

## University of Newcastle Bioresources Facility Independent Environmental Audit



### Assessment of Richard Crookes Constructions Environmental System Compliance Against the SSD 8937 Conditions of Consent

Audit Reference:	<b>AQ1248.02</b>
Audit Organisation:	<b>Richard Crookes Constructions</b>
Auditors:	<b>James Hart, Lead Auditor, AQUAS</b>
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# 1. Introduction

## 1.1 Background

Richard Crookes Constructions (RCC) has been appointed by the University of Newcastle (UoN) for the construction of a new Bioresources Building on the University’s Callaghan campus. APP Corporation have been engaged by the UoN as project managers for the construction.

APP has engaged AQUAS to undertake independent environmental audits during construction phase of the new Bioresources Facility project in compliance with the following Development Consent Conditions:

### Condition C45

- (a) An initial construction Independent Audit must be undertaken within eight weeks of the notified commencement date of construction.

### Condition C46

Independent Audits of the development must be carried out in accordance with:

- a) the Independent Audit Program submitted to the Department and the Certifier under condition C44 of this consent; and
- b) the requirements for an Independent Audit Methodology and Independent Audit Report in the Independent Audit Post Approval Requirements (Department 2018).

This audit report presents the findings of the second independent environmental audit of the project conducted on 7 January 2020.

## 1.2 Project Details

Project Name	Development of new Bioresources Facility
Project Application Number	SSD 8937
Project Address	The University of Newcastle, Callaghan Campus (Part Lot 1 DP 1188100)
Project Phase	Construction
Project Activity Summary	Earthworks had been completed and floor slabs and columns completed. Current site works included block wall construction, erection of internal walls frames, crantage, and traffic control.

## 1.3 Audit Team

Details of the AQUAS environmental auditor for this audit were submitted to the Department of Planning Industry and Environment (DPI&E) by APP. Endorsement by Planning of the following auditors was granted prior to the conduct of the audit, refer to **Appendix A**:

Name	Company	Position	Certification
James Hart	AQUAS	Lead Environmental Auditor	Exemplar Global Lead Environmental Auditor – Certificate No. 12105

## 1.4 Audit Objectives

The objective of this audit was to undertake the second independent environmental audit in compliance with the Development Consent Condition SSD 8937. C46, specifically:

- (a) the Independent Audit Program submitted to the Department and the Certifier under condition C44 of this consent; and
- (b) the requirements for an Independent Audit Methodology and Independent Audit Report in the Independent Audit Post Approval Requirements (Department 2018).

## 1.5 . Audit Scope

The scope of this audit comprised of review of implementation of the following RCC Project documentation:

- UoN Bioresources Project Management Plan, Rev 04, 24 May 2019;
- Construction Environmental Management Plan, 14 November 2019;
- Construction Noise and Vibration Management Sub-Plan, MAC190862NMP1V2, July 2019;
- Construction Soil and Water Management Plan, 14 November 2019;
- Environmental Risk Matrix Rev 2, 17 December 2019;
- Construction Waste Management Plan Rev. 20/08/19;
- Construction Pedestrian and Traffic Management Plan (CPTMP, SECA Solutions Ver 02 – 6/08/19;
- Erosion and Sediment Control Plan CC-C2.0, Northrup, 25/10/18;
- Landscape Plan D0136, Rev C2, 16/12/19; and
- Complaints Register.

## 1.6 Audit Period

This was the second independent environmental audit carried out by AQUAS on the project which covers the review of environmental documentation and records for the construction works conducted since the previous audit (July 2019 to January 2020).

It should be noted that this report is based on the result of sampling and supplied documentation/records, as well as site activities on the initial day of the audit (7 January 2020).

## 2. Audit Methodology

### 2.1 Approval of Auditors

Letter from the Planning Secretary agreeing to the auditors is attached as **Appendix A**.

### 2.2 Audit scope development

AQUAS developed the audit scope and a checklist based on the Project Development Consent Requirements Application No. SSD 8937. Refer to **Appendix D** of this report.

### 2.3 Audit Process

#### 2.3.1 Opening Meeting

An opening meeting was held on 7 January 2020 at 8:30am with UoN, APP, RCC project personnel and the AQUAS auditor as per the Audit Attendance Sheet. Refer to **Appendix B** of this report.

Key items were discussed, including:

- Confirmation of the purpose and scope of the audit
- Overview of the Project and status of the works
- Occurrence of Environmental incidents
- Overview of the audit process in accordance with the proposed Audit Program

#### 2.3.2 Conduct of Audit

Audit activities included the following:

- Review of project documentation (CEMP and its sub-plans) to verify compliance with the Development Consent Conditions SSD 8937;
- Conducted a site walk to review implementation of mitigation measures and environmental controls;
- Conducted the audit following the checklist that was prepared based on the Development Consent Conditions by interviewing personnel and review of records provided as evidence of compliance; and
- Any identified findings were discussed during closing meeting and any actions noted during site inspection were clearly communicated to the site personnel and addressed immediately.

#### 2.3.3 Closing Meeting

The closing meeting was held on 7 January 2020 at 3:30pm with representatives of RCC, APP and AQUAS. General feedback and the findings of the audit were discussed during the closing meeting.

AQUAS auditors acknowledged the cooperation, openness and hospitality of RCC staff during the conduct of this audit.

### 2.4 Interviewed Persons

Name and position of persons interviewed:

Name	Organisation	Position
Bear Melvey	RCC	Project Manager
Rhys Maybury	RCC	Site Engineer
David Espert	APP	Project Manager

Name	Organisation	Position
M Stafford	UoN	Project Officer
Lee Wilson	RCC	Site Manager

## 2.5 Details of Site Inspection

A site walk around the construction area was conducted with focus on the following controls:

- Erosion and sedimentation controls including sediment fences and controls around pits.
- Stabilised access/egress;
- Roads surrounding the site for dust/mud tracking;
- Chemical storage;
- Dust management;
- Wastes management;
- Site fence/screening;
- Traffic management,
- Noise management;
- Site signage; and
- General housekeeping.

Photos taken during site inspection are included in the **Appendix E**.

## 2.6 Consultation

Newcastle Council, Roads and Maritime Services, NSW EPA, Department of Planning, Industry and Environment and the University of Newcastle were contacted via Email on 19/12/2019 to provide feedback on the project.

No response was received from Newcastle Council, Roads and Maritime Services, NSW EPA and Department of Planning, Industry and Environment.

A response from the University of Newcastle was received on 6/01/2020 which did not identify any issues or concerns. Refer to **Appendix F** for consultation records.

## 2.7 Audit Compliance Status Descriptors

The following audit criteria were used for the rating of audit findings.

Status	Description
Compliant	The auditor has collected sufficient verifiable evidence to demonstrate that all elements of the requirement have been complied with within the scope of the audit.
Non-Compliant	The auditor has determined that one or more specific elements of the conditions or requirements have not been complied with within the scope of the audit.
Not Triggered	A requirement has an activation or timing trigger that has not been met at the time when the audit is undertaken, therefore an assessment of compliance is not relevant.

### 3. Document Review

The following documents were reviewed and/or sighted as part of this audit:

- UoN Bioresources Project Management Plan, Rev 04, 24 May 2019;
- Construction Environmental Management Plan, 14 November 2019;
- Construction Noise and Vibration Management Sub-Plan, MAC190862NMP1V2, July 2019;
- Construction Soil and Water Management Plan, 14 November 2019;
- Environmental Risk Matrix Rev 2, 17 December 2019;
- Construction Waste Management Plan Rev. 20/08/19;
- Construction Pedestrian and Traffic Management Plan (CPTMP, SECO Solutions Ver 02 – 6/08/19;
- Erosion and Sediment Control Plan CC-C2.0 , Northrup, 25/10/18;
- Site inspection conducted on 7 January 2020;
- Landscape Plan D0136, Rev C2, 16/12/19;
- BCA Crown Certificate 19-030-CR4;
- RCC Monthly Environmental Report, December 2019;
- Section 50 certificate, Hunter Water Corporation;
- Bioresources Facility Strategic Communications Plan, V8, May 2019;
- Disabled Access and Egress - Design Statement – CC4, iAccess Consultants 6/12/19;
- Noise Management Plan Review, Marshall Day Acoustics, 10 December 2019;
- Design Certification – Consultants Statement of Compliance for IFC – Acoustic Services, Marshall Day Acoustics 13 November 2019;
- Certificate of Design – Electrical Works, Pro Electrical Services Pty Limited, 11 November 2019;
- Statement of Design Compliance – Hydraulic Services, GHD 12 October 2019;
- Certificate of Design – Mechanical HVAC System, Austral Air Conditioning Services P/L, 4 December 2019;
- Complaints Register;
- Consultation with stakeholders.
- Environmental Impact Statement, Proposed Bioresources Facility, University Drive, Callaghan, Lot 1 DP 1188100
- Independent Audit Program for Bioresources Facility, 30 May 2019.



## 4. Audit Findings

This audit was completed to assess the implementation of CEMP and environmental controls established by RCC against the requirements of Development Consent SSD 8937. The audit found that, while management plans had been developed for the project, the management plans did not meet all the requirements of the conditions of consent. Management plans should be reviewed to address the findings of this audit to enable compliance with the conditions of consent.

The following table summarises the audit findings by rating category:

Findings Rating	Descriptor	Findings
Compliant	C	83
Non-Compliant	NC	3
Not Triggered	NT	24

### 4.1 Assessment of Compliance

The audit determined that RCC has generally implemented the controls for environmental management within the construction activities that are currently being undertaken. The comparison of audit requirements against the compliance ratings is as follows:

SSD Requirements	Requirements	Findings
Part A – Administrative Controls	23	C – 13
		NC – 2
		NT – 8
Part B – Prior to commencement of Construction	35	C – 33
		NC – 1
		NT – 1
Part C – During Construction Appendix 1 – Incident Notification	52	C – 37
		NC – 0
		NT – 15
SSD Requirements	Requirements	Findings
Total Requirements	110	C – 83
		NC – 3
		NT – 24

### 4.2 Notices, Incidents and Complaints

RCC noted that no agency notices, orders, penalty notices or prosecutions have been issued, and no reportable environmental incidents have occurred to date.

A Complaints Register has been developed for recording of complaint details including resolution reached. No complaints had been received.

### 4.3 Previous Audit Recommendations

Review of audit findings from the initial independent environmental audit conducted in July 2019 was conducted as part of the second audit. All previous audit findings were closed out during the current audit as identified in the table following.

Finding No.	Condition No.	Audit Findings	Recommendations and Follow-up Comments
NC-01	A2	Based on the number of non-compliant items the project is non-compliant to the requirement of A2 (a)	The proponent needs to ensure that all the non-compliances raised are addressed in accordance with the conditions of consent and IAPAR Document 2018. <b>7/01/2020</b> - Evidence provided to show that previous non-compliances had been actions. <b>Closed.</b>
NC-02	A11	Where requirements for consultation was included for management plans, evidence of consultation, including the outcome of that consultation had not been included in the plans.	RCC to ensure that information required as per conditions A11 is included in documentation submitted the Planning Secretary or Certifying Authority. <b>Note:</b> 27/08/19 - Construction Traffic Management Plan updated to include evidence of consultation. <b>Closed</b> Construction Soil and Water Management Plan does not include evidence of consultation. Evidence that the Soil and Water Management Plan had been provided to NCC and the certifying authority was sighted (14/11/19). <b>Closed.</b> <b>7/01/2020</b> - Reference to Muller Consulting report MAC170588RP1 included in the Noise and Vibration Management Plan. MAC170588RP1 attached as appendix to NVMP. <b>Closed</b>
NC-03	B3	The Applicant has not provided the Certifying Authority with documented evidence that the products and systems proposed for use construction of external walls including finishes and claddings such as synthetic or aluminium composite panels comply with the requirements of the BCA prior to the commencement of construction. Submit a copy of the documentation given to the Certifying Authority to the Planning Secretary within seven days after the Certifying Authority accepts it.	Provide evidence to the certifying authority that the products and systems proposed for use construction of external walls including finishes and claddings such as synthetic or aluminium composite panels comply with the requirements of the BCA. Submit a copy of the documentation given to the Certifying Authority to the Planning Secretary within seven days after the Certifying Authority accepts it. <b>7/01/2020</b> - Submitted to Certifying Authority as part of BCA Crown Certificate 19-030-CR4. Construction Certificate CC-4 issued to Department of Planning 17/12/19. <b>Closed</b>
NC-04	B4	The landscape plan has not been revised must be submitted to address the requirements of Condition B4 to the satisfaction of the Certifying Authority and submitted to the Planning Secretary for information.	Update the Landscape Plan to address the requirements of Condition B4 and submit to the Certifying Authority for approval and submitted to the Planning Secretary for information. <b>7/01/2020</b> - Submitted to Certifying Authority as part of BCA Crown Certificate 19-030-CR4. Construction Certificate CC-4 issued to Department of Planning 17/12/19. <b>Closed.</b>
NC-05	B15	Management plans required under this consent must be prepared in accordance with relevant guidelines.	RCC should review the management plans against the requirements of B15 and update the plans to ensure all requirements are addressed.

