the marine environment. These include: vessel discharge protocols, waste management, spills prevention and management, and Chith Export Facility bauxite spillage management.	Reviewed Operations MSMP	Evaluation of Operations MSMP relating to ship loading and unloading	C
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;	Operations Marine and Shipping MP Section 7.1.1 specifies the requirement to implement measures to reduce the risk of impacts from vessel strike on listed turtle species, listed dolphin species or Dugongs. These include training requirements for vessel masters and crew; provision of lookouts for marine fauna; restricting vessel speed limits to a maximum of six knots in water depths of 2.5m or less; vessel tracking systems; inspections and monitoring.	Reviewed Operations MSMP	Evaluation of Operations MSMP relating to vessel strike	C
g	impacts from underwater noise including, but not limited to, pile driving activities at Condition 12 and shipping;	Operations Marine and Shipping MP Section 7.1.2 underwater noise from vessels specifies the requirement to implement such as maintenance, restricting speed and management of operation of vessel engines, transit route, qualified vessel crew,	Reviewed Operations MSMP Interview Environmental	Evaluation of Operations MSMP relating to underwater noise	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>review of vessels prior to contracting to ensure AMSA and MSQ requirements for operation.</p> <p>No pile driving activities will be conducted during operations.</p>	Specialist contractor		
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;	<p>Operations Marine and Shipping MP Section 7.2 marine pests requires application, maintenance and certification of antifouling coating; marine pest risk assessments; inspections and cleaning for vessels rated above a low risk; compliance with the Australian Anti-fouling and In-water Cleaning Guidelines; and compliance with any DAF requirements.</p> <p>The settlement plate program is described. Marine pest inspections and actions in the event of an incursion are detailed.</p> <p>Ongoing consultation with DAF Biosecurity Queensland is required to ensure the monitoring program is consistent with other Ports and the the current version of the Department of Agriculture, Fisheries and Forestry's Australian Marine Pest Monitoring Manual.</p>	Reviewed Operations MSMP	Evaluation of Operations MSMP relating to marine pest species	C
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 7.5 recreational activities addresses the restriction of access for unpermitted persons to foreshore areas between Ina Creek and Winda Winda Creek.</p> <p>A Foreshore Access Management Plan has been developed.</p>	<p>Reviewed Operations MSMP</p> <p>Foreshore Access MP</p>	Evaluation of Operations MSMP relating to recreational use	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		This plan details access for the duration of the Project including 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.			
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. Temporary barge not constructed and not required.	EPBC 2016 Audit Report	EPBC 2016 Audit report provided evaluation of the TBP	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,	Operations Marine and Shipping MP Section 6 identifies the potential impacts as relevant to shipping activities during the operations phase and provides an assessment of risk. Mitigation measures are described and further detailed in Section 7. These are consistent with those proposed in the EIS (RTA Weipa, March 2013) as they relate to 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 Operations MSMP	Evaluation of Operations 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	Marine and Shipping MP Section 3.6 Table 6 and section 7.6 states confirmed sighting of an elasmobranch is to be reported within 5 business	Reviewed Operations MSMP	Evaluation of Operations MSMP relating	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	confirmed or suspected sighting/s and/or observation/s in the 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).	days of sighting. This includes: 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).		to notification to department 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	RTA Weipa SoE Project Operations Marine and Shipping Management Plan FINAL 2 October 2018 (Operations Marine and Shipping MP). Adaptive management strategies are included in Sections 6 and 7, as detailed under Condition 6 noted in this checklist.	Reviewed Operations MSMP	Evaluation of Operations MSMP relating to adaptive management strategies	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	species, Dugong and Bryde's Whale.				
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 measurable performance indicators and goals, timeframes for reporting and implementation, corrective actions and contingency measures, and specify the persons/ roles with responsibility for implementing actions.	Operations Marine and Shipping MP Section 7, Table 13 summarises an action plan for each MNES to implement the mitigation measures identified in sections 6 and 7. Each action plan includes: the potential impact; avoidance, mitigation and management measures, monitoring requirements, residual risk, management objective/goal/targets; performance indicators; timeframe (activity); corrective actions and contingency measures; and responsibilities.	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).	Operations Marine and Shipping MP Section 8 details Traditional Owner employment opportunities associated with marine works and shipping in relation to the Feral Pig Management Offset Strategy; Foreshore Access Permit System; and Inshore Dolphin Offset Strategy. In addition, through the existing Indigenous Land Use Agreement, opportunities for employment of Traditional Owners are identified through an employment and training plan. Section 7 provides examples of Traditional Owner employment within the Land and Sea Management	Reviewed Operations MSMP	Evaluation of Operations MSMP relating to Traditional Owners	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Program such as looking for Asian green mussels during beach works and conduct of beach surveys.			
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.	EPBC 2016 Audit report showed that the RTA Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 was approved prior to construction. Construction activities have been completed.	Reviewed EPBC 2016 audit report Interview Senior Environmental Advisor Site inspection	EPBC 2016 Audit report Reviewed correspondence of approval. Interview Senior Environmental Advisor relating to stage of works Site inspection verifying status of stage of works	C – no further auditing required
8.2	A Marine and Shipping Management Plan for stage ii. must be approved by the Minister	Operations Marine and Shipping MP covers operations – Stage ii. At the time of audit construction has been completed.	DoE letter of approval 2/10/2018.	Correspondence relating to	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	prior to commencement of stage ii.	<p>RTA Weipa South of Embley Project Operations Marine and Shipping Management Plan FINAL dated 2 October 2018.</p> <p>DoE letter of approval Reference 2010/5642 letter dated 2/10/2018 grants, as a delegate of the Minister for the Environment, approval of the Operations Marine and Shipping Management Plan</p> <p>Letter dated 7/12/2018 advising Department of the Environment and Energy that operations commenced on 2/12/2018.</p> <p>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.</p>	<p>Operations MSMP</p> <p>Letter to DoEE dated 7/12/18 re commencement of operations.</p> <p>EPBC Permit 2010/5642 definition operational works</p> <p>Interview Environmental Specialist Contractor</p> <p>Site inspection</p>	<p>commencement of state ii</p> <p>Interview Environmental Specialist Contractor</p> <p>Site inspection verifying status of stage of works</p>	
8.3	A Marine and Shipping Management Plan for stage iii must be approved by the Minister	A subsequent revised plan is not yet required as operations commenced on 2 December 2018. Condition 10.1 states a revised plan is required two	Interview Environmental	Interview Environmental Specialist	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	prior to commencement of stage iii.	years after operations have commenced – not applicable.	Specialist Contractor Site inspection	Contractor relating to stage of works	
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 Maritime Safety Authority and the Great Barrier Reef Marine Park Authority, and state agencies, including Maritime Safety Queensland.	The Operations Marine and Shipping Management Plan section 10 Table 14 notes the comments and RTA Weipa response to the Commonwealth agencies including the Australian Maritime Safety Authority and the Great Barrier Reef Marine Park Authority, and state agencies, such as Maritime Safety Queensland.	Interview Environmental Specialist Contractor Site inspection	Interview Environmental Specialist Contractor relating to stage of works	N/A
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.	A subsequent Marine and Shipping Management Plan is not yet required as operations commenced on 2 December 2018 and two years have not passed from this date – not applicable.	Interview Environmental Specialist Contractor Site inspection	Interview Environmental Specialist Contractor relating to stage of works	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	A subsequent Marine and Shipping Management Plan is not yet required as operations commenced on 2 December 2018 and two years have not passed from this date – not applicable.	Interview Environmental Specialist Contractor Site inspection	Interview Environmental Specialist Contractor relating to stage of works	N/A
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.	EPBC 2016 audit report noted that where works had commenced, the Construction Marine and Shipping Management Plan was well implemented. Items reviewed included: Vessel inspections – boarded vessel during 2016 audit Pre-mobilisation Checklists All vessels underwent a marine pest risk assessment (and inspections) and were cleared prior to mobilising to site. Waste management Traffic control and tracking <u>Current audit</u> Email 5/6/2018 showing vessel requirements and evidence of vessel risk assessments – Adrenalin Sprint, Raptor, Sunset Sienna. Completed pre-mobilisation checklists. Biofoul inspection reports e.g. 15/7/2016.	Review EPBC 2016 audit report Pre-mobilisation checklists Vessel risk assessments Inspection reports Waste register Waste transport certificates	EPBC 2016 audit report Sample of records provided for all vessels used on the project to date. Site inspection export facility	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Marine pest risk assessments e.g. 17/3/2016.</p> <p>Examples of waste transport certificates sighted e.g. Remondis vessel 16/10/17 3,800 litres septic.</p> <p>Waste register kept for all vessels and reported monthly e.g. October 2017 sighted.</p> <p>Maintenance dredge risk assessment 23/4/2018, TSHD Brisbane.</p> <p>Jumbo Jubilee risk assessment – transfer vehicle 14/4/2018.</p> <p>NQBP April 2018 EMP.</p> <p>Ship loading facility inspected. Noted no waste brought on to site from ships.</p> <p>Chith export facility noted spill kits in place.</p> <p>Minimal potential or spillage. Routine vacuum truck used to remove product spill. No evidence of oils leaks.</p> <p>Boarded Freedom Monarch – compliance with waste management and spill management requirements specified in OMSMP.</p>			
11.2	The approved Marine and Shipping Management Plan at condition 8, stage ii. must be implemented for stage ii.	<p>MSQ harbour master monitors speed and route and there was not evidence of breaches.</p> <p>All vessels have AIS installed for vessel tracking and included in vessel approval process. Vessels are monitored in real time by MSQ harbour master.</p> <p>This was observed on the vessel boarded Freedom Monarch (Smit Lamnaico is the contractor).</p>	<p>Pre-mobilisation checklist</p> <p>Vessel risk assessment</p> <p>Waste transport certificates</p>	<p>Sample of records provided for all vessels used on the project to date.</p> <p>Interview vessel personnel</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>All waste is sent to Evans Landing including weekly pump out of septic. This is managed by sullage transfer procedure. Examples of waste transport certificates sighted e.g. Freedom Monarch 1,200 litres septic 13/12/18 and 10,000 litres septic 28/3/19. Waste record book sighted for 2017-2019, which includes volumes of general waste. Oil record book is kept and details bunkering, discharge and disposal records. Records sighted for 2017-2019.</p> <p>Bunkering procedure ensures that there is 500 litre capacity left in the tank to avoid potential for overflow. This is support by JSEA Bunkering/Fuel Transfer dated 11/12/18. Bunkering sign off sheet is completed (records sighted April 2019). Deck Hand and Master Ticket qualifications sighted. Toolbox training is conducted e.g. bunkering. Bunkering plan and calculation sheets keep track of fuel and tank level monitoring. A checklist is used to ensure the correct process is followed (sighted completed sheets for April 2019). Shore side have a separate checklist. Correlation is made to oil record book and is reconciled.</p> <p>Planned maintenance is conducted. Work schedule and maintenance records sighted.</p> <p>Ship master described requirements for marine observation. No reports of sawfish.</p> <p>Spill kit in place.</p>	<p>Waste register</p> <p>Oil record book</p> <p>Bunkering records</p> <p>Bunkering procedure</p> <p>Toolbox training records</p> <p>Qualification records</p> <p>Maintenance records</p> <p>Interview Chief Shipping Engineer</p> <p>Interview Ship Master</p>	<p>Inspection vessel</p>	

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		In terms of implementation, all relevant items confirming compliance with the Operations 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 Operations Marine Shipping and Management Plan had not been undertaken.			
11.3	The approved Marine and Shipping Management Plan at condition 8, stage iii. must be implemented for stage iii.	A Marine and Shipping Management Plan relevant to stage iii is not yet applicable.	N/A	N/A	N/A

PILE DRIVING OPERATIONS

Condition 12 EPBC 2010/5642

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:

- iv. Listed turtle species;*
- v. Listed dolphin species; and*
- vi. Dugong (Ougong dugan) and Bryde's Whale (Balaenoptera edeni). Those measures must include:*

- 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;*
- 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;*
- 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 1µ Pa2 s;*

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p><i>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;</i></p> <p><i>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 exclusion zone for at least 30 minutes: and,</i></p> <p><i>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.</i></p>			
12.1	Measures a. through f. must be implemented for any pile driving operations.	<p>Reviewed EPBC 2016 audit report and it noted that the RTA Weipa SoE Project Construction Marine and Shipping Management Plan FINAL 19 November 2015 (Marine and Shipping MP) covers pile driving operations.</p> <p>Pile driving had not commenced on site at the time of the previous audit. Pile driving has been completed and records of implementation were reviewed during the current audit and reported below for each item a-f.</p>	<p>Reviewed EPBC 2016 audit report</p> <p>See below</p>	<p>EPBC 2016 audit report</p> <p>Evaluation of Construction MSMP relating to pile driving</p>	C
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.	Construction MSMP Marine fauna record forms Contractor Marine Plan	Review records showing evidence of compliance with soft start procedure	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Soft start instruction was included in the Marine Execution Plan (Pacific Marine Group) that first five strikes were 25% or less.</p> <p>Marine fauna record forms show start time e.g. 11/7/16 start piling at 1253, full power at 1310. Examples where turtles and dolphins were observed, piling ceased until they moved from exclusion zone and soft start procedure was followed again.</p>			
b	<p>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;</p>	<p>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.</p> <p>Marine fauna observer was noted on the marine fauna recording form. It was noted that if piling activities ceased for 15 minutes or more, the soft start procedure occurred again.</p>	Marine fauna record forms	Evidence of presence of suitably qualified marine observer	C
c	<p>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;</p>	<p>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.</p>	Marine fauna record forms	Records demonstrating compliance with piling requirements	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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. Marine fauna observation sheets (25/6-27/8/2016). Sent piling report e.g. 25/7/16 stating no incidents.	Marine fauna record forms Piling report dated 25/7/2016	Piling summary reports Records demonstrating compliance with piling requirements	C
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 exclusion zone for at least 30 minutes;	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. Marine fauna record form 15/7/16 example where turtle was observed, piling stopped, waited for turtle to move, waited 30 minutes and then recommenced with soft start procedure.	Marine fauna record forms	Review marine observation records	C
f	only pile driving operations which have commenced prior to sunset	Marine and Shipping MP Section 6.1 Underwater Noise from Pile Driving states that only pile-driving	Marine fauna record forms	Evidence of timing of piling	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	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. Piling only occurred during daylight. Marine fauna record forms showed piling ceased during daylight hours.			
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.	EPBC 2016 audit report noted that the DoE had submitted criteria for suitably qualified marine observers and these criteria for the marine observer were approved (22/10/2014). 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. 3 day course conducted by Blue Planet Marine. Course customised for the Amrun project. Training records T. Matthew, C.Gillett .	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
13.2	Records must be kept of marine observers subsequently engaged for any pile driving operations.	Marine mammal observer training was conducted June 2016 (records sighted) e.g. R.Adidi, J.Kerr). Marine observer was recorded on the marine fauna record form (see condition 12 for details).	Marine mammal observer training records	Review records of showing presence of marine	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
			Marine fauna record forms	observers during piling	
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 South of Embley project must be submitted to the minister for approval.	EPBC 2016 audit report noted the approval of the Dredge Management Plan – Port (Initial Capital Dredging). EPBC 2016 audit report noted the approval of the Capital Dredge Management Plan – River Facilities.	Reviewed EPBC 2016 audit report	EPBC 2016 audit report Correspondence showing evidence of submission for DMP-Port and DMP-River	C – no further auditing required
14.2	Capital Dredging Management Plan/s must include measures to avoid and mitigate impacts on: i. Commonwealth Marine Area; ii. Listed turtle species;	EPBC 2016 audit report noted that the Capital Dredge Management Plans included measures to avoid and mitigate impacts on listed species.	Reviewed EPBC 2016 audit report	EPBC 2016 audit report Evaluate DMP-Port and DMP-River to verify measures are included	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	iii. Listed dolphin species; and, iv. Dugong (<i>Dugong dugon</i>) and v. Bryde's Whale (<i>Balaenoptera edeni</i>).			relating to species i-v	
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 approved prior to commencing capital dredging activities.	EPBC 2016 audit report noted that both Capital Dredging Management Plans were approved by DoE prior to commencing capital dredging activities. Capital dredging has ceased.	Reviewed EPBC 2016 audit report	EPBC 2016 audit report Correspondence showing evidence of approval for DMP-Port and DMP-River prior to commencement of dredging. Dredging records showing commencement date. Reviewed daily records for the entire dredging period.	C – no further auditing required
Condition 16 EPBC 2010/5642 <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>					