Finding No.	Condition No.	Audit Findings	Recommendations and Follow-up Comments
			<p><b>7/01/2020</b> - Management Plans had been updated and deficiencies addressed.</p> <p><b>Closed</b></p>
NC-06	B16	The Construction Environmental Management Plan provided does not include all the requirements of consent condition B16.	<p>The Construction Environmental Management Plan should be updated to address all the requirements of condition B16. The updated plan should be submitted to the Certifying Authority for approval and DPI&amp;E for information.</p> <p><b>27/08/19</b> - Construction Environmental Management Plan (14 November 2019) updated. Community consultation section includes weekly notice of disruption meetings with the University.</p> <p><b>Closed</b></p>
NC-07	B18	The Construction Traffic and Pedestrian Management Sub-plan does not address all the requirements of consent condition B18.	<p>The Construction Traffic and Pedestrian Management Sub-plan should be reviewed against the requirements of B18 and updated to ensure that all requirements are included in the sub-plan. The updated plan should be submitted to the certifying authority for approval and DP&amp;E for information.</p> <p><b>27/08/19:</b> Updated Construction Traffic and Pedestrian Management Sub-plan (Version 2 – 6/08/19) addresses requirements of B18. <b>Closed</b></p>
NC-08	B19	The Construction Noise and Vibration Management Sub-plan does not address all the requirements of consent condition B19.	<p>The Construction Noise and Vibration Management Sub-plan should be reviewed against the requirements of B19 and updated to ensure that all requirements are included in the sub-plan. The updated plan should be submitted to the certifying authority for approval and DP&amp;E for information.</p> <p>16/08/19: Noise and Vibration Plan updated. Does not include:</p> <ul style="list-style-type: none"> <li>• A description of the community consultation undertaken to develop the strategies or the strategies developed with the community for managing high noise generating works</li> <li>• Clear process for how RCC will manage and report any failure to comply with statutory requirements</li> </ul> <p><b>7/01/2020</b> – Noise Management Plan updated to include description of community consultation undertaken and process to manage and report any failure to comply with statutory requirements.</p> <p><b>Closed</b></p>
NC-09	B20	The Construction Waste Management Sub-plan does not address all the requirements of consent condition B20.	<p>The Construction Waste Management Sub-plan should be reviewed against the requirements of B20 and updated to ensure that all requirements are included in the sub-plan. The updated plan should be submitted to the certifying authority for approval and DP&amp;E for information.</p> <p><b>Note:</b> Construction Waste Management Sub-plan updated 20/08/19 to address deficiencies.</p> <p><b>Closed.</b></p>
NC-10	B21	The Construction Soil and Water Management Sub-plan does not address all the requirements of consent condition B21.	<p>The Construction Soil and Water Management Sub-plan should be reviewed against the requirements of B21 and updated to ensure that all requirements are included in the sub-plan.</p>

Finding No.	Condition No.	Audit Findings	Recommendations and Follow-up Comments
			<p><b>27/08/19:</b> Plan updated. Does not adequately address:</p> <ul style="list-style-type: none"> <li>• Protocol for periodic review of the plan;</li> <li>• Evidence of consultation with Council;</li> <li>• All measures to manage stormwater events.</li> </ul> <p>Updated Construction Soil and Water Management Plan provided (dated 14 November 2019) – Evidence of consultation with Council sighted.</p> <p><b>Closed</b></p>
NC-11	B26	Prior to the commencement of construction, A stormwater management system for the development has not been designed and submitted to the satisfaction of the Certifying Authority prior to the commencement of construction.	<p>Design a stormwater management system for the development and submit it to the satisfaction of the Certifying Authority.</p> <p><b>7/01/2020</b> - Submitted to Certifying Authority as part of BCA Crown Certificate 19-030-CR4.</p> <p>Construction Certificate CC-4 issued to Department of Planning 17/12/19.</p> <p><b>Closed.</b></p>
NC-12	B28	The noise mitigation recommendations of the Noise and Vibration Assessment dated 6 August 2018 by Muller Acoustic Consulting have not been incorporated into the detailed design drawings and verified by the Certifying Authority prior to the commencement of construction.	<p>Incorporate noise mitigation recommendations of the Noise and Vibration Assessment dated 6 August 2018 by Muller Acoustic Consulting into the detailed design drawings and provide to the certifying authority for verification.</p> <p><b>7/01/2020</b> - Submitted to Certifying Authority as part of BCA Crown Certificate 19-030-CR4.</p> <p>Construction Certificate CC-4 issued to Department of Planning 17/12/19.</p> <p><b>Closed.</b></p>
NC-13	B30	The Compliance Monitoring and Reporting Program had not been completed at least two weeks prior to the date notified for the commencement of construction.	<p>Compliance Monitoring and Reporting Program provided 9/05/19.</p> <p><b>Closed</b></p>
NC-14	B31	The Pre-Construction Compliance Report had not been submitted prior to the commencement of construction.	<p>Provide compliance reports in accordance with the requirements of the Compliance Monitoring and Reporting Program.</p> <p>Compliance Monitoring and Reporting Program provided 9/05/19.</p> <p><b>Closed</b></p>
NC-15	C2	While a site notice had been erected, the site notice did not include all information required by consent condition C2.	<p>The site notice should be reviewed and updated to include all information required by consent condition C2.</p> <p><b>27/08/19</b> Evidence provided with following:</p> <ul style="list-style-type: none"> <li>• Sign erected identifying Certifying Authority</li> <li>• Sign erected identifying Structural Engineer.</li> <li>• Sign erected identifying approved hours of work and address</li> </ul> <p><b>Closed</b></p>
NC-16	C18	<p>No evidence of investigation of noise level alerts to determine the cause or identify corrective actions.</p> <p>No noise complaints have been received</p>	<p>Where noise level exceedance alerts are received, the exceedance should be investigated and findings of the investigation recorded. Where exceedance is the result of on-site activities, corrective actions implemented should be documented.</p>

Finding No.	Condition No.	Audit Findings	Recommendations and Follow-up Comments
			<p>Email to Project Manager sighted (9/05/19) showing evidence of investigation of noise alerts. No subsequent evidence provided.</p> <p>Notice of disruption meetings include discussion on noise alerts.</p> <p><b>Remains open. See NC-05 in current audit findings.</b></p>
NC-17	C19	<p>No evidence of investigation of vibration level alerts to determine the cause or identify corrective actions.</p> <p>No vibration complaints have been received</p>	<p>Where vibration level exceedance alerts are received, the exceedance should be investigated and findings of the investigation recorded. Where exceedance is the result of on-site activities, corrective actions implemented should be documented.</p> <p>No further vibration alerts have been issued as a result of RCC construction activities.</p> <p>Notice of disruption meetings include discussion on noise alerts.</p> <p><b>Closed</b></p>
NC-18	C44	The independent audit program had not been submitted at least 4 weeks before the date notified for the commencement of construction. It was noted that the submission was delayed awaiting approval of the environmental auditor.	<p>Independent audit program submitted 30/05/19.</p> <p><b>Closed</b></p>
OFI-01	B13	Details demonstrating compliance with the requirements outdoor lighting must be submitted to the satisfaction of the Certifying Authority.	<p>Ensure details demonstrating compliance with the requirements for outdoor lighting are be submitted to the satisfaction of the Certifying Authority prior to the commencement of building works.</p> <p>Compliance Monitoring and Reporting Program provided 9/05/19.</p> <p><b>Closed</b></p>
OFI-02	B29	Details showing that mechanical ventilation systems will be installed in accordance with Part F4.5 of the 8CA and must comply with the AS 1668.2-2012 have not been submitted to the Certifying Authority for approval prior to the commencement of building works	<p>Ensure details demonstrating compliance with the requirements for installation of mechanical ventilation systems are be submitted to the satisfaction of the Certifying Authority prior to the commencement of building works.</p> <p>Compliance Monitoring and Reporting Program provided 9/05/19.</p> <p><b>Closed</b></p>
OFI-03	C10	While controls for the management of construction vehicles had been implemented, it was not clear how these requirements were communicated to delivery drivers who do not attend site inductions.	<p>Consider providing information on site vehicle movements (vehicle movement plan, etc.) to delivery drivers prior to coming to site.</p> <p>CPTMP and VMP provided to subcontractors at engagement. VMP reported to be provided to delivery drivers on initial delivery to site.</p> <p><b>Closed</b></p>
OFI-04	C22	While waste tracking records are available from the waste removalist, the site waste register has not been populated	<p>Consider recording waste deliveries in the waste register at the time of collection to ensure the waste register is up to date.</p> <p>Waste register populated</p> <p><b>Closed.</b></p>

#### 4.4 Audit Site Inspection

The site inspection was conducted at 9:30am on 7 January 2020 by the AQUAS auditor and RCC project staff. The audit reviewed implementation of site facilities and environmental controls, including:

- Site signage and site sheds;
- Sediment fence along the boundary of the site;
- Erosion and sediment controls for pits outside and inside the site;
- Suitable storage for hazardous materials;
- Traffic signage well implemented;
- Scaffold and electrical equipment were appropriately tagged;
- Skip bins for waste and recycling in various locations; and
- Housekeeping.

Minor issues noted during the site inspection were rectified the day of the audit. Please refer to photos of the site inspection in **Appendix E**.

#### 4.5 Suitability of Plans and the EMS

Review of the CEMP and sub-plans found that the plans had been updated to comply with the requirements of Development Consent SSD8937.

#### 4.6 Development Past Performance

The audit indicated that RCC's project performance has improved significantly. This was verified through the following aspects:

- no incidents, complaints or disputes have been raised;
- noise and vibration monitoring has been conducted as per the monitoring program;
- Development Consent Conditions SSD 8937 have been tracked and monitored;
- the Compliance Reports have been prepared, as required;
- 17 of the 18 previous audit findings had been actioned and closed out;
- The number of non-compliances raised in the current audit (3) was significantly less than the number raised in the initial audit of the project.

#### 4.7 Actual and Predicted Impacts

The development has been undertaken within the physical boundaries of the development, and no impacts associated with air or water emissions have occurred. Isolated instances of exceedances of noise management levels have occurred, which occurred for very short duration as the result of specific activities. As such, actual impacts of the development were considered consistent with the predicted impacts.

#### 4.8 Key Strengths

Overall, general project environmental performance was in compliance with Development Consent SSD 8937 with the following key strengths noted:

- Environmental inspections have been undertaken weekly;
- Internal and external communication mechanisms have been established;
- Consultation with the community and sensitive receivers have been managed well;
- The process for reporting incidents, complaints and non-conformances has been implemented and recorded; and
- Environmental controls have been implemented such as:
  - Erosion and sedimentation had been installed around stormwater inlets;

- Continuous noise and vibration monitoring was being conducted;
- Controls had been provided for managing dust generation on site; and
- Spill response equipment had been made available on site.

## 5. Recommendations

The following table outlines the identified non-compliances that need to be addressed and the auditor's recommendations. Refer to the attached **Appendix D** for full details of findings including auditor notes.

Finding No.	Condition No.	Audit Findings	Recommendations
NC-01	<p>A2 - Terms of Consent</p> <p>The development may only be carried out:</p> <ul style="list-style-type: none"> <li>(a) in compliance with the conditions of this consent;</li> <li>(b) in accordance with all written directions of the Planning Secretary;</li> <li>(c) generally in accordance with the EIS as amended by the Response to Submissions and Supplementary Response to Submissions;</li> <li>(d) in accordance with the management and mitigation measures; and</li> </ul> <p>in accordance with the approved plans in the table below</p>	<p>Based on the number of non-compliant items the project is non-compliant to the requirement of A2 (a)</p>	<p>The proponent needs to ensure that all the non-compliances raised are addressed in accordance with the conditions of consent and IAPAR Document 2018.</p>
NC-02	<p>A21 - Access to Information</p> <p>At least 48 hours before the commencement of construction until the completion of all works under this consent, or such other time as agreed by the Planning Secretary, the Applicant must:</p> <ul style="list-style-type: none"> <li>(a) make the following information and documents (as they are obtained or approved) publicly available on its website: <ul style="list-style-type: none"> <li>(i) the documents referred to in condition A2 of this consent;</li> <li>(ii) all current statutory approvals for the development;</li> <li>(iii) all approved strategies, plans and programs required under the conditions of this consent;</li> <li>(iv) regular reporting on the environmental performance of the development in accordance with the reporting arrangements in any plans or programs approved under the conditions of this consent;</li> <li>(v) a comprehensive summary of the monitoring results of the development, reported in accordance with the specifications in any conditions of this consent, or any approved plans and programs;</li> <li>(vi) a summary of the current stage and progress of the development;</li> <li>(vii) contact details to enquire about the development or to make a complaint;</li> <li>(viii) a complaints register, updated monthly;</li> </ul> </li> </ul>	<p>Website had not been maintained to ensure that all current information and documents are available on the website.</p>	<p>The proponent should ensure that documents are uploaded and available on the project website in accordance with Condition A21.</p>



Finding No.	Condition No.	Audit Findings	Recommendations
	(ix) audit reports prepared as part of any independent environmental audit of the development and the Applicant's response to the recommendations in any audit report; (x) any other matter required by the Planning Secretary; and keep such information up to date, to the satisfaction of the Planning Secretary		
NC-03	B31 - Compliance Reporting Compliance Reports of the project must be carried out in accordance with the Compliance Reporting Post Approval Requirements (Department 2018).	The initial Construction Compliance Report had not been submitted within the agreed timeframe.	Compliance reports should be submitted in accordance with the Compliance Reporting – Post Approval Requirements, June 2018 or timeframes as agreed with DPI&E.