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 – Port March 2018. Letter to DoEE submitting the Maintenance Dredging Management Plan – Port together with the peer review dated 25/11/2017. Email from DoEE dated 9/3/18 noting comments have been adequately addressed and requesting RTAW to submit final version for approval. Letter from DoEE dated 15/3/2018 approving the Maintenance Dredging Management Plan – Port March 2018.	Maintenance Dredge Management Plan Letter to DoEE dated 25/11/2017 Email from DoEE dated 9/3/2018 Letter from DoEE dated 15/3/2018	Correspondence showing evidence of approval of the Maintenance Dredge Management Plan	C
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 – Port March 2018 section 7.4 includes management measures to address potential impacts to marine turtles and marine mammals. These include fitting turtle exclusion devices, employing trained Marine Fauna Observers, logging sightings, employing procedures to avoid interaction with marine turtles and marine mammals, and management of impacts created by artificial light on turtles. Section 5.4 specifies the threatened marine mammals, which include the listed turtle and dolphin species, dugongs and Bryde's whale.	Maintenance Dredge Management Plan	Review Maintenance Dredge Management Plan	C
Condition 17 EPBC 2010/5642 <i>Maintenance dredging activities cannot commence until the Maintenance Dredging Management Plan at condition 16 has been approved.</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
17.1	Maintenance Dredging Management Plan at condition 16 must be approved prior to maintenance dredging activities commencing.	Maintenance Dredging Management Plan – Port March 2018 was approved 15/3/2018 by DoEE. Maintenance dredging was first conducted 1-4/5/2018, as stated in the Annual Compliance Report 2018, Table 7 Sea Dumping Permit 2017/3722 Compliance Status.	Letter from DoEE dated 15/3/2018 Annual Compliance Report 2018 stating dates of maintenance dredging	Correspondence showing evidence of approval of the Maintenance Dredge Management Plan Records of maintenance dredging	C
Condition 18 EPBC 2010/5642 <i>The approved Plans at condition 14 and condition 16, and/or their subsequent revisions, must be implemented.</i>					
18.1	The approved Capital Dredge Management Plan/s must be implemented in relation to capital dredge activities.	The Capital Dredging campaign was conducted 26/3 – 19/4 2016. Evidence of implementation of the approved Capital Dredge Management Plan was verified during the 2016 EPBC audit. Capital dredging works had been completed prior to the conduct of the 2016 EPBC audit (10-12/5/2016). Monitoring and report requirement specified in the Capital Dredge Management Plan were reviewed during this audit and found to be in compliance with the requirements specified.	Reviewed 2016 EPBC audit report Reviewed dredge monitoring and reporting records (see SD permit evidence)	Reviewed 2016 EPBC audit report Reviewed dredge monitoring and reporting records	C No further auditing required as capital dredging has been completed.
18.2	The approved Maintenance Dredge Management Plan/s must be implemented in relation to maintenance dredge activities.	There has been one maintenance dredging campaign 1-4/5/2018. Evidence of implementation of the Maintenance Dredge Management Plan is documented in the sea dumping permit SD201/3722.	Dredging marine fauna reporting database period 1-4/5/2018	Review evidence of implementation of the MDMP	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		In terms of implementation, all relevant items confirming compliance with the approved maintenance Dredge Management Plan were verified. No items were identified that indicated that relevant actions required by the Maintenance Dredge Management Plan had not been undertaken.	Daily dredging records Pre and post dredge survey records Marine Fauna Survey Observer training records		
SEA DUMPING PERMIT 2010/1762					
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 was audited in the EPBC 2016 audit with evidence reported below. Outstanding items from the previous audit are reported in the current audit. Compliance with Sea Dumping Permit 2017/3722 dated 13/4/2018 is also assessed and reported in the current audit (below SD 2010/1762).	Evidence for all conditions of the Sea Dumping Permits are listed below	Evidence for all conditions of the Sea Dumping Permits 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.					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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 Conservation Act 1999</i> for EPBC2010/5642.	Refer to this audit checklist that covers the applicable Conditions of EPBC2010/5642.	Review all conditions EPBC 2010/5642	Review all conditions EPBC 2010/5642	C - Reported in the EPBC 2016 audit report
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.	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
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 – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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 and not required. Capital dredging is completed.	N/A	N/A	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 management plan specified at Condition 3.	EPBC 2016 audit report noted that RTAW had advised that there has been no request from the Minister to submit a revised dredge management plan for approval.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	EPBC 2016 audit report noted that capital dredging occurred 26/3/2016 – 19/4/2016. The capital dredging campaign lasted for less than one year and therefore there was no requirement for an annual review.	N/A	N/A	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 why RTAW does not propose to address certain comments.	No revised DMP-Port was submitted as the capital dredging campaign was less than one year in duration – not applicable.	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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 the capital dredging campaign was less than one year in duration – not applicable.	N/A	N/A	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.	EPBC 2016 audit report noted compliance. The final volume of dredged material was 47,325 cubic metres.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
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	EPBC 2016 audit report noted compliance. The final volume of dredged material was 202,461 cubic metres.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.				
12	RTAW must only dump capital dredge material from the Port of Weipa within the Albatross Bay spoil ground which is defined by a 2000 metre radius, centred on the WGS84 coordinates: S12° 39' 34.7" E141° 39' 24.1".	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
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".	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
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.	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
15	RTAW must establish by GPS that, prior to dumping; the vessel is within the appropriate disposal site defined in Condition 12 or 13.	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
16	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.	Advised that no request from the Department has been made.	Interview Environmental Specialist Contractor	Determine if request by Department has been made	N/A
17	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.	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
18	If any marine mammals and/or marine turtles as specified in	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.				auditing required
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 measures in addressing the	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
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.	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required
22	RTAW must keep records comprising either weekly plotting sheets or a certified extract of the vessel's log which detail:	EPBC 2016 audit report noted compliance.	Review EPBC 2016 audit report	EPBC 2016 audit report	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	<p>the times and dates of when each dumping run is commenced and finished;</p> <p>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</p> <p>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.</p>				
23	<p>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</p>	<p>EPBC 2016 audit report noted compliance with pre-dredging bathymetric survey.</p> <p>Letter to DoE dated 3/6/2016 relating to bathymetric reporting.</p> <p>Bathymetric report dated 3/6/2016 showing change in sea floor bathymetry at Amrun Spoil Ground and Albatross Bay.</p> <p>Post bathymetric survey conducted 10/4/2016 Amrun Spoil Ground (1 day after finalising dredging</p>	<p>Review EPBC 2016 audit report</p> <p>Letter to DoE</p> <p>Interview with Marine Scientist</p>	EPBC 2016 audit report	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	permit at that disposal site, unless otherwise agreed with the Department.	in this area); and 14 April 2016 (15 days after completion of finalising dredging in Albatross Bay). These post-dredging bathymetric surveys were conducted within one month of completion of all dumping activities.			
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.	Post survey bathymetric results were uploaded into the Australian Hydrographic Office 26/5/2016, as advised by email dated 22/5/2016. This occurred within two months of the final bathymetric survey.	Email noting uploaded results.	Evidence of providing digital copy of survey	C - no further auditing required
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.	Letter dated 3/6/2016 to Queensland Assessment and Sea Dumping Section, Department of Environment attaching a report on the disposal activities including the final bathymetric reporting and change in seafloor bathymetry as a result of disposal activities. Report included a chart showing the change in sea floor bathymetry as a result of dumping. Written commentary describing volumes dumped is included.	Letter to DoE dated 3/6/2016 Bathymetric survey report Interview with Marine Scientist	Evidence of correspondence to Department Bathymetric survey report	C - no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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: 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).	<p>Capital dredging occurred 26/3/2016 – 19/4/2016. Reporting relating to the capital dredging was required by 31/1/17.</p> <p>Reporting occurred on 24/2/2017 via email to seadumping@environment.gov.au</p> <p>Sea Dumping Permit International Reporting Requirements Forms were completed for Albatross Bay spoil ground 111,000 cubic metres and for Amrun Port facility spoil ground 202,416 cubic metres for calendar year 2016. This reporting was conducted after the due date.</p> <p>This non-compliance was reported in the 2017 annual compliance report (Table 1), which is posted on the Amrun Project website.</p> <p>No further dredging occurred under this sea dumping permit therefore no further reporting is required.</p>	<p>Sea Dumping Permit International Reporting Requirements Form Albatross Bay spoil ground</p> <p>Sea Dumping Permit International Reporting Requirements Form Amrun Port facility spoil ground</p> <p>2017 Annual Compliance Report</p> <p>Interview with Marine Scientist</p>	Sea Dumping Permit International Reporting Requirements Forms	NC – no further auditing required
SEA DUMPING PERMIT 2017/3722					
<p>Condition 19 EPBC 2010/5642</p> <p><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></p>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
General Sea Dumping Permit 2017/3722 Permit to load for the purposes of dumping, and to dump, up to 92,000 cubic metres (<i>in situ</i>) of dredged material derived from maintenance dredging of the Amrun Port berth pocket and departure channel; Queensland, commencing on the date of signature of this permit (13/4/2018) and extending until 6 April 2021 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 ensure that no more than 92,000 cubic metres (<i>in situ</i>) of material derived from maintenance dredging of the Amrun berth pocket and departure channel as specified in Figure 2 of the Application, is loaded and dumped.	Log of Discharge records were sighted. These included: total cubic metres in situ (wet) and dry tonnage calculated. This volume is compared against the overall approved volume of 92,000 cubic metres. Total dredged volume to date is 42,083 cubic metres. Calculation of percentage of approval is shown for each day of dredging 1-4/5/2018 (21.1%, 18%, 9%, 3%) (actual post bathymetric survey is 46%).	Log of discharge records for maintenance dredging period 1-4/5/2018	Dredging records	C
3	RTA must only dump within the disposal site.	Maintenance Dredging Management Plan (MDMP) Section 2.6 requires that each load of dredged material will be dumped in the disposal site. Records showed disposal of material was well within the required site.	MDMP Interview with Marine Scientist Daily dredge records 1-4/5/2018	Review MDMP	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
4	RTA must ensure that each load of dredge material is dumped so that the dumped material is distributed evenly over the whole disposal site.	Maintenance Dredging Management Plan (MDMP) Section 2.6 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. Letter dated 4/7/2018 from MSQ stating spoil material is remaining contained within appropriate limits and the dredge "Brisbane" has done a good job in evenly distributing the dredged material across the material relocation site.	MDMP Post-dredge survey correspondence 4/7/2018 from MSQ	Review MDMP Review post dredge survey map	C
5	RTA must establish by GPS that, prior to dumping, the vessel is within the disposal site.	MDMP Section 2.6 requires that prior to dumping, the vessel must establish by GPS that it is inside the disposal site before commencing dumping. Records showed disposal of material was well within the required site.	MDMP Daily dredge records	Review daily dredge records to ensure vessel in the appropriate location – all trips	C
6	RTA must undertake visual and satellite disposal plume monitoring to measure and record the extent of the disposal plume, to inform the ongoing management of maintenance dredge disposal.	Amrun Project Port Maintenance Dredging Water Quality Reporting August 2018 (10/8/2018) describes the water quality monitoring program during maintenance dredging 1-4/5/2018. Water quality readings were taken and satellite imagery was used to determine the extent of the dredge plume. No plume was observed throughout the dredging.	Port Maintenance Dredging Water Quality Report 2018	Visual and satellite disposal plume monitoring records	C
7	For 20 minutes prior to the commencement of the dumping activities, RTA must ensure that a check is undertaken, using	Maintenance Dredging Management Plan requires a check to be undertaken prior to commencement of dumping activities.	Inspection records Interview with Senior Marine Scientist	Review MDMP Review dredge records	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	binoculars from a high observation platform, for marine species within the monitoring zone.	Daily dredge records showed marine observer in place.			
8	If any marine species are sighted in the monitoring zone, RTA must not commence dumping activities until either twenty minutes after the last marine species is observed in the monitoring zone, or the vessel has moved to another area of the disposal site where it can maintain a minimum distance of 300 metres between the vessel and any marine species.	Dredging marine fauna reporting database shows no sightings of marine species in monitoring zone during maintenance dredging during the period 1-4/5/2018.	Dredging marine fauna reporting database Interview with Marine Scientist	Review dredging records to evaluate actions on sighting marine mammals and turtles – reviewed all records for the dredging period	C
9	If at any time during the course of the dumping activities, an environmental incident occurs or an environmental risk is identified, all reasonable measures must be taken immediately by RTA to minimise or mitigate the risk or the impact. RTA must provide a report on the environmental incident or environmental risk to the Department within 48	No environmental incidents have occurred. Dredging marine fauna reporting database indicates no incidents have occurred.	Dredging marine fauna reporting database Interview with Marine Scientist	Review records to evaluate reporting of incidents	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	hours, with details of the incident or risk, the measures taken, the success of those measures in addressing the incident or risk and any additional measures proposed to be taken.				
10	RTA must document any incidents involving the dumping activities that result in injury or death to any marine species. The date, time and nature of each incident and the species involved, if known, must be recorded, and the incident is to be reported to the Department within 48 hours.	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
11	RTA 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. The fulfilment of these	Training attendance 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.	Training Records Daily dredge records	Review records required by the SD permit – all observers Evaluate compliance with training	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	conditions remains the responsibility of RTA.	Daily Dredging Log notes name of marine fauna observer.		requirements e.g. marine observers	
12	If requested by the Department, RTA must provide access for at least two nominees of the Department to witness, inspect, examine and/or audit any part of the operations, including any dumping activities or monitoring activities, the vessel or any other equipment, or any documented records. RTA must provide all reasonable assistance to the nominees of the Department for carrying out their duties.	Advised that no request from the Department has been made.	Interview Marine Scientist	Determine if request by Department has been made	N/A
13	RTA must make and retain records comprising either weekly plotting sheets or a certified extract of the ship's log which detail: a) the dates and times of when each dumping run is commenced and finished; b) the position (as determined by GPS) of the dumping vessel at the beginning and end of each	Log of Discharge records were sighted. These included: date, start and end time of each run, GPS position at start and end of each run. Data recorded on spoil ground map and in ARCGIS. Total cubic metres in situ (wet) and dry tonnage calculated. This volume is compared against the overall approved volume of 92,000 cubic metres. Total dredged volume to date is 42,083 cubic metres. Calculation of percentage of approval is shown for each day of dredging 1-4/5/2018 (21.1%,	Log of daily discharge records	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
	<p>dumping run, including the path of each dumping run;</p> <p>c) the volume of dredge material (in-situ cubic metres) dumped and quantity in dry tonnes for the specified operational period, and compared to the total amount permitted under the permit on a daily basis;</p> <p>d) the person(s) undertaking the marine species observation required in Condition 7 and any marine species observed within the monitoring zone for each run, including the date, time and approximate distance from the vessel and any action taken to comply with Condition 8.</p> <p>e) the person(s) undertaking the dredge plume monitoring required in Condition 6, the outcomes of the dredge plume monitoring for each run including the date, time and extent of the plume;</p> <p>f) the person(s) responsible for the operation of the vessel at any time during dumping activities.</p>	<p>18%, 9%, 3%) (actual post bathymetric survey is 46%).</p> <p>The name of the marine observer is recorded. No marine species were sighted and therefore no avoidance actions were required.</p> <p>Reported volumes are within permitted volume limit.</p> <p>Plume pictures were taken and a maintenance dredge water quality report 2018 and posted on Project website.</p> <p>The vessel master's name is recorded at the top of each log.</p>			

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
14	RTA must retain the records required by Conditions 10, 13 and 16 for verification and audit purposes.	Records relevant to Conditions 10, 13 and 16 were available for the audit.	See Conditions 10,13,16	See Conditions 10,13,16	C
15	RTA must ensure that a bathymetric survey of the disposal site is undertaken by a suitably qualified person. a) prior to the commencement of dumping activities under this permit; and b) within one month of the completion of all dumping activities authorised under this permit.	Surveys prepared by Queensland Government Hydrographic Services on behalf of North Queensland Bulk Ports Corporation. Pera Head - Pre-dredge survey – Amrun material relocation site dated 28/4/2018. Pera Head - Post-dredge survey – Amrun material relocation site dated 7/5/2018. Pera Head Pre-dredge survey - Amrun berth and departure area 17/4/2018. Pera Head Post dredge survey - Amrun berth and departure area 5/5/2018. Post dredging surveys conducted within one month of the dumping activities. Email noting Amrun information uploaded to the Australia Hydrographic Services site (13/6/2018).	Dredging – pre-survey dredge area and spoil ground Dredging – post-survey dredge area and spoil ground	Records of bathymetric surveys pre and post dredging across all dredging activities conducted	C
16	Within two months of the final bathymetric survey being undertaken, RTA must provide a digital copy of the bathymetric surveys to the Australian Hydrographic Office.	Email to MSQ noting Amrun information uploaded to the Australia Hydrographic Services site (13/6/2018). This reporting occurred within the two month specified period.	Email correspondence confirming report has been uploaded to AHS website	Evidence of reporting to the Department within two months	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
17	RTA 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 activities and include written commentary on the volumes of dumped material that appear to have been retained within the disposal site.	<p>Email to MSQ noting Amrun information uploaded to the Australia Hydrographic Services site (13/6/2018). This reporting occurred within the two month specified period.</p> <p>Letter dated 4/7/2018 from MSQ stating spoil material is remaining contained within appropriate limits and the dredge “Brisbane” has done a good job in evenly distributing the dredged material across the material relocation site.</p> <p>Amrun Project Amrun Port spoil disposal ground changes in elevation levels April 2018 to May 2018.</p> <p>Letter to DoEE dated 4/7/2018 attaching chart showing change in sea floor bathymetry of the Amrun project spoil ground.</p>	<p>Email correspondence confirming report has been uploaded to AHS website</p> <p>Letter to DoEE dated 4/7/2018</p> <p>Map showing change in levels</p>	Evidence of reporting to the Department within two months	C
18	To facilitate annual reporting to the International Maritime Organization, RTA must report to the Department by 31 January each year, including on the day of the expiry of the permit or completion of all dumping activities under this permit, information at Appendix 2 to this permit, or in a format as approved by the Department from time to time.	<p>Maintenance dredging and dumping activities occurred during the period 1-4/5/2018.</p> <p>A report was required by 31/1/2019. The report was provided to the International Marine Organisation on 23/1/2019 for the 2018 calendar year.</p>	Sea Dumping Permit International Reporting Requirements Form	Evidence of annual reporting to IMO	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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 clearing inventory is progressively updated, with monthly totals recorded. Cumulative total to date (October 2015 – March 2019) is 2,742 hectares. This is below the permitted total.	Amrun clearing inventory spreadsheet	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 clearing inventory is progressively updated, with monthly totals recorded. Cumulative total to date (October 2015 – March 2019) is 2,742 hectares. This is below the permitted annual total.	Amrun clearing inventory spreadsheet	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																
Condition 21 EPBC 2010/5642 <i>To mitigate impacts on Red Goshawk (Erythrorchis 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>Environmental feature</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>						Environmental feature	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
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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.* * * Category B Environmentally Sensitive area as defined by the Environmental Protection Regulation 2008 (Qld).																					
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. Buffers are marked on the map.	Terrestrial MP Cleared survey file Ground Disturbance Procedure	Review records to show buffer is being complied with Site inspection	C																

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>GPS guidance is provided in all land clearing equipment. Buffer zones and permitted clearing zones are marked. GPS screen showing clearing zone and buffers in the dozer equipment was sighted.</p> <p>Pre-clearance disturbance procedures are in place.</p> <p>Amrun Project Ground Disturbance Procedure 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>Amrun Project Pre-disturbance Program Annual Report August 2018.</p> <p>Annual disturbance plan is in place, which is part of the five year mine plan. Buffer zones are on this plan and this is constantly updated. GIS database sighted.</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>Annual Pre-disturbance Report</p> <p>Site inspection</p> <p>Interview Acting Land and Rehabilitation Supervisor</p> <p>Interview Loader/Dozer Operator</p>		

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<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 Paperback 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 potentially active, nests for the Red Goshawk and Masked Owl are present.	<p>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 of specified locations) and Masked Owls (within 200m of specified locations). Survey involve walk through. Observations of nest are required to be recorded and assessed. Survey report is generated annually. Amrun Project Pre-disturbance Program Annual Report August 2017. No active nests were sighted for Rainbow Bee-eater or Eastern osprey. One active nest for a White-Bellied Sea-eagle was sighted and a buffer established.</p> <p>Survey report is generated annually. Amrun Project Pre-disturbance Program Annual Report August 2018. Observations showed Eastern Osprey sightings, Rainbow Bee-eaters and one Red Goshawk sighting (observed flying overhead). 2 eastern osprey nests were found and buffers established.</p>	Reviewed TMP Annual Pre-disturbance Reports	Review TMP relating to the process for clearing to evaluate requirement for survey and review records showing this occurs	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Survey reports show that prior to any clearing of vegetation surveying is undertaken for the presence of the Red Goshawk and the Masked Owl.			
Condition 23 EPBC 2010/5642 <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>					
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 200 metre buffer and avoidance of clearing or disturbing a nest tree and buffer zone until fledglings no longer use the nest for habitat.	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 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.	Reviewed TMP Interview Acting Land and Rehabilitation Supervisor	Review TMP relating to the pre-disturbance program for listed species	C
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

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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 (Erythrorhynchus 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.	<p>The EPBC 2016 audit report noted that the RTA Weipa Terrestrial Management Plan – South of Embley Project 14 October 2015 was submitted and approved.</p> <p>The Terrestrial Management Plan has not been updated, nor has there been a requirement to update, since the 2016 EPBC audit.</p>	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed TMP to confirm no change</p>	<p>EPBC 2016 Audit Report</p> <p>Correspondence seeking evidence of submission of TMP</p>	C – no further auditing required
25.2	<p>Terrestrial Management Plan must address impacts to the following matters of national environmental significance:</p> <p>i. Red Goshawk (<i>Erythrorhynchus radiates</i>); Masked Owl (<i>Tyto novaehollandiae kimberli</i>); and Bare-rumped Sheath-tail Bat (<i>Saccolaimus saccolaimus nudiclunatus</i>)</p> <p>ii. Listed migratory bird species; and,</p>	<p>The EPBC 2016 audit report noted:</p> <p>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.</p> <p>Potential impacts and management measures are summarised:</p> <p>Table 2 – Cooktown Orchid</p>	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed TMP to confirm no change</p>	<p>EPBC 2016 Audit Report</p> <p>Evaluation of TMP relating to addressing impacts to MNES</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	iii. Listed flora species.	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 Sheath-tail bat. Terrestrial MP Sections 5 and 6 detail management strategies to address potential impacts.			
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> <ul style="list-style-type: none"> <i>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);</i> <i>b. measures for pests and weed management, dust management, and fire management;</i> <i>c. implementing the vegetation buffers zones at condition 21; and,</i> <i>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.</i> 					
26.1	Terrestrial Management Plan must incorporate avoidance and mitigation measures addressing a. through d.	EPBC 2016 audit report noted: 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 EPBC 2016 audit report Reviewed TMP to confirm no change	EPBC 2016 Audit Report Evaluation of TMP relating to addressing impacts to items a-d	C – see below
26.1a	Water related impacts	EPBC 2016 audit report noted:	Reviewed EPBC 2016 audit report	EPBC 2016 Audit Report	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		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 to confirm no change	Evaluation of TMP relating to management of water related impacts	
26.1b	Pests and Weeds, dust and fire	EPBC 2016 audit report noted: 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.	Reviewed EPBC 2016 audit report Reviewed TMP to confirm no change	EPBC 2016 Audit Report 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
		<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; restricting the area of disturbance; restricting speed and haul road watering.</p>			
26.1c	Vegetation buffer zones	EPBC 2016 audit report noted: Terrestrial Management Plan Section 5.2 requires an Environmental Buffer System to be established and refers to the requirement to comply with	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed TMP to confirm no change</p>	<p>EPBC 2016 Audit Report</p> <p>Evaluation of TMP relating to</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		ground disturbance approval procedure. A permit is required before any new works commence.		management of vegetation buffer zones	
26.1d	Measures in the EMP from the EIS	EPBC 2016 audit report noted: Terrestrial MP Section 6 details the action plans for each species.	Reviewed EPBC 2016 audit report Reviewed TMP to confirm no change	EPBC 2016 Audit Report Evaluation of TMP relating to management of actions listed in the EIS	C
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.	EPBC 2016 audit report noted that the Terrestrial MP Sections 5 and 6 addressed the requirements. 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 EPBC 2016 audit report Reviewed TMP to confirm no change	EPBC 2016 audit report Evaluation of TMP relating to inclusion of adaptive management strategies	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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 responsibility for implementing actions.	EPBC 2016 audit report noted that the 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 EPBC 2016 audit report Reviewed TMP to confirm no change	EPBC 2016 audit report Evaluation of TMP relating to the inclusion of management strategies to mitigate impacts, as listed	C
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).	EPBC 2016 audit report noted that the 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 EPBC 2016 audit report Reviewed TMP to confirm no change Interview Specialist Cultural Heritage – Northern Australia Aluminium	EPBC 2016 audit report Evaluation of TMP relating to Traditional Owner opportunities and employment	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	EPBC 2016 audit report noted that the 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 EPBC 2016 audit report Reviewed TMP to confirm no change	EPBC 2016 audit report 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 for approval at least 6 months prior to commencement of the action.	EPBC 2016 audit report noted the Terrestrial Management Plan was submitted to the Minister 2/1/2015, prior to commencement of the action. Commencement of the action was 12/5/2016.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit Report Correspondence confirming submission of TMP	C – no further auditing required
29.2	Terrestrial Management Plan must be approved prior to commencement of the action.	EPBC 2016 audit report noted that the DoE had reviewed the Terrestrial Management Plan and found it to meet the requirements of the relevant conditions.	Reviewed EPBC 2016 audit report	EPBC 2016 Audit Report Correspondence confirming approval from DoE	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
29.3	The approved Terrestrial Management Plan must be implemented.	<p>Examples of implementation of the approved Terrestrial Management Plan for the current audit period include:</p> <p>An example 23/8/2017 where juvenile osprey found. A letter was sent to DoEE identifying adaptive management strategies in relation to the management of the osprey. DoEE approved the recommended strategy.</p> <p>Boyd Accommodation Village sewage treatment plant treated effluent from the temporary camp was irrigated to designated areas in accordance with the Environmental Authority and in line with the Terrestrial Management Plan's water management plan.</p> <p>Offsets implemented for the Cooktown Orchid and Chocolate Tea Orchid, with plants propagated. This is in line with the Terrestrial Biodiversity Offset Plan.</p> <p>Implementation of weed management plan included stringent weed hygiene requirements at the Humbug Point Berth. Weed wash down facility in place. Requirement for weed and seed is in place (records sighted).</p> <p>Weed survey reports prepared e.g. 8/4/2019 and also include animal sightings (e.g. feral dogs). These are done daily and conducted by the Land and Sea Management Program team.</p>	<p>Pre-disturbance approval Tracker spreadsheet</p> <p>Ground disturbance approvals</p> <p>Annual Pre-disturbance reports</p> <p>Site inspection</p> <p>Letter dated 1/9/2017 to DoEE and email response from DoEE</p> <p>Weed Survey Reports</p> <p>Interview Supervisor Land and Sea Management</p>	<p>Records demonstrating implementation of TMP for the current audit period</p> <p>Site inspection to verify actions are being undertaken on the ground</p> <p>Interview with Site personnel</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<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>The feral pig offset strategy has now been developed and compliance reported in this audit checklist.</p> <p>Fire Management Plan 2019 now drafted. Fire management schedule in place. Traditional owners are consulted.</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</p>	Interview Manager Land and Sea Management Program Coordinator		