In addition to the non-compliances raised, the auditor identified two opportunities for improvement for the continual improvement of the environmental performance of the project.

Finding No.	Condition No.	Audit Findings	Recommendations
OFI-01	B20 - Construction Waste Management Sub-plan	While waste segregation practices had been implemented, and a waste contractor engaged to segregate waste offsite, signs had not been provided for all waste containers identifying the type of waste to be disposed of in each container.	Waste signs should be displayed to show what types of waste can be disposed of in waste bins.
OFI-02	C31 - Disposal of Seepage and Stormwater	The SWMP identifies that water collected on site will be tested for turbidity and discharged. While no water had been discharged from site, approval from the EPA for disposal to the street stormwater system has not been obtained.	Obtain approval from the EPA for discharge to street stormwater system. Alternately, revise site procedures and the SWMP to identify that stormwater will be collected and taken offsite for treatment and discharge.

## Appendix A. Auditors Approval



Mr Mark Maund  
Principal Town Planner  
De Witt Consulting  
7 Canberra St  
CHARLESTOWN NSW 2290

Email: [mark.maund@dewittconsulting.com.au](mailto:mark.maund@dewittconsulting.com.au)

CC: [david.espert@app.com.au](mailto:david.espert@app.com.au)

Contact: Heidi Watters  
Phone: (02) 6575 3401  
Email: [heidi.watters@planning.nsw.gov.au](mailto:heidi.watters@planning.nsw.gov.au)  
[compliance@planning.nsw.gov.au](mailto:compliance@planning.nsw.gov.au)  
Our Ref: SSD 8937

Dear Mr Maund

**University of Newcastle Bioresources Facility Building (SSD 8937)  
Request for agreement of Independent Auditor**

I refer to your submission dated 28 May 2019 seeking the agreement of the Planning Secretary of the Department of Planning and Environment (the Department) of a suitably qualified, experienced and independent audit team to undertake independent audits of the University of Newcastle Bioresources Facility Building.

In accordance with C43 of SSD 8937 (the consent) and the *Independent Audit Post Approvals Requirements* dated June 2018 (IA PAR), I, as the Planning Secretary's nominee, agree to the following audit team:

- James Hart – Lead Environmental Auditor (AQUAS Pty Ltd)
- Ana Maria Munoz – Environmental Auditor (AQUAS Pty Ltd)
- Nilda Soto – Environmental Auditor (AQUAS Pty Ltd)
- Luis Garzon – Environmental Auditor (AQUAS Pty Ltd)

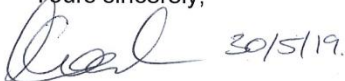
The Department reserves the right to request an alternate team for future audits.

The Independent Audit must be prepared, undertaken and finalised in accordance with the IA PAR. Failure to meet these requirements will require revision and resubmission.

Finally, please ensure this correspondence is appended to the Independent Audit Report.

Should you need to discuss the above, please contact Heidi Watters, Senior Compliance Officer at the Department as per the details provided above.

Yours sincerely,



Leah Cook  
**Team Leader – Compliance**  
*As nominee of the Secretary*

## Appendix B. Audit Attendance Sheet

**Audit Attendance Sheet**


PROJECT: UoN Bioresources Facility      AUDIT No.: 1248.0

AUDITEE: Richard Cookers Construction      LEAD AUDITOR: James Hart

MEETING LOCATION: Site Office - Collegian Campus

OPENING MEETING DATE AND TIME: 7, 01, 2020      8.45am

CLOSING MEETING DATE AND TIME: 7, 01, 2020      3.00pm



ENABLES COMPLIANCE • VERIFIES COMPLIANCE

NAME	ORGANISATION	POSITION	SIGNATURE	
			OPENING MEETING	CLOSING MEETING
JAMES HART	AQUAS	Lead Auditor	<i>JH</i>	<i>JH</i>
R. Maybury	RCC	PE	<i>RM</i>	
B. McVey	RCC	PM	<i>BM</i>	<i>BM</i>
M. Stafford	IFS	PO	<i>M-S</i>	<i>M-S</i>
D. Esport	APP	<sup>(PM)</sup> Principal Architect	<i>DE</i>	<i>DE</i>
<i>Wilson</i>	RCC	SM	<i>W</i>	

Version 03/01

## Appendix C. Independent Audit Declaration Form

### Independent Audit Declaration Form

Project Name: University of Newcastle Bioresources Facility

Consent Number: SSD 8937

Description of Project: Design and Construction of the Bioresources Facility for the University of Newcastle

Project Address: 130 University Drive, Callaghan, NSW

Proponent: Richard Crookes Constructions Pty Ltd

Title of Audit: Independent Environmental Audit Date: 4 July 2019

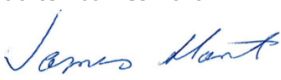
I declare that, to the best of my knowledge:

- I am not related to any proponent, owner or operator of the project neither as an employer, business partner, employee, or by sharing a common employer, having a contractual arrangement outside the audit, or by relationship as spouse, partner, sibling, parent, or child;
- I do not have any pecuniary interest in the audited project, including where there is a reasonable likelihood or expectation of financial gain or loss to me or spouse, partner, sibling, parent, or child;
- neither I nor my employer have provided consultancy services for the audited project that were subject to this audit except as otherwise declared to the Department prior to the audit; and
- neither I nor any technical specialist that may take part in the Independent Audits are an Environmental Representative for the project; and
- I have not accepted, nor intend to accept any inducement, commission, gift or any other benefit (apart from payment for auditing services) from any proponent, owner or operator of the project, their employees or any interested party. I have not knowingly allowed, nor intend to allow my colleagues to do so.
- I am an employee of AQUAS, are fully owned by APP Corporation, the Principal's Authorised Representative for the project. AQUAS operates independently under its own certified management systems. AQUAS share and office with APP in Newcastle.
- The following works are planned to be undertaken by the James Hart for the project:
  - Review of Quality, WHS and Environmental management plans to assess compliance with project specific requirements;
  - Monthly quality, WHS and environmental inspections of works on site;
  - Six monthly quality and WHS audits of the project.

Notes:

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

Name of Auditor: James Hart

Signature: 

Qualification: Lead Environmental Auditor

Company: AQUAS Pty Ltd

Company Address: Level 7, 116 Miller Street, North Sydney NSW 2060

## Appendix D. Audit Checklist and Audit Findings

### Audit Checklist – SSD8937 Conditions of Consent

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number																								
<b>PART A – Administrative Controls</b>																													
<b>Obligation to Minimise Harm to the Environment</b>																													
1.	A1	In addition to meeting the specific performance measures and criteria in this consent, all reasonable and feasible measures must be implemented to prevent, and if prevention is not reasonable and feasible, minimise, any material harm to the environment that may result from the construction and operation of the development, and any rehabilitation required under this consent.	Management plans have been documented and controls implemented on site for preventing or minimising environmental impacts of the project. No material harm to the environment has occurred for the development.	Compliant																									
<b>Terms of Consent</b>																													
2.	A2	The development may only be carried out: (e) in compliance with the conditions of this consent; (f) in accordance with all written directions of the Planning Secretary; (g) generally in accordance with the EIS as amended by the Response to Submissions and Supplementary Response to Submissions; (h) in accordance with the management and mitigation measures; and (i) in accordance with the approved plans in the table below:	<b>Based on the number of non-compliant items the project is non-compliant to the requirement of A2 (a).</b> No written directions have been issued by the Planning Secretary. Project has been carried out generally in accordance with the EIS and the management and mitigation measures and approved plans. No environmental incidents or non-compliances have been raised.	<b>Not compliant</b>	<b>NC-01</b>																								
		<table border="1"> <thead> <tr> <th colspan="4">Architectural Drawings prepared by <i>Denton Corker Marshall</i></th> </tr> <tr> <th>DwgNo.</th> <th>Rev</th> <th>Name of Plan</th> <th>Date</th> </tr> </thead> <tbody> <tr> <td>A01_0100</td> <td>D3</td> <td>SITE PLAN</td> <td>07.09.2018</td> </tr> <tr> <td>A03_0000</td> <td>T2</td> <td>DEMOLITION PLAN</td> <td>04.02.2019</td> </tr> <tr> <td>A10_0000</td> <td>T1</td> <td>GROUND LEVEL- OVERALL PLAN</td> <td>25.10.2018</td> </tr> <tr> <td>A10_0100</td> <td>T2</td> <td>LEVEL 1 - OVERALL PLAN</td> <td>30.10.2018</td> </tr> </tbody> </table>	Architectural Drawings prepared by <i>Denton Corker Marshall</i>				DwgNo.	Rev	Name of Plan	Date	A01_0100	D3	SITE PLAN	07.09.2018	A03_0000	T2	DEMOLITION PLAN	04.02.2019	A10_0000	T1	GROUND LEVEL- OVERALL PLAN	25.10.2018	A10_0100	T2	LEVEL 1 - OVERALL PLAN	30.10.2018			
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A01_0100	D3	SITE PLAN	07.09.2018																										
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A10_0000	T1	GROUND LEVEL- OVERALL PLAN	25.10.2018																										
A10_0100	T2	LEVEL 1 - OVERALL PLAN	30.10.2018																										

AQUAS Ref No.	Cond. No.	SSD Condition Description				Audit Evidence - Findings	Compliance Descriptor	Finding Number	
		A10_0200	T2	LEVEL 2- OVERALL PLAN	29.10.2018				
		A10_0300	T2	ROOF LEVEL - OVERALL PLAN	29.10.2018				
		A11_0000	T1	GA ELEVATIONS- NORTH	25.10.2018				
		A11_0001	T1	GA ELEVATIONS- SOUTH	25.10.2018				
		A11_0002	T1	GA ELEVATIONS- EAST	25.10.2018				
		A11_0003	T1	GA ELEVATIONS- WEST	25.10.2018				
		A12_0000	T1	GA SECTIONS - SHEET 00	25.10.2018				
		A12_0001	T1	GA SECTIONS- SHEET 01	25.10.2018				
		A12_0002	T1	GA SECTIONS -SHEET 02	25.10.2018				
		A12_0003	T1	GA SECTIONS- SHEET 03	25.10.2018				
		A12_0004	T1	GA SECTIONS- SHEET 04	25.10.2018				
		A13_0300	A	FAÇADE TYPES SHEET 03	31.01.2018				
		-	-	DESIGN PRINCIPLES- EXTERNAL MATERIAL SCHEDULE	undated				
<b>Landscape Drawings prepared by Denton Corker Marshall and Landarche</b>									
		<b>Dwg No.</b>	<b>Rev</b>	<b>Name of Plan</b>	<b>Date</b>				
		A04 0000	T3	LANDSCAPE OVERALL PLAN	29.11.2018				
		ASC_0002		LANDSCAPE MATERIALS SCHEDULE	29.11.2018				
		Sheets 3-5	T2						
		SK_201811		LANDSCAPE CROSS SECTION -WEST	20.11.2018				
		29_YC01	P01						
		SK_201811		LANDSCAPE CROSS SECTION - NORTH	20.11.2018				
		29_YC02	P01						
<b>Civil and Stormwater Management Plans prepared by Northrop</b>									
		<b>DwgNo.</b>	<b>Rev</b>	<b>Name of Plan</b>	<b>Date</b>				
		C10	1	EROSION AND SEDIMENT CONTROL PLAN	23.05.18				
			1	EROSION AND SEDIMENT CONTROL DETAILS	23.05.18				
		CCC-C3.0	1	BULK EARTHWORKS PLAN	18.07.18				
		C20	1	CONCEPT STORMWATER MANAGEMENT PLAN	23.05.18				
3.	A3	Consistent with the requirements in this consent, the Planning Secretary may make written directions to the Applicant in relation to:				No written directions have been issued by the Planning Secretary.	Not Triggered		



AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		(a) the content of any strategy, study, system, plan, program, review, audit, notification, report or correspondence submitted under or otherwise made in relation to this consent, including those that are required to be, and have been, approved by the Planning Secretary; and (b) the implementation of any actions or measures contained in any such document referred to in (a) above.			
4.	A4	The conditions of this consent and directions of the Planning Secretary prevail to the extent of any inconsistency, ambiguity or conflict between them and a document listed in condition A2(c). In the event of an inconsistency, ambiguity or conflict between any of the documents listed in condition A2(c), the most recent document prevails to the extent of the inconsistency, ambiguity or conflict.	No inconsistency, ambiguity or conflict has been identified.	Not Triggered	
<b>Limits of Consent</b>					
5.	A5	This consent lapses five years after the date from which it operates, unless the works associated with the development have physically commenced.	Construction commenced 13 May 2019 – Verified previous audit.	Compliant	
6.	A6	This consent does not include approval of signage. Separate approval must be obtained for any signs which do not meet exempt development provisions.	No signs installed which required development consent.	Not Triggered	
<b>Prescribed Conditions</b>					
7.	A7	The Applicant must comply with all relevant prescribed conditions of development consent under Part 6, Division 8A of the EP&A Regulation.	Building and Structures reported to be designed in accordance with BCA requirements. Design certificates provides stating compliance with BCA requirements (e.g. Crown BCA Certificate 19-030-CR4). Principal contractor and principal certifier signage has been displayed at entry to the site.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Planning Secretary as Moderator</b>					
8.	A8	In the event of a dispute between the Applicant and a public authority, in relation to an applicable requirement in this approval or relevant matter relating to the Development, either party may refer the matter to the Planning Secretary for resolution. The Planning Secretary's resolution of the matter must be binding on the parties.	No disputes have arisen with public authorities	Not Triggered	
<b>Long Service Levy</b>					
9.	A9	For work costing \$25,000 or more, a Long Service Levy must be paid. For further information please contact the Long Service Payments Corporation Helpline on 131 441.	Long service levy paid 6/05/19. Levy Receipt 00379177– Verified previous audit.	Compliant	
<b>Legal Notices</b>					
10.	A10	Any advice or notice to the consent authority must be served on the Planning Secretary.	Notice of commencement of works sent to planning Secretary – Verified previous audit.	Compliant	
<b>Evidence of Consultation</b>					
11.	A11	Where conditions of this consent require consultation with an identified party, the Applicant must: <ul style="list-style-type: none"> <li>(a) consult with the relevant party prior to submitting the subject document to the Planning Secretary or Certifying Authority for information or approval; and</li> <li>(b) provide details of the consultation undertaken including: <ul style="list-style-type: none"> <li>(i) the outcome of that consultation, matters resolved and unresolved; and</li> <li>(ii) details of any disagreement remaining between the party consulted and the Applicant and how the Applicant has addressed the matters not resolved.</li> </ul> </li> </ul>	CTMP prepared and submitted to RMS and Council for review prior to completion. Evidence of consultation included in plan.	Compliant	
<b>Staging, Combining and Updating Strategies, Plans or Programs</b>					
12.	A12	With the approval of the Planning Secretary, the Applicant may: <ul style="list-style-type: none"> <li>(a) prepare and submit any strategy, plan or program required by this consent on a staged basis (if a clear description is</li> </ul>	No request for staging of the project has been submitted.	Compliant	



AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		<p>provided as to the specific stage and scope of the development to which the strategy, plan or program applies, the relationship of the stage to any future stages and the trigger for updating the strategy, plan or program);</p> <p>(b) combine any strategy, plan or program required by this consent (if a clear relationship is demonstrated between the strategies, plans or programs that are proposed to be combined); and</p> <p>(iii) update any strategy, plan or program required by this consent (to ensure the strategies, plans and programs required under this consent are updated on a regular basis and incorporate additional measures or amendments to improve the environmental performance of the development).</p>			
13.	A13	If the Planning Secretary agrees, a strategy, plan or program may be staged or updated without consultation being undertaken with all parties required to be consulted in the relevant condition in this consent.	Approval has not been requested or provided by the Planning Secretary for staged preparation and submission of ant strategy, plan or program.		
14.	A14	If approved by the Planning Secretary, updated strategies, plans or programs supersede the previous versions of them and must be implemented in accordance with the condition that requires the strategy, plan or program.	Approval has not been requested or provided by the Planning Secretary for staged preparation and submission of ant strategy, plan or program.		
<b>Structural Adequacy</b>					
15.	A15	<p>All new buildings and structures, and any alterations or additions to existing buildings and structures, that are part of the development, must be constructed in accordance with:</p> <p>(a) the relevant requirements of the BCA;</p> <p>(b) any additional requirements of the Subsidence Advisory NSW where the building or structure is located on land within a declared Mine Subsidence District.</p> <p><i>Notes:</i></p>	<p>Building and Structures reported to be designed in accordance with BCA requirements.</p> <p>Certifier sign-off to verify compliance with BCA requirements.</p> <p>Crown Certificates issued by the certifier to verify compliance (e.g. CC1 – Bulk Excavation, CC2 (in-ground services &amp; in-ground structure including round floor slab &amp; site retaining wall): 16th July 19, CC3 (structure above ground floor slab): 8th October 2019, CC4 (remaining</p>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		<ul style="list-style-type: none"> <li>Under Part 6 of the EP&amp;A Act, the Applicant is required to obtain construction and occupation certificates for the proposed building works.</li> <li>Part 8 of the EP&amp;A Regulation sets out the requirements for the certification of the development.</li> </ul>	works including fitout, services, building envelope & external works): 17th December 2019.		
<b>External Walls and Cladding</b>					
16.	A16	The external walls of all buildings including additions to existing building must comply with the relevant requirements of the BCA.	Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4. CC4 issued to DPIE on 17th December 2019 includes design certification for the building designs.	Compliant	
<b>Bush Fire Protection</b>					
17.	A17	Water, electricity and gas are to comply with sections 4.1.3 of <i>Planning for Bush Fire Protection 2006</i> .	Bush Fire Threat Assessment Completed by Anderson Environment and Planning. Not in a bush fire zone. Recommendations provided which were reported to be incorporated into the design documentation.	Compliant	
<b>Applicability of Guidelines</b>					
18.	A18	References in the conditions of this consent to any guideline, protocol, Australian Standard or policy are to such guidelines, protocols, Standards or policies in the form they are in as at the date of this consent.	Construction has been conducted in accordance with guidelines, protocols, Standards or policies in the form they are in as at the date of this consent.	Compliant	
19.	A19	Consistent with the conditions of this consent and without altering any limits or criteria in this consent, the Planning Secretary may, when issuing directions under this consent in respect of ongoing monitoring and management obligations, require compliance with an updated or revised version of such a guideline, protocol, Standard or policy, or a replacement of them.	No directions have been issued by the Planning Secretary.	Not Triggered	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Monitoring and Environmental Audits</b>					
20.	A20	<p>Any condition of this consent that requires the carrying out of monitoring or an environmental audit, whether directly or by way of a plan, strategy or program, is taken to be a condition requiring monitoring or an environmental audit under Division 9.4 of Part 9 of the EP&amp;A Act. This includes conditions in respect of incident notification, reporting and response, non-compliance notification and independent environmental auditing.</p> <p><i>Note: For the purposes of this condition, as set out in the EP&amp;A Act, "monitoring" is monitoring of the development to provide data on compliance with the consent or on the environmental impact of the development, and an "environmental audit" is a periodic or particular documented evaluation of the development to provide information on compliance with the consent or the environmental management or impact of the development.</i></p>	<p>Environmental audit conducted in accordance with conditions of consent.</p> <p>Noise and vibration monitoring conducted by specialist consultant</p>	Compliant	
<b>Access to Information</b>					
21.	A21	<p>At least 48 hours before the commencement of construction until the completion of all works under this consent, or such other time as agreed by the Planning Secretary, the Applicant must:</p> <p>(b) make the following information and documents (as they are obtained or approved) publicly available on its website:</p> <ul style="list-style-type: none"> <li>(xi) the documents referred to in condition A2 of this consent;</li> <li>(xii) all current statutory approvals for the development;</li> <li>(xiii) all approved strategies, plans and programs required under the conditions of this consent;</li> <li>(xiv) regular reporting on the environmental performance of the development in accordance with the reporting arrangements in any plans or programs approved under the conditions of this consent;</li> <li>(xv) a comprehensive summary of the monitoring results of the development, reported in accordance with the</li> </ul>	<p>Website available.</p> <p><a href="https://www.newcastle.edu.au/current-staff/working-here/our-work-environment/current-projects/bioresources-facility/planning">https://www.newcastle.edu.au/current-staff/working-here/our-work-environment/current-projects/bioresources-facility/planning</a></p> <p>Includes development consent approved drawings; Development Consent Management plans (EMP, CEMP, CPTMP, NVMP, CWMP, and SWMP). However, current versions not provided. Reported to be awaiting approval of plans before updating.</p> <p>Independent Audit Report, July 2019 and response available.</p> <p>Monitoring – Bioresources Facility Pre-construction Compliance Report 0919 available.</p> <p><b>No other monitoring results have been uploaded. Registers and Reports – no records uploaded.</b></p>	<b>Not Compliant</b>	<b>NC-02</b>

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		<p>specifications in any conditions of this consent, or any approved plans and programs;</p> <p>(xvi) a summary of the current stage and progress of the development;</p> <p>(xvii) contact details to enquire about the development or to make a complaint;</p> <p>(xviii) a complaints register, updated monthly;</p> <p>(xix) audit reports prepared as part of any independent environmental audit of the development and the Applicant's response to the recommendations in any audit report;</p> <p>(xx) any other matter required by the Planning Secretary; and</p> <p>keep such information up to date, to the satisfaction of the Planning Secretary.</p>			
<b>Compliance</b>					
22.	A22	The Applicant must ensure that all of its employees, contractors (and their sub-contractors) are made aware of, and are instructed to comply with, the conditions of this consent relevant to activities they carry out in respect of the development.	Environmental requirements for the project are included in site inductions.	Compliant	
<b>ADVISORY NOTES</b>					
1.	AN1	All licences, permits, approvals and consents as required by law must be obtained and maintained as required for the development. No condition of this consent removes any obligation to obtain, renew or comply with such licences, permits, approvals and consents.	Applicable Development Approval obtained. Traffic Control Plans developed and approved by RMS registered subcontractor	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>PART B – PRIOR TO COMMENCEMENT OF CONSTRUCTION</b>					
<b>Notification of Commencement</b>					
2.	B1	<p>The Department must be notified to the Department in writing of the dates of commencement of physical work and operation at least 48 hours before those dates.</p> <p>If the construction of the development is to be staged, the Department must be notified in writing at least 48 hours before the commencement of each stage, of the date of commencement and the development to be carried out in that stage.</p>	Verified previous audit.	Compliant	
<b>Certified Drawings</b>					
3.	B2	<p>Prior to the commencement of construction, the Applicant must submit to the satisfaction of the Certifying Authority structural drawings prepared and signed by a suitably qualified practising Structural Engineer that demonstrates compliance with:</p> <ul style="list-style-type: none"> <li>(a) the relevant clauses of the BCA; and</li> <li>(b) this development consent.</li> </ul>	<p>BCA Crown Certificate 19-030-CR1 provided by certifying authority.</p> <p>Letter of submission to DP&amp;E 7/07/19.</p> <p>For Stage 1 – Demolition and bulk earthworks.</p> <ul style="list-style-type: none"> <li>- CC2 (in-ground services &amp; in-ground structure including round floor slab &amp; site retaining wall): Notified DPIE on 2nd July 19.</li> <li>- CC3 (structure above ground floor slab): Notified DPIE on 8th Oct 19.</li> <li>- CC4 (remaining works including fitout, services, building envelope &amp; external works): 17th December 2019.</li> </ul>	Compliant	
<b>External Walls and Cladding</b>					
4.	B3	<p>Prior to the commencement of construction, the Applicant must provide the Certifying Authority with documented evidence that the products and systems proposed for use construction of external walls including finishes and claddings such as synthetic or aluminium composite panels comply with the requirements of the BCA. The Applicant must provide a copy of</p>	<p>Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4</p> <p>Construction Certificate CC-4 issued to Department of Planning 17/12/19.</p>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		the documentation given to the Certifying Authority to the Planning Secretary within seven days after the Certifying Authority accepts it.			
<b>Design Modification - Landscape</b>					
5.	B4	<p>Prior to the commencement of construction, the Applicant must revise the landscape plan to:</p> <ul style="list-style-type: none"> <li>(a) incorporate three additional trees within the northern and/or western setback, being locally indigenous canopy trees with a mature height of at least 12 metres and a minimum pot size at least 200L at installation;</li> <li>(b) incorporate two additional trees consistent in species, size and location as detailed in condition B4(a) above should tree numbers 31 and 32 be required to be removed as a consequence of the detailed design of the adjacent access path and first floor entry ramp (respectively); and</li> <li>(c) ensure compliance with Planning for Bushfire Protection 2006.</li> </ul> <p>The revised landscape plan must be submitted to the satisfaction of the Certifying Authority and submitted to the Planning Secretary for information.</p>	<p>Revised Landscape Plan prepared (Drawing No A04_000), Rev C2, 16/12/19.</p> <p>Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4.</p> <p>Construction Certificate CC-4 issued to Department of Planning 17/12/19.</p>	Compliant	
<b>Protection of Public Infrastructure</b>					
6.	B5	<p>Before the commencement of construction, the Applicant must:</p> <ul style="list-style-type: none"> <li>(d) consult with the relevant owner and provider of services that are likely to be affected by the development to make suitable arrangements for access to, diversion, protection and support of the affected infrastructure;</li> <li>(e) prepare a dilapidation report identifying the condition of all public infrastructure in the vicinity of the site (including roads, gutters and footpaths); and</li> <li>(f) submit a copy of the dilapidation report to the Certifying Authority and Council.</li> </ul>	Verified previous audit	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Utilities and Services</b>					
7.	B6	Before the construction of any utility works associated with the development, the Applicant must obtain relevant approvals from service providers.	Section 50 certificate obtained from Hunter Water. 2018-741/1.001 Email sighted from University of Newcastle Infrastructure and Facility Services Resources Division stating satisfactory arrangements for supply of water and electricity. Response identifies that a new gas contract will be required to cater for additional consumption by the Bioresources Facility.	Compliant	
8.	B7	Prior to the commencement of above ground works written advice must be obtained from the electricity supply authority, an approved telecommunications carrier and an approved gas carrier (where relevant) stating that satisfactory arrangements have been made to ensure provisions of adequate services.	It is understood that UoN has supply agreements at an organisation level. Email sighted from University of Newcastle Infrastructure and Facility Services Resources Division stating satisfactory arrangements for supply of water and electricity. Response identifies that a new gas contract will be required to cater for additional consumption by the Bioresources Facility.	Compliant	
<b>Community Communication Strategy</b>					
9.	B8	A Community Communication Strategy must be prepared to provide mechanisms to facilitate communication between the Applicant, the relevant Council and the community (including adjoining affected landowners and businesses, and others directly impacted by the development), during the design and construction of the development and for a minimum of 12 months following the completion of construction.	Bioresources Facility Strategic Communications Plan, V8, May 2019 provided. Verified previous audit.	Compliant	
10.	B9	The Community Communication Strategy must: (a) identify people to be consulted during the design and construction phases;	Verified previous audit.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		(b) set out procedures and mechanisms for the regular distribution of accessible information about or relevant to the development; (c) provide for the formation of community-based forums, if required, that focus on key environmental management issues for the development; and (d) set out procedures and mechanisms: (i) through which the community can discuss or provide feedback to the Applicant; (ii) through which the Applicant will respond to enquiries or feedback from the community; and (iii) to resolve any issues and mediate any disputes that may arise in relation to construction; and operation of the development, including disputes regarding rectification or compensation.			
11.	B10	The Community Communications Strategy must be submitted to the Planning Secretary for approval no later than one month before the commencement of any work.	Verified previous audit.	Compliant	
12.	B11	Work for the purposes of the development must not commence until the Community Communication Strategy has been approved by the Planning Secretary, or within another timeframe agreed with the Planning Secretary.	Verified previous audit.	Compliant	
<b>Ecologically Sustainable Development</b>					
13.	B12	Within six months of commencement of construction, the Applicant must register for a minimum 4 star Green Star rating with the Green Building Council Australia and submit evidence of registration to the Certifying Authority, unless otherwise agreed by the Planning Secretary.	Verified previous audit.	Compliant	
<b>Outdoor Lighting</b>					
14.	B13	Prior to commencement of building works, all outdoor lighting within the Subject site must comply with AS 1158.3.1:2005 Lighting for roads and public spaces- Pedestrian area (Category P) lighting - Performance and design requirements	Letter from Pro-Electrical Services Pty Ltd 11/12/19 stating lighting, including externa lighting, complies with BCA and Australian standards.	Compliant	



AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		and AS 4282-1997 Control of the obtrusive effects of outdoor lighting. Details demonstrating compliance with these requirements must be submitted to the satisfaction of the Certifying Authority.	Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4. Construction Certificate CC-4 issued to Department of Planning 17/12/19.		
<b>Access for People with Disabilities</b>					
15.	B14	The works that are the subject of this application must be designed and constructed to provide access and facilities for people with a disability in accordance with the BCA. Prior to the commencement of any work, the Certifying Authority must ensure that evidence of compliance with this condition from an appropriately qualified person is provided and that the requirements are referenced on any certified plans.	Disability and Design Statement – CC4 6/12/19 provided by iAccess Consultants confirming the works as proposed are capable of satisfying the requirements of AS1428:2009. Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4. Construction Certificate CC-4 issued to Department of Planning 17/12/19.	Compliant	
<b>Environmental Management Plan Requirements</b>					
16.	B15	Management plans required under this consent must be prepared in accordance with relevant guidelines, and include: (a) detailed baseline data; (b) details of: (i) the relevant statutory requirements (including any relevant approval, licence or lease conditions); (ii) any relevant limits or performance measures and criteria; and (iii) the specific performance indicators that are proposed to be used to judge the performance of, or guide the implementation of, the development or any management measures; (c) a description of the measures to be implemented to comply with the relevant statutory requirements, limits, or performance measures and criteria; (d) a program to monitor and report on the: (i) impacts and environmental performance of the development;	Management Plans updated following previous audit to address deficiencies identified.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		<ul style="list-style-type: none"> <li>(ii) effectiveness of the management measures set out pursuant to paragraph (c) above;</li> <li>(e) a contingency plan to manage any unpredicted impacts and their consequences and to ensure that ongoing impacts reduce to levels below relevant impact assessment criteria as quickly as possible;</li> <li>(f) a program to investigate and implement ways to improve the environmental performance of the development over time;</li> <li>(g) a protocol for managing and reporting any:               <ul style="list-style-type: none"> <li>(i) incident and any non-compliance (specifically including any exceedance of the impact assessment criteria and performance criteria);</li> <li>(ii) complaint;</li> <li>(iii) failure to comply with statutory requirements; and</li> </ul> </li> <li>(h) a protocol for periodic review of the plan.</li> </ul> <p><i>Note: the Planning Secretary may waive some of these requirements if they are unnecessary or unwarranted for particular management plans</i></p>			
<b>Construction Environmental Management Plan</b>					
17.	B16	<p>Prior to the commencement of construction the Applicant must prepare a Construction Environmental Management Plan (CEMP) and it must include, but not be limited to, the following:</p> <ul style="list-style-type: none"> <li>(a) Details of:               <ul style="list-style-type: none"> <li>(i) hours of work;</li> <li>(ii) 24-hour contact details of site manager;</li> <li>(iii) management of dust and odour to protect the amenity of the neighbourhood;</li> <li>(iv) stormwater control and discharge;</li> <li>(v) measures to ensure that sediment and other materials are not tracked onto the roadway by vehicles leaving the Subject site;</li> <li>(vi) groundwater management plan including measures to prevent groundwater contamination;</li> </ul> </li> </ul>	<p>CEMP provided.</p> <ul style="list-style-type: none"> <li>(i) Section 1.1;</li> <li>(ii) Section 1.2;</li> <li>(iii) Section 1.3;</li> <li>(iv) Section 1.4;</li> <li>(v) Section 1.5;</li> <li>(vi) Section 1.6;</li> <li>(vii) Section 1.7;</li> <li>(viii) Section 1.8;</li> </ul>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		(vii) external lighting in compliance with AS 4282-1997 Control of the obtrusive effects of outdoor lighting; (viii) community consultation and complaints handling (b) Construction Traffic and Pedestrian Management Sub-plan (see Condition B18); (c) Construction Noise and Vibration Management Sub-plan (see Condition B19); (d) Construction Waste Management Sub-plan (see Condition B20); (e) Construction Soil and Water Management Sub-plan (see Condition B21); (f) an unexpected finds protocol for contamination, Aboriginal and non-Aboriginal heritage and associated communications procedure; and (g) waste classification (for materials to be removed) and validation (for materials to remain) be undertaken to confirm the contamination status in these areas of the site.	(b) Construction Traffic and Pedestrian Management ; (c) Construction Noise and Vibration Management Sub-plan (d) Construction Waste Management Sub-plan  (e) Construction Soil and Water Management Sub-plan (f) Section 1.12.  (g) Section 1.11.		
18.	B17	The Applicant must not commence construction of the development until the CEMP is approved by the Certifying Authority and submitted to the Planning Secretary.	Verified previous audit.	Compliant	
19.	B18	The Construction Traffic and Pedestrian Management Sub-plan must address, but not be limited to, the following: (a) be prepared by a suitably qualified and experienced person(s); (b) be prepared in consultation with Council and RMS; (c) detail the measures that are to be implemented to ensure road safety and network efficiency during construction in consideration of potential impacts on general traffic, cyclists and pedestrians and bus services; (d) detail heavy vehicle routes, access and parking arrangements; (e) include a Driver Code of Conduct to:	a. Prepared by SECA Solution. b. Draft report submitted to Newcastle Council 10/05/19, submission to RMS 10/05/19. Submitted for review. No comments received. Report updated 8/08/19 to address findings from initial independent environmental audit. c. Section 2 Construction Activities, Section 4 Traffic Control Plan.  d. Figure 3-1 - Overview of primary heavy vehicle route associated with the construction works	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		<ul style="list-style-type: none"> <li>(i) minimise the impacts of earthworks and construction on the local and regional road network;</li> <li>(ii) minimise conflicts with other road users;</li> <li>(iii) minimise road traffic noise; and</li> <li>(iv) ensure truck drivers use specified routes;</li> <li>(f) include a program to monitor the effectiveness of these measures; and</li> <li>(g) if necessary, detail procedures for notifying residents and the community (including local schools), of any potential disruptions to routes.</li> </ul>	<p>e. Driver Code of Conduct included in Appendix D</p> <p>f. Section 4.6 (d) – Records (Job Docket Risk Assessment from Evolution Traffic Control) were available to demonstrate that inspections of traffic control measures were conducted.</p> <p>g. Section 2.3 states residents will be notified at least 48 hours prior to commencement of out of hours works. Works are conducted wholly within the UoN campus, hence there are no affected community or residents. Weekly meetings with UoN.</p>		
20.	B19	<p>The Construction Noise and Vibration Management Sub-plan must address, but not be limited to, the following:</p> <ul style="list-style-type: none"> <li>(a) be prepared by a suitably qualified and experienced noise expert;</li> <li>(b) incorporate recommendations of the Noise and Vibration Impact Assessment dated August 2018 and prepared by Muller Acoustic Consulting</li> <li>(c) describe procedures for achieving the noise management levels in EPA's Interim Construction Noise Guideline (DECC, 2009);</li> <li>(d) outline how noise and vibration impacts would be monitored during construction</li> <li>(e) describe the measures to be implemented to manage high noise generating works such as piling, in close proximity to sensitive receivers;</li> <li>(f) include strategies that have been developed with the community for managing high noise generating works; and</li> <li>(g) describe the community consultation undertaken to develop the strategies; and</li> <li>(h) include a complaints management system that would be implemented for the duration of the construction.</li> </ul>	<ul style="list-style-type: none"> <li>a. Prepared by Muller Acoustic Consulting, AC190862NMP1V2 25 July 2019.</li> <li>b. Verified</li> <li>c. Section 5 – Noise mitigation of construction activities. 5.1 Noise Management Recommendations</li> <li>d. 5.4 – Noise and Vibration Monitoring; 5.6 Attended Noise Monitoring</li> <li>e. Undertake noise intensive construction or demolition activities outside of campus hours, or in holiday periods where practicable and feasible.</li> <li>f. Section 6.6.</li> <li>g. Reference to Report MAC170588RP1 for results of Community consultation undertaken.</li> <li>h. Section 5.2.2 Complaints Handling</li> </ul>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
21.	B20	<p>The Construction Waste Management Sub-plan must address, but not be limited to, the following:</p> <ul style="list-style-type: none"> <li>(a) detail the quantities of each waste type generated during construction and the proposed reuse, recycling and disposal locations;</li> <li>(b) removal of hazardous materials, particularly the method of containment and control of emission of fibres to the air, and disposal at an approved waste disposal facilities in accordance with the requirements of the relevant legislation, codes, standards and guideline, prior to the commencement of any building works.</li> </ul>	<p>UoN Bioresources 1167 Construction Waste Management Plan Dated 20 April 2019.</p> <p>Plan updated 20/08/19 to address findings from initial independent environmental audit.</p> <ul style="list-style-type: none"> <li>a. Section 4 – Estimated quantities</li> <li>Section 2 – RCC Objectives and Targets identifies proposed reuse, recycling options.</li> <li>b. Section 2 – Demolition Plan identifies asbestos to be removed in accordance with WHS Act and Regulation and EPA requirements.</li> </ul> <p>Lead paints and dusts to be removed using sanding and vacuuming. Waste contained in sealed plastic bags for disposal.</p> <p>Daily inspections by the Site Manager.</p> <p><b>Opportunity for Improvement - Noted that the Waste management plan requires signs to be provided for all waste containers for waste segregation. Waste signs should be displayed to show what types of waste can be disposed of in waste bins.</b></p>	Compliant	OFI-01
22.	B21	<p>The Construction Soil and Water Management Sub-plan must address, but not be limited to, the following:</p> <ul style="list-style-type: none"> <li>(a) be prepared by a suitably qualified expert, in consultation with Council;</li> <li>(b) describe all erosion and sediment controls to be implemented during construction;</li> <li>(c) provide a plan of how all construction works will be managed in wet weather events (i.e. storage of equipment, stabilisation of the Site);</li> <li>(d) detail all off-Site flows from the Site; and</li> <li>(e) describe the measures that must be implemented to manage stormwater and flood flows for small and large</li> </ul>	<ul style="list-style-type: none"> <li>a. Report prepared by Bear Melvey of RCC, in consultation with Northrup Engineers and Newcastle City Council (Sighted email 14/11/19 to Council).</li> <li>b. Erosion and Sediment Controls plans prepared by Northrup.</li> <li>c. Section 1.4 – Measures against storms.</li> <li>d. Erosion and Sediment Controls plans prepared by Northrup.</li> <li>e. Section 1.4 Stormwater control and discharge.</li> </ul>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		sized events, including, but not limited to 1 in 1 year ARI, 1 in 5 year ARI and 1 in 100 year ARI.			
<b>Unexpected Contamination Procedure</b>					
23.	B22	Prior to the commencement of earthworks, the Applicant must prepare an unexpected contamination procedure to ensure that potentially contaminated material (including asbestos containing materials and lead based paint) is appropriately managed. The procedure must form part of the of the CEMP in accordance with condition 816 and must ensure any material identified as contaminated must be disposed off-site, with the disposal location and results of testing submitted to the Planning Secretary, prior to its removal from the site.	<p>Section 1.12 of the CEMP.</p> <p>Unexpected find- Asbestos in soil – site closed 14/06/19. Identified as friable by Occupational Hygienist.</p> <p>Demolition Contractor SEMEX Asbestos Removal Control Plan provided.</p> <p>Material disposed to Summerhill Waste Management Facility.</p> <p>Records of waste certificates and tracking verified.</p> <p>All undertaken by DEMEX.</p> <p>Sighted 24/06/19 – ACM to Summerhill, 3 deliveries for Vehicle CH86DY. E.g. Delivery docket No – 30069309-SH.</p>	Compliant	
<b>Construction Parking</b>					
24.	B23	Prior to the commencement of construction, the Applicant must demonstrate to the satisfaction of the Certifying Authority that sufficient off-street parking has been provided for heavy vehicles and for site personnel, to ensure that construction traffic associated with the development does not utilise on-street parking or public parking facilities.	Verified previous audit	Compliant	
<b>Roof Water to Tank</b>					
25.	B24	Roof water from the proposed new work is to be directed to the proposed rainwater tank and be reticulated there from to toilet water cisterns, cold water washing machine taps and irrigation for landscaping, with a mains water top up being installed to maintain between 10% and 15% of the tank capacity. Alternatively, an electronically activated mechanical valve device is to be installed to switch cisterns, laundry taps and	Verified previous audit.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		irrigation to mains water when the tank falls below 10% capacity. The water tank and plumbing is to be installed in accordance with Australian Standard AS3500, the relevant plumbing regulations and the requirements of the Hunter Water Corporation. Full details are to be submitted to the satisfaction of the Certifying Authority prior to commencement of work.			
<b>Rainwater Tank Water Quality</b>					
26.	B25	All downpipes discharging to the rainwater tanks are to have pre-storage insect, debris and vermin control (e.g. a rainwater head being leaf screened and vermin and insect proof) to minimise the contamination of captured roof water A first flush device is to be provided for the inlet to the tank and a backflow prevention device is to be installed in the tank overflow outlet before connecting to the stormwater drainage system. If the roof downpipes are charged to the rainwater tank, all pipes are to be chemically welded and the stormwater system is to be designed such that the system is capable of being flushed in the event of a pipe blockage (e.g. capped relief access points at the lowest level stormwater drainage). Full details are to be submitted to the satisfaction of the Certifying Authority prior to commencement of work.	Verified previous audit	Compliant	




AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Stormwater Management</b>					
27.	B26	<p>Prior to the commencement of construction, the Applicant must design a stormwater management system for the development and submit it to the satisfaction of the Certifying Authority. The system must:</p> <ul style="list-style-type: none"> <li>(a) be designed by a suitably qualified and experienced person(s);</li> <li>(b) be generally in accordance with the conceptual design in the EIS;</li> <li>(c) demonstrate the three pits which are located at the end of the stormwater drainage lines (two along the western property and one at the north eastern corner) before the discharge outlet location (KIP on existing road) are fitted with pit inserts (SPEL StormSack or similar);</li> <li>(d) be in accordance with applicable Australian Standards; and</li> <li>(e) be in accordance with the requirements of Section 7.06 'Stormwater' of the Newcastle Development Control Plan 2012.</li> </ul>	<p>Design by Northrup Engineers. Design and implementation of the stormwater management system included to Construction Certificate 2, dated 16/07/19.</p>	Compliant	
28.	B27	<p>Stormwater is to be conveyed to the existing property stormwater drains by way of a sealed pipe system. Prior to commencement of works, the existing drains are to be checked for adequacy and cleared of any obstructions.</p>	Verified previous audit.	Compliant	



AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Operational Noise – Design of Mechanical Plant and Equipment</b>					
29.	B28	Prior to the commencement of construction, the Applicant must incorporate the noise mitigation recommendations of the Noise and Vibration Assessment dated 6 August 2018 by Muller Acoustic Consulting, into the detailed design drawings. The Certifying Authority must verify that all reasonable and feasible noise mitigation measures have been incorporated into the design to ensure the development will not exceed the recommended operational noise levels identified in Noise and Vibration Assessment.	Review of Noise Management Plan by Marshall Day Acoustics. Letter 13/12/19 reporting that the IFC documents comply with acoustic requirements. Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4. Construction Certificate CC-4 issued to Department of Planning 17/12/19.	Compliant	
<b>Mechanical Ventilation</b>					
30.	B29	All mechanical ventilation systems must be installed in accordance with Part F4.5 of the 8CA and must comply with the AS 1668.2-2012 <i>The use of air-conditioning in buildings - Mechanical ventilation in buildings</i> and AS/NZS 3666.1:2011 <i>Air handling and water systems of buildings-Microbial control</i> to ensure adequate levels of health and amenity to the occupants of the building and to ensure environment protection. Details must be submitted to the satisfaction of the Certifying Authority prior to the commencement of building works.	Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4. Construction Certificate CC-4 issued to Department of Planning 17/12/19.	Compliant	
<b>Compliance Reporting</b>					
31.	B30	No later than two weeks before the date notified for the commencement of construction, a Compliance Monitoring and Reporting Program prepared in accordance with the Compliance Reporting Post Approval Requirements (Department 2018) must be submitted to the Department and the Certifying Authority.	Verified previous audit.	Compliant	
32.	B31	Compliance Reports of the project must be carried out in accordance with the Compliance Reporting Post Approval Requirements (Department 2018).	Pre-Construction Compliance Report submitted to DPIE on 19/9/19. DPIE provide acceptance letter of the Pre-Construction Compliance Report on 3/12/19.	<b>Not Compliant</b>	<b>NC-03</b>

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
			<p><b>The initial 6 month Construction Compliance Report not submitted at this stage. Approval provided by DPI&amp;E for initial Construction Compliance Report to be submitted prior to 15/01/2020.</b></p> <p>Submitted 16/01/2020.</p>		
33.	B32	<p>The Applicant must make each Compliance Report publicly available 60 days after submitting it to the Department and notify the Department and the Certifying Authority in writing when this has been done.</p>	<p>Preconstruction Compliance Report available on website.</p> <p>Initial Construction Compliance Report currently being completed.</p>	Compliant	
34.	B33	<p>Notwithstanding the requirements of the Compliance Reporting Post Approval Requirements (Department 2018), the Planning Secretary may approve a request for ongoing annual operational compliance reports to be ceased, where it has been demonstrated to the Planning Secretary's satisfaction that an operational compliance report has demonstrated operational compliance.</p>	<p>Currently in construction stage.</p>	Not Triggered	
<b>Reflectivity</b>					
35.	B34	<p>The building materials used on the facades of the buildings must be designed so as not to result in glare that causes any discomfort or threatens the safety of pedestrians or drivers. A statement demonstrating compliance with these requirements must be submitted to the satisfaction of the Certifying Authority prior to the commencement of above ground building works.</p>	<p>Letter from G James Australia Pty Ltd providing verification that glass types used were below the 20% maximum visible light reflectance values set by most local authorities.</p> <p>Submitted to certifying authority as part of BCA Crown Certificate 19-030-CR4.</p> <p>Construction Certificate CC-4 issued to Department of Planning 17/12/19.</p>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Ecological and Biodiversity Measures</b>					
36.	B35	Prior to the commencement of construction, relevant recommendations of the Ecological Assessment Report, Dated April 2018 and prepared by Anderson Environment and Planning are to be implemented, including contribution of funds to the University's bushland regeneration budget and installation of 15 nest boxes.	Verified previous audit.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>PART C – DURING CONSTRUCTION</b>					
<b>Approved Plans to be On-site</b>					
37.	C1	A copy of the approved and certified plans, specifications and documents incorporating conditions of approval and certification must be kept on the Site at all times and must be readily available for perusal by any officer of the Department, Council or the Certifying Authority.	Copies of plans available on site. Specifications, documents and conditions of approval are available on site electronically through Aconex and on the company 'Q' drive.	Compliant	
<b>Site Notice</b>					
38.	C2	<p>A site notice(s):</p> <ul style="list-style-type: none"> <li>(a) must be prominently displayed at the boundaries of the Subject site for the purposes of informing the public of project details including, but not limited to the details of the Builder, Certifying Authority and Structural Engineer.</li> <li>(b) is to satisfy all but not be limited to, the following requirements: <ul style="list-style-type: none"> <li>(i) minimum dimensions of the notice must measure 841 mm x 594 mm (A1) with any text on the notice to be a minimum of 30-point type size;</li> <li>(ii) the notice is to be durable and weatherproof and is to be displayed throughout the works period;</li> <li>(iii) the approved hours of work, the name of the site/ project manager, the responsible managing company (if any), its address and 24-hour contact phone number for any inquiries, including construction/ noise complaint must be displayed on the site notice; and</li> <li>(iv) the notice(s) is to be mounted at eye level on the perimeter hoardings/fencing and is to state that</li> </ul> </li> </ul>	<p>Site notice provided. 800mm x 1200mm. Separate sign provided for certifying authority.</p>  <p>Separate sign provided for certifier.</p>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		unauthorised entry to the Subject site is not permitted.			
<b>Operation of Plant and Equipment</b>					
39.	C3	All plant and equipment used on site, or to monitor the performance of the development must be: <ul style="list-style-type: none"> <li>(a) maintained in a proper and efficient condition; and</li> <li>(b) operated in a proper and efficient manner.</li> </ul>	Daily prestart inspections conducted. Stickers placed on plant with monthly checks required. Plant and Equipment Register maintained. Plant risk assessment and maintenance records obtained and 25.3 – Plant and Equipment Induction checklist completed. Sighted for: Plant 025 – Concrete Boom Pump; Plant No 063 – Forklift; and Plant No 39 – Telehandler. Noted records were provided in both soft and hard copy, with soft copy records maintained	Compliant	
<b>Demolition</b>					
40.	C4	Demolition work must comply with <i>Australian Standard AS 2601-2001</i> The demolition of structures (Standards Australia, 2001). The work plans required by AS 2601-2001 must be accompanied by a written statement from a suitably qualified person that the proposals contained in the work plan comply with the safety requirements of the Standard. The work plans and the statement of compliance must be submitted to the Certifying Authority before the commencement of works.	Verified previous audit. Demolition works completed.	Compliant	
<b>Construction Hours</b>					
41.	C5	Construction, including the delivery of materials to and from the site, may only be carried out between the following hours: <ul style="list-style-type: none"> <li>(a) between 7am and 6pm, Mondays to Fridays inclusive; and</li> </ul>	Current site work hours 7am to 6pm.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		(b) between 8am and 1pm, Saturdays. No work may be carried out on Sundays or public holidays.	Site induction identifies site hours as 7am and 6pm, Mondays to Fridays and between 8am and 1pm, Saturdays		
42.	C6	Activities may be undertaken outside of the hours in condition C5 if required: <ul style="list-style-type: none"> <li>(a) by the Police or a public authority for the delivery of vehicles, plant or materials; or</li> <li>(b) in an emergency to avoid the loss of life, damage to property and/or to prevent environmental harm; or</li> <li>(c) where the works are inaudible at the nearest sensitive receivers; or</li> <li>(d) where a variation is approved in advance in writing by the Secretary or her nominee if appropriate justification is provided for the works.</li> </ul> Notification of such activities must be given to affected residents before undertaking the activities or as soon as is practical afterwards.	No instances where activities outside of nominated work hours have occurred.	Not Triggered	
43.	C7	Rock breaking, rock hammering, sheet piling, pile driving and similar activities may only be carried out between the following hours: <ul style="list-style-type: none"> <li>(a) 9am to 12pm, Monday to Friday;</li> <li>(b) 2pm to 5pm Monday to Friday; and</li> <li>(c) 9am to 12pm, Saturday.</li> </ul>	No rock breaking, rock hammering, sheet piling, pile driving or similar activities have been conducted. Bored piles installed.	Not Triggered	
<b>Implementation of Management Plans</b>					
44.	C8	The Applicant must carry out the construction of the development in accordance with the most recent version of the approved CEMP (including Sub-Plans).	Current versions of the management plans were available on site. Works were being conducted in accordance with the management plans.	Compliant	
45.	C9	If directed by RMS, the Applicant must make changes to the Construction Traffic and Pedestrian Management sub-plan as accordance with RMS directions in order to maintain road safety and network efficiency.	Reported that no directions have been received from RMS to make changes to the Construction Traffic and Pedestrian Management sub-plan.	Not Triggered	