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		that relevant actions required by the Terrestrial Management Plan had not been undertaken.			
Condition 30 EPBC 2010/5642 <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>					
30.1	Within 60 days of the first anniversary of operations commencing, the Terrestrial Management Plan must be reviewed, revised and submitted to the Minister for approval.	<p>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.</p> <p>Operations commenced 2/12/2018 and therefore this condition is not yet applicable. There is a master schedule of required actions and the review and updated of the Terrestrial Management Plan is on the schedule.</p>	N/A	N/A	N/A
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.	<p>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.</p> <p>Operations commenced 2/12/2018 and therefore this condition is not yet applicable.</p>	N/A	N/A	N/A
30.3	The revised Terrestrial Management Plans must be	A revised Terrestrial Management Plan 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
	implemented in relation to the avoidance and mitigation measures a. to d. from condition 26 and strategies from condition 27.				
BAT SURVEY					
Condition 31 EPBC 2010/5642 <i>For the Bare-rumped Sheathtail Bat (Saccolaimus saccolaimus nudiclunatus) the approval holder must:</i> <ul style="list-style-type: none"> a. 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; b. 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; c. 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, 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. 					
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.	EPBC 2016 audit report noted that a targeted survey for the bare-rumped sheath-tailed bat in the South of Embley Project area was conducted. The report was issued 21 November 2013, prior to the commencement of action (12/5/2016).	Reviewed EPBC 2016 audit report	EPBC 2016 Audit Report Evidence that the survey has been conducted and covers requirements specified.	C – no further auditing required
31.2	Support must be provided for a research program being conducted by the Australian Bat Society which will aim to improve	Grant Agreement between the Australasian Bat Society, Inc. and RTA Weipa Ltd dated 20/12/2018 to provide support to the ABS Cape York “Bat Blitz”. RTA Weipa to provide a one-off lump sum for ABS	Grant Agreement between ABS and RTA Weipa	Evidence of support provided to	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	the quality of the reference call library for microbats of the Cape York region.	to conduct a field survey, collect a set of reference echolocation calls, provide a report and produce an echolocation call guide. An invoice for the agreed amount was raised by the ABS 14/1/2019. Remittance advice from RTA Weipa to ABS providing proof of payment for the full amount dated 13/2/2019.	Invoice dated 14/1/2019 Remittance advice to ABS dated 13/2/2019	Australian Bat Society.	
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. A reference call library has been prepared for all bats in the Cape York region. The reference call for the Bare rumped Sheathtail bat was obtained and used to analyse the SoE survey results. There was no indication of presence of the Bare rumped Sheath-tailed Bat from recordings of bat echolocation. The results of the analysis are described in the Terrestrial Management Plan Section 5.11.1. DoEE have approved the Terrestrial Management Plan and accepted this analysis.	Reviewed EPBC 2016 audit report Interview Senior Advisor Restoration and Ecology	EPBC 2016 Audit Report Evaluate survey report to determine if species identified Evidence of sighting species	C – no further auditing required
31.4	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	Bat survey did not identify any Bare Rumped Sheathtail Bats. No Bare-rumped Sheathtail bats have been sighted.	Reviewed EPBC 2016 audit report Interview	EPBC 2016 Audit 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
	at condition 25 within six (6) months of the identification of the species.		Senior Advisor Restoration and Ecology	species identified Evidence of sighting species	
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.	Reviewed EPBC 2016 audit report Interview Senior Advisor Restoration and Ecology	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 (Erythrorhynchus radiates);</i> <i>ii. Masked Owl (Tyto novaehollandiae kimberli);</i> <i>iii. Rainbow Bee-eater (Merops ornatus);</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	Condition 36 requires that a Rehabilitation Strategy must be submitted to the Minister for approval within 3 years of the commencement of	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	in accordance with the timeframe in condition 36.	operations. Operations commenced 2/12/2018 and therefore this condition is not yet applicable.			
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 commenced 2/12/2018 and therefore this condition is not yet 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> ii. <i>following decommissioning and removal of any infrastructure, in each area where that infrastructure will not be retained at the end of the project.</i>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
34.1	The land area to be progressively rehabilitated over the life of the project must be no less than 28,880 hectares.	Operations commenced 7/12/2018. Rehabilitation works are not yet required as to date: (i) there are no areas where mining has been completed; and (ii) there are no areas where infrastructure has been decommissioned and removed – not applicable.	N/A	N/A	N/A
34.2	Rehabilitation works must commence within two (2) years of land disturbance categories i. or ii. occurring.	Rehabilitation works are not yet required as to date: (i) there are no areas where mining has been completed; and (ii) there are no areas where infrastructure has been decommissioned and removed – not applicable. Furthermore, operations commenced 7/12/2018, therefore the two-year period has not passed.	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 was 7/12/2018. 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, desired outcomes, benchmarks,	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 was	N/A	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	7/12/2018. Therefore, 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. Commencement of Operations was 7/12/2018. 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.	Commencement of Operations was 2/12/2018. Therefore, a Rehabilitation Strategy is not yet required – not applicable.	N/A	N/A	N/A
36.2	The approved Rehabilitation Strategy must be implemented in relation to the land disturbance categories i. and ii. in condition 34.	Commencement of Operations was 2/12/2018. 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
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.	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 was 2/12/2018. 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.	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 was 2/12/2018. 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 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	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 was 7/12/2018. Therefore, a Rehabilitation Strategy is not yet required – not applicable. Rehabilitation has 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
	the area (hectares) over which the rehabilitation objectives and success criteria were not met.				
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 described in Condition 38. 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
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

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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>Review of the EPBC 2016 audit report showed the WCCA were consulted in the preparation of the following plans:</p> <ul style="list-style-type: none"> Temporary Barge Plan Marine and Shipping Management Plan Capital Dredging Plan – River Capital Dredging Plan – Port Inshore Dolphin Strategy Terrestrial Management Plan Feral Pig Offset Strategy <p>Maintenance Dredge Management Plan showed that the Traditional Owners were consulted. WCCCA Committee November 2017.</p> <p>Rehabilitation Strategy not yet developed.</p> <p>Amrun Project Social Impact Management Plan 2017 Report.</p> <p>Amrun Project Social Impact Management Plan 2018 Report.</p> <p>It was confirmed that all Plans and Strategies have been lodged with the Western Cape Communities Coexistence Agreement</p>	<p>Review EPBC 2016 audit report</p> <p>Minutes WCCC Sub-Committee meetings and attachments</p> <p>SIMP Reports</p>	<p>EPBC 2016 audit report</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
		(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.			
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>EPBC 2016 audit report noted compliance within the following plans: Terrestrial MP; Construction Marine and Shipping Plan; Feral Pig Management Offset Strategy; Temporary Barge Plan; Inshore Dolphin Offset Strategy; Capital Dredge Management Plan – River Facilities; Capital Dredge Management Plan – Port.</p> <p>Current audit reviewed Maintenance Dredge Management Plan. Section 9 detailed Traditional Owner employment opportunities.</p> <p>Rehabilitation Strategy has not yet been prepared.</p> <p>Quarterly meetings conducted. Comprehensive minutes kept (sighted 2017, 2018 minutes).</p>	<p>Reviewed EPBC 2016 audit report</p> <p>Reviewed Maintenance Dredge MP</p> <p>Land and Sea Management Program modules – draft</p> <p>Interview Specialist Cultural Heritage – Northern Australia Aluminium</p>	<p>EPBC 2016 audit report</p> <p>Evaluate Maintenance Dredge MP</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
		<p>Amrun Project Social Impact Management Plan 2017 Report and Amrun Project Social Impact Management Plan 2018 Report outlined works conducted and detailed training and employment opportunities.</p> <p>Records of training sighted e.g. Cert III Conservation and Land Management – chain saw operation 24/5/2017 (T. Kerindun). A training register is kept and maintained for the Land and Sea Management Program team. Weed training conducted by Ecotone consultants.</p> <p>Evidence of conduct of weed management surveys and weed management activities, fire management activities, turtle surveys, dolphin surveys and feral pig management.</p>	<p>Interview Land Sea Management Program Coordinator</p> <p>Interview Supervisor Land and Sea Management</p>		
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>The Feral Pig MOS was revised and updated upon completion of the implementation plan the Feral Pig MOS, resubmitted and approved. RTA Weipa Feral Pig Management Offset Strategy 8 July 2016 is the updated documented approved by DoE and contains the implementation plan.</p> <p>Aerial shooting from helicopters has been undertaken as the primary means of feral pig control, using a culling contractor (Aerial Pest</p>	<p>Feral Pig MOS</p> <p>Interview Land Sea Management Program Coordinator</p> <p>Interview Land and Rehabilitation Coordinator</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
		Control e.g. 29/7-1/8/2017). A ground shooting campaign was conducted prior to the turtle season (4-9/8/2017). LSMP team conduct monitoring and baiting (1/8-10/12/2017). Turtle nest monitoring and feral pig monitoring were conducted. Amrun Project Feral Animal Monitoring Annual Report 2018.	Feral Animal Reporting		
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 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 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 turtle nest monitoring to develop the data to base improvements to the survey approach over time.	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to surveying of turtles	C
45.2	Feral Pig Management Offset Strategy must include desired	Appendix D of the Feral Pig MOS is the implementation plan.	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	Aerial and ground shooting, feeding station, monitoring are used in combination. 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 within three years. Adaptive management strategies are to be sustained on an annual basis.		relating to setting of outcomes	
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.	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	Appendix C of the Feral Pig MOS provides a comparison 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).	Reviewed Feral Pig MOS	Evaluate Feral Pig MOS relating to Threat Abatement Plan	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Disease Transmission By Feral Pigs, or its most current version.				
46.2	The Feral Pig Management Offset Strategy must adhere to the Humane Pest Animal Control: Code of Practice And Standard Operating Procedures (that is currently being updated), or its most current version.	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 of Primary Industries, 2005). Records of training were sighted (AHCVP203A Use firearms to humanely destroy animals).	Reviewed Feral Pig MOS Feral Pig MOS – draft April 2016	Evaluate Feral Pig MOS relating to Humane Control of Feral Pigs	C
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. Operations Marine Shipping Management Plan October 2018. Reference is made to the Feral Pig MOS, including development of offset programs for marine turtles. OMSMP notes that the Feral Pig MOS will provide specific direction of the marine operations and addressed in the plan. The OMSMP also includes the latest turtle survey results required by the FPMOS showing that the turtle survey results are used to inform the OMSMP management measures.	Reviewed OMSMP Reviewed Feral Pig MOS	Review OMSMP Review Feral Pig MOS	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	EPBC 2016 Audit Report noted that the Feral Pig Management Offset Strategy dated 24/4/15 has been reviewed by officers of the Department and found to meet the relevant conditions. This occurred at least six months prior to commencement of the action 12/5/2016.	Review EPBC 2016 Audit Report	EPBC 2016 Audit Report	C
48.2	Feral Pig Management Offset Strategy must be approved prior to commencement of the action.	EPBC 2016 Audit Report noted that the Feral Pig Management Offset Strategy dated 24/4/15 has been reviewed by officers of the Department and found to meet the relevant conditions. This occurred at least six months prior to commencement of the action 12/5/2016.	Review EPBC 2016 Audit Report	EPBC 2016 Audit Report	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> RTA Weipa Inshore Dolphin Offset Strategy South of Embley Project					
49.1	Inshore Dolphin Offset Strategy must be implemented to inform knowledge about the distribution and abundance of local and regional populations of listed dolphin species.	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	Inshore Dolphin Offset Strategy Amrun Project Inshore Dolphin Survey Summary Reports	Evidence of surveys conducted in accordance with strategy	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Strategy. Design summary and sampling procedures are described.</p> <p>EPBC 2016 audit report reviewed the Baseline Survey and found the requirements specified in the Strategy were implemented.</p> <p>Since that time three surveys have been conducted:</p> <p>Amrun Project 2016 Inshore Dolphin Survey Summary – Blue Planet Marine (7-19/7/2016).</p> <p>Amrun Project 2017 Inshore Dolphin Survey Summary – Blue Planet Marine (14-27/10/2017).</p> <p>Amrun Project 2018 Inshore Dolphin Survey Summary – Blue Planet Marine (13-26/10/2018).</p> <p>This report has been drafted and includes a population estimate of snubbin dolphins, humpback dolphins and inshore bottlenose dolphins. These three surveys were conducted in line with the commitments specified in the Inshore Dolphin Offset Strategy.</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>	Interview Marine Scientist		
<p>Condition 50 EPBC 2010/5642</p> <p><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</i></p>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
<i>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>EPBC 2016 audit report reviewed the Baseline Survey and found the requirements specified in the Strategy were implemented.</p> <p>Since that time three surveys have been conducted, as specified in the strategy:</p> <p>Amrun Project 2016 Inshore Dolphin Survey Summary – Blue Planet Marine (7-19/7/2016).</p> <p>Amrun Project 2017 Inshore Dolphin Survey Summary – Blue Planet Marine (14-27/10/2017).</p> <p>Amrun Project 2018 Inshore Dolphin Survey Summary – Blue Planet Marine (13-26/10/2018).</p> <p>In terms of implementation, all relevant items confirming compliance with the Inshore Offset Dolphin Strategy were demonstrated.</p> <p>A survey is scheduled for 2019 (schedule sighted) and then within 10 years.</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>Amrun Project Inshore Dolphin Survey Summary Reports</p> <p>Interview Marine Scientist</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.	<p>EPBC 2016 audit report noted the survey prior to construction had been undertaken.</p> <p>This audit verified 3 surveys had been undertaken during construction:</p>	<p>Inshore Dolphin Offset Strategy</p> <p>Amrun Project Inshore Dolphin Survey Summary Reports</p>	Evidence survey undertaken during construction	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>7-19/7/2016, 14-27/10/2017, 13-26/10/2018. Construction commenced 12/5/2016. Operations commenced 2/12/2018.</p> <p>A further survey is scheduled for 2019 and then within 10 years.</p>	Interview Marine Scientist		
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.	EPBC 2016 audit report reviewed the Inshore Dolphin Offset Strategy and surveys conducted and found that the Inshore Dolphin Offset Strategy provided research data relating to dolphin population dynamics in relation to distribution, number and behaviour.	<p>Review EPBC 2016 audit report</p> <p>Inshore Dolphin Offset Strategy GHD Survey</p>	EPBC 2016 audit report 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 person/s roles with responsibility for implementing actions.	<p>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.</p> <p>Section 8 nominates accountabilities and responsibilities for implementing the Strategy, with the nominated environmental professional for the Project responsible for enabling the surveys to be conducted.</p>	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
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.	EPBC 2016 audit report noted that the Strategy has been developed in consultation with DoE and approved by the Department.	Reviewed EPBC 2016 audit report	EPBC 2016 audit report 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>					
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).	<p>EPBC 2016 audit report noted that there was a commitment to fund the Strategy at a minimum of \$800,000 to a maximum of \$1,200,000 (GST exclusive).</p> <p>2014-2016 spend was \$258,000 and 2017-2018 spend on the Dolphin Offset Strategy was \$674,000.</p>	<p>Reviewed EPBC2016 audit report</p> <p>GHD Dolphin survey report</p>	Evidence of funding	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	<p>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.</p> <p>Operations Marine Shipping Management Plan October 2018. Reference is made to the Inshore Dolphin Offset Strategy, including development of offset programs for marine turtles. OMSMP notes that the Inshore Dolphin Offset Strategy will provide specific direction of the marine operations and addressed in the plan.</p> <p>The OMSMP also includes the latest dolphin survey results required by the Inshore Dolphin Offset Strategy showing that the dolphin survey results are used to inform the OMSMP management measures.</p>	<p>Reviewed OMSMP</p> <p>Reviewed Inshore Dolphin Offset Strategy</p>	<p>Review OMSMP</p> <p>Review Inshore Dolphin Offset Strategy</p>	C
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.	EPBC 2016 audit report noted that the Dolphin Offset Strategy was submitted on 14/5/2013. Commencement of the action was 12/5/2016.	Reviewed EPBC 2016 audit report	EPBC 2016 audit report Correspondence demonstrating submission of	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
				Inshore Dolphin Offset Strategy	
55.2	Inshore Dolphin Offset Strategy must be approved prior to commencement of the action.	EPBC 2016 audit report noted a letter dated 28/7/15 referring to updated Inshore Dolphin was found to meet the requirements of the relevant conditions and on this basis, as a delegate of the Minister, the Strategy was approved.	Reviewed EPBC 2016 audit report	EPBC 2016 audit report Correspondence demonstrating approval of Inshore Dolphin Offset Strategy	C - no further auditing required
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.	Since the EPBC 2016 audit, the following surveys have been conducted and reported in accordance with the approved management plans: Amrun Project 2016 Inshore Dolphin Survey Summary – Blue Planet Marine (7-19/7/2016). Amrun Project 2017 Inshore Dolphin Survey Summary – Blue Planet Marine (14-27/10/2017). Amrun Project 2018 Inshore Dolphin Survey Summary – Blue Planet Marine (13-26/10/2018). Pre and post dredging coral health monitoring. Towed camera video surveys. 11/8/2016. Weed survey 2016, 2017, 2018. Feral animal monitoring 2016, 2017, 2018.	Inshore Dolphin Survey Bare-rumped sheath-tailed bat Weed surveys Feral animal monitoring Coral health survey	Review sample of survey data and methodology when reviewing implementation of the approved management plans	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Reviewing the management plans, there was no examples where required surveys were not conducted.			
56.2	Records must be made available within 30 business days of 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 requests for records have been made by the Department.	Interview Environmental Specialist Contractor	N/A	N/A
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>It was noted in the EPBC 2016 audit report that the Rio Tinto Amrun Project website has a Community Feedback number and email address. It was recommended that the word "enquiries" be added to the description of the community feedback contact details. It was noted that the Amrun Project website now specifies an email address "for requests or enquiries about survey data and methodology collected by the Amrun Project".</p> <p>All reports are available on the website, including survey data and methodology.</p>	Review website and note availability of reports	Review website	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
WEBSITE					
Condition 57 EPBC 2010/5642					
<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>					
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.	<p>Commencement of the action occurred 12/5/2016. It is noted that currently survey reports and annual reports are published on the website.</p> <p>These include annual compliance reports, Bare-Rumped Sheath Tailed bat survey, feral animal monitoring annual reports, independent environmental compliance audit reports, inshore dolphin surveys, marine pest settlement plate monitoring program, capital dredging water quality monitoring report, capital dredging coral health monitoring report, marine turtle nesting surveys, pre-disturbance program annual reports and weed surveys.</p> <p>There was no evidence to indicate that survey results or reports related to current programs and plans was not published on the Project website.</p>	Project website review	Review project website	C
57.2	The department must be notified within ten (10) business days of publication.	Email to DoE advising Amrun Project annual reporting and publication requirements with attached letters specifying annual reporting and publishing requirements.	<p>Letter to DoE 14/8/2018</p> <p>Letter to DoE</p>	Verification of departmental notification	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>e.g. letter to DoE dated 14/8/2018 specifying compliance with annual publication and reporting requirements to address conditions 57, 68 and 71.</p> <p>Internal email noting documents placed on website 10/8/2018.</p> <p>Evidence showing the department was notified within ten business days of publication.</p>	<p>11/8/2017</p> <p>Internal email 10/8/2018 stating documents on website</p>		
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 must be published on Project website.	EPBC 2016 audit report noted Final EIS (Commonwealth) available on Project website within five days of EPBC approval.	EPBC 2016 Audit Report	<p>EPBC 2016 Audit Report</p> <p>Review website</p> <p>Review correspondence indicating date EIS published on website</p>	C – no further auditing required
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	EPBC 2016 audit report noted that the following documents were available on the project website.	Review EPBC 2016 Audit Report	<p>EPBC 2016 Audit Report</p> <p>Review website</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	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 Construction Marine and Shipping Management Plan – Response to Reviewer (14/7/15) Terrestrial Management Plan 14 October 2015 Terrestrial Management Plan – Response to Reviewer (2/1/15) 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.	Website Email 19/3/2018 re uploading document to website Email 8/10/2018 re uploading document to website	Review correspondence to demonstrate date documents were uploaded to website	

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>Maintenance Dredge Management Plan – Port (approved 15/3/18). Internal email dated 19/3/2018 requested document to be uploaded on the website prior to 15/4/2018. Current document is available on the Project website.</p> <p>Operations Marine Shipping Management Plan October 2018 Operations Marine Shipping Management Plan – Response to Reviewer (3/8/2018)</p> <p>Internal email confirmed Operations Marine Shipping Management Plan October 2018 added to website 8/10/2018.</p> <p>It was noted that the listed documents are still available on the project website.</p>			
PEER REVIEW					
<p>Condition 60 EPBC 2010/5642</p> <p><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 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></p>					
60.1	Independent Peer Reviews must be completed for the Temporary Barge Plan, Marine and Shipping Management Plan, Capital Dredging Management Plan/s,	EPBC 2016 audit report reviewed the following: Temporary Barge Plan July 2015 Temporary Barge Plan July 2015 – Response to Reviewer (14/12/14)	Review EPBC 2016 audit report Review listed documents as	Review EPBC 2016 audit report Review evidence of	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	<p>Capital Dredge Management Plan – Port (Initial Capital Dredging) November 2015</p> <p>Capital Dredge Management Plan – Port – Response to Reviewer (13/8/15)</p> <p>Capital Dredge Management Plan – River Facilities 16 September 2015</p> <p>Capital Dredge Management Plan – River Facilities - Response to Reviewer (11/11/14)</p> <p>Construction Marine and Shipping Management Plan 19 November 2015</p> <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</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><u>Current audit</u></p> <p>Feral Pig Management Offset Strategy July 2016</p> <p>Feral Pig Management Offset Strategy – Response to Reviewer</p> <p>Maintenance Dredge Management Plan – Port March 2018</p> <p>Maintenance Dredge Management Plan – Port Response to Reviewer</p>	shown in the auditor evidence	Independent Peer Reviews being conducted prior to submission	

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Rehabilitation Strategy – not yet approved by the Minister – not written and/or required.			
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>EPBC 2016 audit report noted approval of nominated independent peer reviewers and review criteria for:</p> <p>Mr Stephen Raaymakers – Temporary Barge Plan and Construction Marine and Shipping Management Plan</p> <p>Dr Jim Stoddart – Capital Dredge Management Plan – River Facilities</p> <p>Dr Lyndon Brooks – Inshore Dolphin Offset Strategy</p> <p>Dr David Dique – Terrestrial Management Plan</p> <p>Dr Andrew Bengsen – Feral Pig Management 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 were approved.</p> <p><u>Current audit</u></p> <p>Letter dated 3/4/2018 approving Dr James Stoddart as the independent peer review and approval of</p>	<p>Review EPBC 2016 audit report</p> <p>Letter dated 3/4/2018</p>	<p>EPBC 2016 audit report</p> <p>Review correspondence of approval</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		proposed review criteria for the Operations Shipping Management Plan.			
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 Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy	<p>EPBC 2016 audit report noted approval of nominated independent peer reviewers and review criteria for:</p> <p>Mr Stephen Raaymakers – Temporary Barge Plan and Construction Marine and Shipping Management Plan</p> <p>Dr Jim Stoddart – Capital Dredge Management Plan – River Facilities</p> <p>Dr Lyndon Brooks – Inshore Dolphin Offset Strategy</p> <p>Dr David Dique – Terrestrial Management Plan</p> <p>Dr Andrew Bengsen – Feral Pig Management 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 were approved.</p> <p><u>Current audit</u></p> <p>Letter dated 3/4/2018 approving Dr James Stoddart as the independent peer review and approval of</p>	<p>Review EPBC 2016 audit report</p> <p>Letter dated 3/4/2018</p> <p>Letter dated 31/8/2017</p>	<p>EPBC 2016 audit report</p> <p>Review correspondence of approval</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		proposed review criteria for the Operations Shipping Management Plan. Letter dated 31/8/2017 approving Dr James Stoddart as the independent peer review and approval of proposed review criteria for the Dredge Management Plan – Port (Maintenance Dredging).			
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	The EPBC 2016 audit report noted that 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. The current audit showed that this also occurred for the Operations Marine Shipping Management Plan and the Dredge Management Plan – Port (Maintenance Dredging).	Review of EPBC 2016 audit report Letter dated 3/4/2018 from DoEE re Operations Shipping Management Plan Letter dated 31/8/2017 from DoEE re Dredge Management Plan – Port (Maintenance Dredging).	EPBC 2016 audit report Review correspondence approving independent peer review criteria and correspondence approving relevant management plan or strategy	C
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	The EPBC 2016 audit report noted that for each document submitted, criteria for independent peer	Review of EPBC 2016 audit report	EPBC 2016 audit report	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	<p>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> <p>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.</p> <p>The current audit showed that the peer reviews included the same level of detail for the Operations Marine Shipping Management Plan and the Dredge Management Plan – Port (Maintenance Dredging). DoEE approved the peer reviews for both documents.</p>	<p>Letter dated 3/4/2018 from DoEE re Operations Shipping Management Plan</p> <p>Letter dated 31/8/2017 from DoEE re Dredge Management Plan – Port (Maintenance Dredging).</p>	Review correspondence approving independent peer review criteria and correspondence approving relevant management plan or strategy	
<p>Condition 62 EPBC 2010/5642</p> <p><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></p>					

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	<p>EPBC 2016 audit report noted that 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.</p> <p>The 2016 EPBC audit report covered the Temporary Barge Plan, Marine and Shipping Management Plan (construction), Dredging Management Plan River and Ports, Terrestrial Management Plan, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.</p> <p>The current audit reviewed the independent peer reviews for the Maintenance Dredging Management Plan and the Operations Shipping Management Plan.</p>	Maintenance Dredging Management Plan Operations Shipping Management Plan.	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	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.	EPBC 2016 Audit Report Maintenance Dredging Management Plan Operations Shipping Management Plan.	EPBC 2016 Audit Report Review Independent Review Criteria Review independent review reports	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Offset Strategy and Inshore Dolphin Offset Strategy.	<p>The 2016 EPBC audit report covered the Temporary Barge Plan, Marine and Shipping Management Plan (construction), Dredging Management Plan River and Ports, Terrestrial Management Plan, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.</p> <p>The current audit reviewed the independent peer reviews for the Maintenance Dredging Management Plan and the Operations Shipping Management Plan.</p>		<p>Review response to reports</p> <p>Review correspondence demonstrating acceptance by DoEE</p>	
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	EPBC 2016 audit report noted that the Temporary Barge Plan, Marine and Shipping Management Plan, Dredging Management Plan-Port, Dredging Management Plan-River, Terrestrial	Reviewed EPBC 2016 audit report	EPBC 2016 audit report Evaluate all relevant plans	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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>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.</p> <p>Operations Marine Shipping Management Plan was submitted to DoEE 9/8/2018 and approved by the Minister 2/10/2018. Shipping commenced on 2/12/2018. Submission of the Operations Shipping Management Plan was provided at least days prior to shipping.</p> <p>Maintenance Dredge Management Plan – Port was submitted to DoEE 25/11/2017 and approved 15/3/2018. Maintenance dredging first occurred 1-4/5/2018.</p>	<p>Details noted throughout this checklist.</p> <p>Operations Marine Shipping Management Plan</p> <p>Maintenance Dredge Management Plan</p>	to ensure these were approved prior to commencement	
<p>Condition 65 EPBC 2010/5642</p> <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	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>EPBC 2016 audit report noted all plans reviewed included the appropriate cross reference table.</p> <p>SoE Project Operations Marine and Shipping Management Plan Table 1 specifies the relevant EPBC Approval Conditions and the relevant section to address the Conditions are listed.</p>	<p>EPBC 2016 audit report</p> <p>Operations MSMP</p> <p>Maintenance Dredge</p>	<p>EPBC 2016 Audit Report</p> <p>Evaluate all relevant plans to ensure that a cross reference</p>	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	a. the condition specified in this approval for which the plan/s, strategy or program/s is being provided; and b. the relevant folder, chapter, section number and page number in the plan/s, program/s or strategies where the condition has been addressed.	Maintenance Dredge Management Plan – Port Table 1 specifies the relevant EPBC Approval Conditions and the relevant section to address the Conditions are listed.	Management Plan - Port	table is included, as described	
COMMENCEMENT DATES					
Condition 66 EPBC 2010/5642					
<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>					
66.1	Within 10 days following commencement of preliminary works written notification must be provided to the Minister advising the actual date of commencement.	Reviewed EPBC audit 2016. Preliminary works commenced 21/10/2015.	Reviewed during EPBC audit 2016	EPBC Audit Report 2016 Evaluate correspondence relating to notification of preliminary works	No further auditing required
66.2	Within 10 days following commencement of construction written notification must be provided to the Minister advising the actual date of commencement	Letter dated 18/5/2016 to Department of Environment advising of commencement of action and commencement of construction as being 12/5/2016. This notification was provided to the Minister within 10 days.	Letter dated 18/5/2016 re commencement construction	Evaluate correspondence relating to notification of construction	C – no further auditing required

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
66.3	Within 10 days following commencement of operation written notification must be provided to the Minister advising the actual date of commencement	Letter dated 7/12/2018 advising Department of the Environment and Energy that operations commenced on 2/12/2018.	Letter dated 7/12/2018 re commencement of operations	Evaluate correspondence relating to notification of operation	C – no further auditing required
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). Construction commenced 12/5/2016. Letter dated 18/5/2016 to Department of Environment advising of commencement of action and commencement of construction as being 12/5/2016. This notification was provided to the Minister within 10 days.	Letter dated 18/5/2016 re commencement of action	Evaluate correspondence relating to notification of commencement of the action	C – no further auditing required
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 relevant to the conditions of approval.	Throughout the audit it was evident that appropriate and accurate records substantiating activities relevant to the approval were maintained. This extended to monitoring, training, dredging, surveys, inspection checklists and correspondence.	Assessed throughout audit	Assess records throughout audit	C - OBS

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		It was noted that records were held in various locations and was often dependent on individuals to save the data in an appropriate location. As the Project has moved from the Construction to Operations phase, the Project has undertaken a transition of responsibility for the overall environmental compliance management. It is recommended that a central record register be developed and utilised to ensure that there is a file location to demonstrate all environmental compliance obligations.			
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 occurred on 12/5/2016. The first annual compliance report was submitted 11/8/2017. The letter stated that the compliance report was placed on the Amrun project website on 11/8/2017.	Letter dated 11/8/2017 Letter dated 14/8/2018 Project website	Evaluate correspondence relating to compliance reporting	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		<p>The second annual compliance report was submitted 14/8/2018. The letter stated that the compliance report was placed on the Amrun project website on 10/8/2018.</p> <p>Annual compliance reports have been published within the three month period of the 12 month anniversary of commencement of the action.</p> <p>Compliance reports are published on the project website.</p>		Review project website	
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.	<p>The first annual compliance report was submitted 11/8/2017. The letter stated that there were three non-compliances identified during the reporting period, noting that they did not result in any measurable impact to MNES. These non-compliances related to:</p> <ol style="list-style-type: none"> 1. Late reporting of sea dumping activities in accordance with Sea Dumping Permit 2010/5642 Condition 26 (24 February 2017 and not before 31 January 2017, as required). Corrective action not possible as it relates to a late submission date – minor and administrative. 2. Seven feeding stations for feral pig management in accordance with the Feral Pig Management Offset Strategy section 2.3 were deployed and not the commitment for a minimum of ten. This occurred due to conflicts between tide-dependent access and the roster of the Land and Sea Management Program crew roster. This was 	<p>Letter dated 11/8/2017</p> <p>Letter dated 14/8/2018</p>	Evaluate correspondence relating to compliance reporting	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		considered minor as aerial shooting is the primary control method. 3. Scavenger animal activity following feral pig shooting did not occur. As this is secondary to monitoring feral pig predation of turtle nests, the loss of one year's data was not considered to impact on the aims of the offset strategy and therefore considered minor. Actions have been taken to address these non-compliances. The second annual compliance report was submitted 14/8/2018. This letter stated that there were no non-compliances identified.			
68.3	Copy/s of the compliance report/s must be provided to the Minister within five (5) days after publication.	2017 Annual compliance report was dated 10/8/2017 and provided to the department 11/8/2017. 2018 Annual compliance report was dated 10/8/2018 and provided to the department 14/8/2018.	Letter to DoE dated 11/8/2017 Letter to DoE dated 14/8/2018	Review correspondence relating to advice to Minister	C
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.	First independent audit - Ardent Group Independent Compliance Audit Report EPBC 2010/5642 version 1 dated 17 June 2016. Current audit conducted by Ardent Group is the second independent audit of compliance with the conditions of approval.	Review audit reports	EPBC 2016 audit report Current audit report	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
		Submission of the audit report (V00 dated 23/5/16 occurred via email on 25/5/16. DoE responded 8/6/16. Audit report was updated to reflect DoE comments and issued as V01 17/6/16 and was submitted to DoE on 20/6/16. DoE letter dated 15/7/2016 accepted final report.			
69.2	The independent auditor/s must be approved by the Minister prior to the commencement of the audit.	Department of the Environment and Energy letter dated 6/3/2019 Reference EPBC 2010/5642 approves Lana Shoemith Ardent Group Pty Ltd as the independent auditor.	DoEE Letter dated 6/3/2019	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.	<p>Relevant to the current 2019 EPBC audit - Department of the Environment and Energy letter dated 6/3/2019 Reference EPBC 2010/5642 approves submitted audit criteria in response to request for approval 18/2/19.</p> <p>Relevant to the 2016 EPBC audit - Submission of the 2016 EPBC audit report (V00 dated 23/5/16 occurred via email on 25/5/16. DoE responded 8/6/16. Audit report was updated to reflect DoE comments and issued as V01 17/6/16 and was submitted to DoE on 20/6/16. DoE letter dated 15/7/2016 accepted the final report, addressing the criteria to the Minister's satisfaction.</p>	DoEE letter dated 6/3/2019	Review correspondence relating to audit criteria	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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>					
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> <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	EPBC Approvals Plans Strategies Review Register documents dates of submission to Minister, comments received, response to comments	Reviewed Register	Review register to ensure it is complete in line	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	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.	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 Dredge Management Plan, Construction Marine and Shipping Management Plan, Operations Marine Shipping Management Plan. It is noted that the Rehabilitation Strategy is not required until late 2021.		with the listed requirements.	
71.2	The register must be submitted to the department at the time the annual compliance report is published.	Letter dated 11 August 2017 to Department of Environment and Energy in reference to annual reporting and publication requirements. The EPBC Approvals Plans Strategies Review Register was attached to the letter with the annual compliance report. Letter dated 14 August 2018 to Department of Environment and Energy in reference to annual reporting and publication requirements. The EPBC Approvals Plans Strategies Review Register was attached to the letter with the annual compliance report.	Letter to DoEE dated 11/8/2017 Letter to DoEE dated 14/8/2018	Review correspondence to ensure the register is submitted at the time of the annual compliance report	C

Condition 72 EPBC 2010/5642

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.

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
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.	Feral Pig Management Offset Strategy 8 July 2016 is an update from the previously approved version dated 25/8/2015. This was submitted to DoE 13/5/2016 and re-submitted 27/6/2016 responding to comments on the implementation plan from DoE. The final version was then approved by DoE 8/7/2016.	Feral Pig Management Offset Strategy 8/7/ 2016 Letter dated 8/7/2016 re approval of FPMS	Review of documents relating to revision of plans	C
72.2	Approval for varied management plan(s) and/or monitoring programs(s) must be received from the Minister in writing prior to commencement of the variation.	The variation to the Feral Pig Management Offset Strategy 8 July 2016 related to the implementation plan. This plan was implemented post approval.	Feral Pig Management Offset Strategy 8/7/ 2016	Review of documents relating to plan variation and the implementation of actions relating to changes.	C
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	EPBC 2016 audit report confirming the Commencement of the Action occurred within the	EPBC 2016 audit report verifying stage of works	EPBC 2016 audit report	C – no further auditing

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	this approval without the written agreement of the Minister.	five year anniversary of the EPBC2010/5642 dated 14/5/2013.			required. Action has commenced within specified timeframe.
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 & 15C), Listed threatened species and communities (sections 18 & 18A), Listed Migratory Species (section 20 & 20A), Commonwealth Marine Area	No requests received from the Minister.	Interview Environmental Specialist Contractor	N/A	N/A

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	(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>					
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,	<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</p>	Audit Checklist	Evidence throughout audit	C

Audit Criteria	Compliance Requirement / Audit Criteria	Auditor Evidence	Verification Method (Evidence)	Measurements Made (Sample)	Compliance Finding
	Maintenance Dredging Management Plan/s, Terrestrial Management Plan, Rehabilitation Strategy, Feral Pig Management Offset Strategy and Inshore Dolphin Offset Strategy.	implementation, as they applied to the scope of works conducted during the audit period.			

Appendix 2 Personnel Interviewed

Date	Name	Role	Comments
8-11/4/19	Jacinta Smith	Environmental Specialist Weipa Operations	Accompanied site audit
8-11/4/19	Steve Miller	Environmental Specialist Contractor	Accompanied site audit
8/4/19	John Lui	Security, Humbug	
9/4/19	Troy McNamara	Amrun Operations Manager	
9-10/4/19	Linda Wells	Marine Scientist / Land Sea Management Program Coordinator	
9/4/19	Jerry Wapau	Supervisor Land and Sea Management	
9/4/19	Chris Maccoll	Senior Advisor Restoration and Ecology	
9/4/19	Eloise Hoffman	Specialist Cultural Heritage – Northern Australia Aluminium	
9/4/19	Harry Nevard	Land and Rehabilitation Coordinator	
9/4/19	Simon Purcell	Land Management Advisor	
9 & 11/4/19	Lachlan Johnson	Acting Land and Rehabilitation Supervisor	
10/4/19	Tim Ryan	HSE Manager	
10/4/19	Mike Austin	Superintendent Operations and Maintenance Processing Plant and Export Facility	
10/4/19	Nathan Payne	Crew Leader Tailings and Water	
10/4/19	Scott Byrne	Loader/Dozer Operator	
11/4/19	James Harwood	Port Operations Scheduler	
11/4/19	Jacob Bradbury	Chief Shipping Engineer Smit Lamnaico	
11/4/19	Luke Orchard	Ship Master Smit Lamnaico	

Appendix 3

Appointment of Independent Auditor and Approval of Audit Criteria



Australian Government
Department of the Environment and Energy

Our reference: EPBC 2010/5642

Mr Glenn Woodrow
Principal Advisor - Environment
RTA Weipa Pty Ltd
123 Albert Street
BRISBANE, QLD 4000

Dear Mr Woodrow

Re: *South of Embley Bauxite Mine and Port Development, QLD* (EPBC 2010/5642) – Appointment of Independent auditor and approval of audit criteria

Thank you for your correspondence dated 18 February 2019, regarding nomination of an independent auditor from Ardent Group Pty Ltd to undertake the compliance audit for the EPBC 2010/5642 *South of Embley Bauxite Mine and Port Development* project and the proposed audit criteria. The project was approved on 4 May 2013 under the *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act).

In accordance with Condition 69 of the EPBC Act approval, you have nominated Ms Lana Shoesmith from Ardent Group Pty Ltd to be appointed as the independent auditor. Ms Shoesmith also provided the Department with the proposed audit criteria.

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 and the compliance audit criteria as submitted on 18 February 2019.

If you would like to discuss this matter further please contact Mr Nicholas Scholar on (02) 6274 1284 or email audit@environment.gov.au.

Yours sincerely



Monica Collins
Chief Compliance Officer
Office of Compliance
6 March 2019

Appendix 4 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

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Appendix A—Auditor's Declaration of Independence

I, Lana Shoesmith of Ardent Group Pty Ltd 3 Water Street, Red Hill, Queensland 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, RTA Weipa Pty Ltd – Amrun Project, 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 EPBC 2010/5642 Amrun Project (formerly known as South of Embley Project).

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):

- Conducted Independent EPBC audit Amrun Project (2016)
- Conducted Annual Independent Coordinator General audits (2016 – desktop only, 2017 desktop only, 2018)
- No other work has been conducted related to the Amrun Project or for Rio Tinto by myself or by Ardent Group.

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):

- Conducted Independent EPBC audit Amrun Project (2016)
- Conducted Annual Independent Coordinator General audits (2016 – desktop only, 2017 desktop only, 2018)
- No other work has been conducted related to the Amrun Project or for Rio Tinto by myself or by Ardent Group.

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

- Registered Lead Environmental Auditor – Exemplar Global #12299
- Certified Environmental Practitioner – CEnvP #092
- Member 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



Full name (please print)

Lana Shoesmith

Organisation (please print)

Ardent Group

Date

15/5/2019

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 5 Auditor's Certification

Audit Report-Auditor's Certification

Auditor Details: Lana Shoesmith, General Manager, Audits and Compliance, Ardent Group Pty Ltd,

3 Water Street Red 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.

- For directed environmental audits that are required pursuant to section 458 of the *Environment Protection and Biodiversity Conservation Act 1999* (EPBC Act) 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 461(4) of the EPBC Act makes it an offence in certain circumstances for an environmental auditor to include a statement in an audit report that is false or misleading in a material particular. The offence is punishable on conviction by imprisonment for not more than 6 months.

Signature:



Date: 15/5/2019

Note: Modify the auditor's certification to reflect whether the environmental audit was required by a condition of an EPBC Act approval or directed pursuant to section 458 of the EPBC Act.