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<b>Construction Traffic</b>					
46.	C10	All construction vehicles are to be contained wholly within the Site, except if located in an approved on street work zone, and vehicles must enter the Site before stopping.	Vehicle movement plan provided for the site. Parking provided for construction workers on the campus site. During the site inspection, construction vehicles contained within site or areas approved by the principal.	Compliant	
<b>Road Occupancy Licence</b>					
47.	C11	A Road Occupancy Licence must be obtained from the relevant transport authority for any works that impact on traffic flows during construction activities.	Not required for the works being conducted (wholly within the UoN Campus)	Not Triggered	
<b>SafeWork Requirements</b>					
48.	C12	To protect the safety of work personnel and the public, the work site must be adequately secured to prevent access by unauthorised personnel, and work must be conducted at all times in accordance with relevant SafeWork requirements.	Site security fencing has been provided. The whole site had been fenced to prevent unauthorised access. Locks had been provided for entries to the site.	Compliant	
<b>Hoarding Requirements</b>					
49.	C13	The following hoarding requirements must be complied with: (a) no third-party advertising is permitted to be displayed on the subject hoarding/ fencing; (b) the construction site manager must be responsible for the removal of all graffiti from any construction hoardings or the like within the construction area within 48 hours of its application; and (c) the Applicant must submit a hoarding application to Council for the installation of any hoardings over Council footways or road reserve.	No third party signs or graffiti were present on hoardings sighted. Hoardings were not provided over Council footways or road reserves.	Compliant	




AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>No Obstruction of Public Way</b>					
50.	C14	The public way (outside of any construction works zone) must not be obstructed by any materials, vehicles, refuse, skips or the like, under and circumstances. Non-compliance with this requirement will result in the issue of a notice by the relevant Authority to stop all works on site.	During the audit, no public ways were being obstructed. All materials and equipment were stored within the site compound.	Compliant	
<b>Construction Noise Limits</b>					
51.	C15	The development must be constructed to achieve the construction noise management levels detailed in the <i>Interim Construction Noise Guideline</i> (DECC, 2009). All feasible and reasonable noise mitigation measures must be implemented and any activities that could exceed the construction noise management levels must be identified and managed in accordance with the management and mitigation measures identified in the approved Construction Noise and Vibration Management Plan	Noise Management Plan developed and implemented for the project. Noise monitoring conducted at the nearest sensitive receiver. While No complaints regarding noise have been received.	Compliant	
52.	C16	The Applicant must ensure construction vehicles (including concrete agitator trucks) do not arrive at the Subject site or surrounding residential precincts outside of the construction hours of work outlined under condition C5.	All deliveries are required to be booked in with RCC to allow coordination with works on site. Requirements included in site induction and contractor agreements.	Compliant	
53.	C17	The Applicant must implement, where practicable and without compromising the safety of construction staff or members of the public, the use audible movement alarms of a type that would minimise noise impacts on surrounding noise sensitive receivers.	Plant precommencement inspections include verification of audible movement alarms. Checked daily during prestart inspections of plant.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
54.	C18	Any noise generated during construction of the development must not be offensive noise within the meaning of the Protection of the Environment Operations Act 1997 or exceed approved noise limits for the subject site.	<p>Noise monitoring conducted at the nearest sensitive receiver (Medical Sciences West building).</p> <p>Monitor sends alerts when identified noise levels are exceeded.</p> <p>Email from site manager sighted to show alerts had been investigated and noise sources identified.</p> <p>Noise monitoring has not identified any long term exceedances of NMLs.</p> <p>No complaints have been received in relation to noise levels.</p>	Compliant	
<b>Vibration Criteria</b>					
55.	C19	<p>Vibration caused by construction at any residence or structure outside the site must be limited to:</p> <p>(a) for structural damage, the latest version of <i>DIN 4150-3 (1992-02) Structural vibration - Effects of vibration on structures</i> (German Institute for Standardisation, 1999); and</p> <p>(b) for human exposure, the acceptable vibration values set out in the <i>Environmental Noise Management Assessing Vibration: a technical guideline</i> (DEC, 2006) (as may be updated or replaced from time to time).</p>	<p>No residential buildings within 30m of the worksite.</p> <p>One sensitive receiver in close proximity to the works. Continuous vibration monitoring conducted in close proximity to the building.</p> <p>Vibration monitoring conducted by consultant – Muller Acoustic Consultants.</p> <p>An alert is sent to the site manager if an exceedance of the vibration limits is recorded to enable a quick response.</p> <p>No exceedances of vibration criteria had been recorded since the previous audit.</p>	Compliant	
56.	C20	Vibratory compactors must not be used closer than 30 metres from residential buildings unless vibration monitoring confirms compliance with the vibration criteria specified in condition C19.	<p>Continuous vibration monitoring conducted. NVMP requires that where vibration exceeds site limits, works will be stopped or modified to reduce impact.</p> <p>Vibration limits had not been exceeded, and no vibration complaints had been received.</p>	Compliant	
57.	C21	The limits in Condition C19 and C20 apply unless otherwise outlined in a Construction Noise and Vibration Management Plan, approved as part of the CEMP required by Condition B17 of this consent.	Construction Noise and Vibration Management Plan had been submitted and approved.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Contamination</b>					
58.	C22	<p>Following the relocation or demolition of any existing structures, infrastructure and in ground utilities, and excavation works, the Applicant is to carry out further investigation of soil contamination (including within the footprint and immediate surrounds of those structures, infrastructures and utilities prior to undertaking any construction) to address any contamination with regard to the following:</p> <ul style="list-style-type: none"> <li>(a) NSW EPA Sampling Design Guidelines;</li> <li>(b) Guidelines for the NSW Site Auditor Scheme (3rd edition) 2017;</li> <li>(c) Guidelines for Consultants Reporting on Contamination Sites, 2011; and</li> <li>(d) The National Environment Protection (Assessment of Contamination) Measure.</li> </ul>	<p>Asbestos found in fill material used on site. Deemed friable</p> <p>DEMEX provided an Asbestos Removal Control Plan 17/06/19 for removal of asbestos contaminated soil.</p> <p>Occupational Hygienist – Practical Environmental Solutions engaged to supervise works.</p> <p>Waste register maintained.</p> <p>Validation Report for Remediation of Contaminated Soil – Practical Environmental Solutions, September 2019 sighted.</p>	Compliant	
59.	C23	<p>Any contaminated material identified as a result of the above investigations is to be removed in accordance with the guidelines in condition C22 and the unexpected contamination procedure required by condition B22.</p>	<p>Asbestos removed from site by DEMEX.</p> <p>Records of loads being taken to Summerhill Waste Management Facility sighted.</p> <p>Removal works between 22/05/19 to 27/06/19.</p> <p>Asbestos clearance certificate sighted – provided 27/05/19.</p> <p>Waste records maintained by DEMEX.</p>	Compliant	
60.	C24	<p>A site auditor accredited under the Contaminated Land Management Act 1997 is to be engaged to review the adequacy of the site investigations and actions taken to address contamination in accordance with condition C22 and condition B22.</p>	<p>Validation Report for Remediation of Contaminated Soil – Practical Environmental Solutions, September 2019 sighted.</p> <p>Ramboll had been engaged to undertake review of the adequacy of the site investigation. Report not available at time of audit.</p>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Tree Protection</b>					
61.	C25	For the duration of the construction works: <ul style="list-style-type: none"> <li>(a) all trees on the Subject site that are not approved for removal must be suitably protected during construction in accordance with AS 4970 2009: Protection of trees on development sites; and</li> <li>(b) if access to the area within any protective barrier is required during the works, it must be carried out under the supervision of a qualified arborist. Alternative tree protection measures must be installed, as required. The removal of tree protection measures, following completion of the works, must be carried out under the supervision of a qualified arborist and must avoid both direct mechanical injury to the structure of the tree and soil compaction within the canopy or the limit of the former protective fencing, whichever is the greater.</li> </ul>	All trees remaining are not within the works area. The work area had been delineated by the site security fencing. No access to the area within any protective barrier has been required during the works.	Compliant	
<b>Tree Removal</b>					
62.	C26	An experienced and qualified ecologist is to be on site to supervise tree felling and to manage any displaced fauna on site during tree felling of any tree with habitat features.	Report from RPA sighted for removal of trees. Shows ecologist on site for the works Closed out by certifier 3/06/19	Compliant	
<b>Dust Minimisation</b>					
63.	C27	The Applicant must take all reasonable steps to minimise dust generated during all works authorised by this consent.	Dust mitigation measures included in Appendix 4b - Environmental Actions and Monitoring Table. Concrete grinding being conducted. Vacuum used to collect dust generated.	Compliant	
64.	C27	During construction, the Applicant must ensure that: <ul style="list-style-type: none"> <li>(a) exposed surfaces and stockpiles are suppressed by regular watering;</li> </ul>	Minimal areas of exposed surfaces on site. Noted that some areas had been covered with concrete to minimise dust and erosion potential.	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		(b) all trucks entering or leaving the site with loads have their loads covered; (c) trucks associated with the development do not track dirt onto the public road network; (d) public roads used by these trucks are kept clean; and (e) land stabilisation works are carried out progressively on site to minimise exposed surfaces.			
<b>Erosion and Sediment Control</b>					
65.	C29	All erosion and sediment control measures, must be effectively implemented and maintained at or above design capacity for the duration of the construction works and until such time as all ground disturbed by the works have been stabilised and rehabilitated so that it no longer acts as a source of sediment.	Erosion and sediment controls had been established. 	Compliant	
<b>Imported Soil</b>					

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
66.	C30	The Applicant must ensure that only VENM, ENM, or other material approved in writing by the EPA is brought onto the site and keep accurate records of the volume and type of fill used.	No material has been imported to the site.	Not Triggered	
<b>Disposal of Seepage and Stormwater</b>					
67.	C31	Any seepage or rainwater collected on-site during construction or groundwater must not be pumped to the street stormwater system unless separate prior approval is given in writing by the Environment Protection Authority in accordance with the <i>Protection of the Environment Operations Act 1997</i> .	Reported that no water has been removed from site. SWMP identifies that water collected on site will be tested for turbidity and discharged. <b>Opportunity for Improvement - Noted that approval from the EPA for disposal to the street stormwater system has not been obtained.</b>	Compliant	OFI-02
<b>Unexpected Finds Protocol – Aboriginal Heritage</b>					
68.	C32	In the event that surface disturbance identifies a new Aboriginal object, all works must halt in the immediate area to prevent any further impacts to the object(s). A suitably qualified archaeologist and the registered Aboriginal representatives must be contacted to determine the significance of the objects. The Site is to be registered in the Aboriginal Heritage Information Management System (AHIMS) which is managed by OEH and the management outcome for the Site included in the information provided to AHIMS. The Applicant must consult with the Aboriginal community representatives, the archaeologists and OEH to develop and implement management strategies for all objects/Sites. Works shall only recommence with the written approval of OEH.	No aboriginal objects have been identified	Not Triggered	
<b>Unexpected Finds Protocol – Historic Heritage</b>					
69.	C33	If any unexpected archaeological relics are uncovered during the work, then all works must cease immediately in that area and the OEH Heritage Division contacted. Depending on the possible significance of the relics, an archaeological assessment and management strategy may be required before	No archaeological relics have been discovered.	Not Triggered	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		further works can continue in that area. Works may only recommence with the written approval of Heritage Division of the Office of Environment and Heritage.			
<b>Waste Storage and Processing</b>					
70.	C34	Waste must be secured and maintained within designated waste storage areas at all times and must not leave the site onto neighbouring public or private properties.	Waste storage bins have been provided. Putrescible waste stored in a covered bin.	Compliant	
71.	C35	All waste generated during construction (including excavated material being removed from the site) must be assess, classified and managed in accordance with the <i>Waste Classification Guidelines Part 1: Classifying Waste</i> (EPA, 2014).	Asbestos contaminated waste removed from site. Transport dockets sighted showing delivery to Summerhill Waste Management Facility by Demex. E.g. 24/06/19 11.58T at 8.50.57am. Asbestos Clearance Certificate provided. Validation Report for Remediation of Contaminated Soil – Practical Environmental Solutions, September 2019 sighted	Compliant	
72.	C36	The body of any vehicle or trailer used to transport waste or excavation spoil must be covered before leaving the premises to prevent any spillage or escape of any dust, waste of spoil. Mud, splatter, dust and other material likely to fall from or be cast off the wheels, underside or body of any vehicle, trailer or motorised plant leaving the site must be removed before leaving the premises.	Waste transported from site by waste contractor in skip bins.	Compliant	
73.	C37	The Applicant must ensure that concrete waste and rinse water are not disposed of on the Subject site and are prevented from entering any natural or artificial watercourse.	Concrete waste was reported to be returned to the batching plant for disposal. No washing of concrete lines was permitted on site. Concrete bin provided for excess concrete which cannot be returned to supplier (e.g. excess material in concrete lines). Removed from site by waste contractor.	Compliant	



AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Handling of Asbestos</b>					
74.	C38	The Applicant is to consult with SafeWork NSW concerning the handling of any asbestos waste that may be encountered during construction. The requirements of the Protection of the <i>Environment Operations (Waste) Regulation 2014</i> with particular reference to Part 7- 'Transportation and management of asbestos waste' must also be complied with.	Clearance certificate provided by Hygienist which verifies that asbestos waste was removed in accordance with SafeWork NSW and may be encountered during construction. The requirements of the Protection of the <i>Environment Operations (Waste) Regulation 2014</i> requirements.	Compliant	
<b>Incident Notification, Reporting and Response</b>					
75.	C39	The Department must be notified in writing to <a href="mailto:compliance@planning.nsw.gov.au">compliance@planning.nsw.gov.au</a> immediately after the Applicant becomes aware of an incident. The notification must identify the development (including the development application number and the name of the development if it has one), and set out the location and nature of the incident. Subsequent notification must be given and reports submitted in accordance with the requirements set out in <b>Appendix 1</b> .	No incidents have been recorded for the site at the time of audit.	Not Triggered	
<b>Non-Compliance Notification</b>					
76.	C40	The Department must be notified in writing to <a href="mailto:compliance@planning.nsw.gov.au">compliance@planning.nsw.gov.au</a> within seven days after the Applicant becomes aware of any non-compliance. The Certifying Authority must also notify the Department in writing to <a href="mailto:compliance@planning.nsw.gov.au">compliance@planning.nsw.gov.au</a> within seven days after they identify any non-compliance. The notification must identify the development and the application number for it, set out the condition of consent that the development is non-compliant with, the way in which it does not comply and the reasons for the non-compliance (if known) and what actions have been, or will be, undertaken to address the non-compliance.	Non-compliances raised in previous audit notified to the department via submission of audit report. No other non-compliances had been identified.	Not Triggered	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		A non-compliance which has been notified as an incident does not need to also be notified as a non-compliance.			
<b>Revision of Strategies, Plans and Programs</b>					
77.	C41	<p>Within three months of:</p> <ul style="list-style-type: none"> <li>(a) the submission of a compliance report under condition B30;</li> <li>(b) the submission of an incident report under condition C39;</li> <li>(c) the submission of an Independent Audit under condition C44;</li> <li>(d) the approval of any modification of the conditions of this consent; or</li> <li>(e) the issue of a direction of the Planning Secretary under condition A3 which requires a review,</li> </ul> <p>the strategies, plans and programs required under this consent must be reviewed, and the Department must be notified in writing that a review is being carried out.</p>	<p>Audit report submitted 20/09/19.</p> <p>Updated Construction Soil &amp; Water Management Plan, B19 – Construction Noise &amp; Vibration Management Plan and B16 – Construction Environmental Management Plan submitted to DPI&amp;E and Independent Certifier on 14/11/19.</p> <p>CEMP includes:</p> <ul style="list-style-type: none"> <li>2.1 Soil &amp; Water Management Plan</li> <li>2.2. Construction Traffic &amp; Pedestrian Management Plan</li> <li>2.3. Noise &amp; Vibration Management Plan</li> <li>2.4. Waste Management Plan</li> </ul>	Compliant	
78.	C42	<p>If necessary to either improve the environmental performance of the development, cater for a modification or comply with a direction, the strategies, plans and programs required under this consent must be revised, to the satisfaction of the Certifying Authority. Where revisions are required, the revised document must be submitted to the Planning Secretary for information within six weeks of the review.</p> <p><i>Note: This is to ensure strategies, plans and programs are updated on a regular basis and to incorporate any recommended measures to improve the environmental performance of the development</i></p>		Not Triggered	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>Independent Environmental Audit</b>					
79.	C43	Proposed independent auditors must be agreed to in writing by the Planning Secretary prior to the preparation of an Independent Audit Program or commencement of an Independent Audit.	Verified previous audit	Compliant	
80.	C44	No later than four weeks before the date notified for the commencement of construction an Independent Audit Program prepared in accordance with the Independent Audit Post Approval Requirements (Department 2018) must be submitted to the Department and the Certifying Authority.	Verified previous audit	Compliant	
81.	C45	<p>Table 1 of the Independent Audit Post Approval Requirements (Department 2018) is amended so that the frequency of audits required during the construction phase is:</p> <ul style="list-style-type: none"> <li>(a) An initial construction Independent Audit must be undertaken within eight weeks of the notified commencement date of construction; and</li> <li>(b) A subsequent Independent Audit of construction must be undertaken no later than six months from the date of the initial construction Independent Audit.</li> </ul> <p>In all other respects, Table 1 remains the same. The Planning Secretary may require the initial and subsequent Independent Audits to be undertaken at different times to those specified above, upon giving at least four weeks' notice to the applicant of the date upon which the audit must be commenced.</p>	<p>Independent audit program requires audits in compliance with these requirements.</p> <p>Initial audit conducted 4/07/19.</p> <p>Second audit conducted 7/01/20. Audit to be completed by 31/01/2020.</p>	Compliant	
82.	C46	<p>Independent Audits of the development must be carried out in accordance with:</p> <ul style="list-style-type: none"> <li>(a) the Independent Audit Program submitted to the Department and the Certifying Authority under condition C44 of this consent; and</li> <li>(b) the requirements for an Independent Audit Methodology and Independent Audit Report in the</li> </ul>	<p>Initial independent audit conducted by James Hart of AQUAS on 4/07/19 and 19/07/19, which included Conditions of consent parts A, B and C accordance with the conditions consent and requirements for an Independent Audit Methodology and Independent Audit Report in the Independent Audit Post Approval Requirements (Department 2018).</p>	Compliant	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
		Independent Audit Post Approval Requirements (Department 2018).			
83.	C47	<p>In accordance with the specific requirements in the Independent Audit Post Approval Requirements (Department 2018), the Applicant must:</p> <ul style="list-style-type: none"> <li>(a) review and respond to each Independent Audit Report prepared under condition C44 of this consent;</li> <li>(b) submit the response to the Department and the Certifying Authority; and</li> <li>(c) make each Independent Audit Report and response to it publicly available within 60 days after submission to the Department and notify the Department and the Certifying Authority in writing when this has been done.</li> </ul>	<p>Audit conducted 4/07/19 and 19/07/19. Final audit report provided 16/09/19. Submitted to DPI&amp;E 20/09/19. Proponents' response to recommendations provided to DPI&amp;E 20/09/19. Response provided to DPI&amp;E 14/11/19. Audit report available on website.</p>	Compliant	
84.	C48	Notwithstanding the requirements of the Independent Audit Post Approval Requirements (Department 2018), the Planning Secretary, may approve a request for ongoing annual operational audits to be ceased, where it has been demonstrated to the Planning Secretary's satisfaction that an audit has demonstrated operational compliance.	Not applicable at this stage of the project.	Not Triggered	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
<b>APPENDIX 1 – INCIDENT NOTIFICATION AND REPORTING REQUIREMENTS</b>					
<b>WRITTEN INCIDENT NOTIFICATION REQUIREMENTS</b>					
85.	1	A written incident notification addressing the requirements set out below must be emailed to the Department at the following address: <a href="mailto:compliance@planning.nsw.qov.au">compliance@planning.nsw.qov.au</a> within seven days after the Applicant becomes aware of an incident. Notification is required to be given under this condition even if the Applicant fails to give the notification required under condition C40 or, having given such notification, subsequently forms the view that an incident has not occurred.	It was reported that no incidents have occurred on the project.	Not Triggered	
86.	2	Written notification of an incident must: <ol style="list-style-type: none"> <li>a. identify the development and application number;</li> <li>b. provide details of the incident (date, time, location, a brief description of what occurred and why it is classified as an incident);</li> <li>c. identify how the incident was detected;</li> <li>d. identify when the applicant became aware of the incident;</li> <li>e. identify any actual or potential non-compliance with conditions of consent;</li> <li>f. describe what immediate steps were taken in relation to the incident;</li> <li>g. identify further action(s) that will be taken in relation to the incident; and</li> <li>h. identify a project contact for further communication regarding the incident.</li> </ol>	It was reported that no incidents have occurred on the project.	Not Triggered	
87.	3	Within 30 days of the date on which the incident occurred or as otherwise agreed to by the Planning Secretary, the Applicant must provide the Planning Secretary and any relevant public authorities (as determined by the Planning Secretary) with a detailed report on the incident addressing all requirements below, and such further reports as may be requested.	It was reported that no incidents have occurred on the project	Not Triggered	

AQUAS Ref No.	Cond. No.	SSD Condition Description	Audit Evidence - Findings	Compliance Descriptor	Finding Number
88.	4	The Incident Report must include: <ol style="list-style-type: none"> <li>a. a summary of the incident;</li> <li>b. outcomes of an incident investigation, including identification of the cause of the incident;</li> <li>c. details of the corrective and preventative actions that have been, or will be, implemented to address the incident and prevent recurrence; and</li> <li>d. details of any communication with other stakeholders regarding the incident.</li> </ol>	It was reported that no incidents have occurred on the project	Not Triggered	



## Appendix E. Audit Photos



**Photo 1** – Waste bins provided on each level.

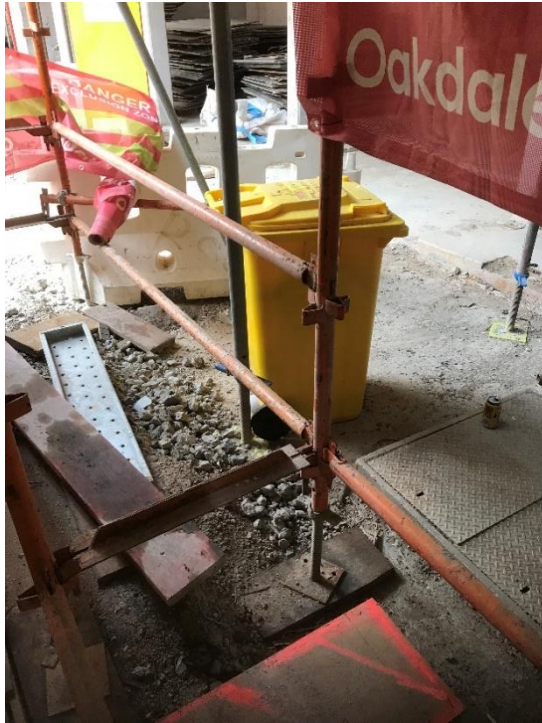


**Photo 2** – Emergency response board



**Photo 3** – Cupboard provided for storage of oils and fuels.





**Photo 4** – Spill kit provided



**Photo 5** - Sediment controls provided in stormwater drains



**Photo 6** – Site was maintained in a neat and tidy condition

## Appendix F. Consultation Records

**From:** Hart, James

**To:** [gmansfield@ncc.nsw.gov.au](mailto:gmansfield@ncc.nsw.gov.au)

**Subject:** 2nd Independent Environmental Audit - BIORESOURCES FACILITY BUILDING (SSD 8937) 8 UNIVERSITY DRIVE,

**Date:** Thursday, 19 December 2019 9:06:17 AM

Hi Geof,

AQUAS has been engaged to undertake the second Independent Environmental Audit of the Bioresources Facility Building on the University of Newcastle's Callaghan campus. As a requirement of the Independent Environmental Audit process I am seeking feedback from various agencies in regard to any issues that may have arisen or concerns which you may have in relation to the construction operations. These will be included in the audit.

I would appreciate it if you would respond to this email identifying any issues or concerns you have, or if you have none, please respond and let me know.

If you have any questions or prefer to talk to someone about issues regarding the development, you can contact me on 0408238682.

Please note that I am conducting the audit on 6 January 2020.

Regards

James Hart | Management Consultant

*Certified Exemplar Global Lead OHS Auditor*

*Certified Exemplar Global Lead Environmental Auditor*

*Certified Exemplar Global Lead Quality Management System Auditor*

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AQUAS: enables compliance ~ verifies compliance

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**From:** Hart, James

**To:** [lee.farrell@transport.nsw.gov.au](mailto:lee.farrell@transport.nsw.gov.au)

**Subject:** 2nd Independent Environmental Audit - BIORESOURCES FACILITY BUILDING (SSD 8937) 8 UNIVERSITY DRIVE,

**Date:** Thursday, 19 December 2019 9:09:07 AM

Hi Lee,

AQUAS has been engaged to undertake the second Independent Environmental Audit of the Bioresources Facility Building on the University of Newcastle's Callaghan campus. As a requirement of the Independent Environmental Audit process I am seeking feedback from various agencies in regard to any issues that may have arisen or concerns which you may have in relation to the construction operations. These will be included in the audit.

I would appreciate it if you would respond to this email identifying any issues or concerns you have, or if you have none, please respond and let me know.

If you have any questions or prefer to talk to someone about issues regarding the development, you can contact me on 0408238682.

Please note that I am conducting the audit on 6 January 2020.

Regards

James Hart | Management Consultant

*Certified Exemplar Global Lead OHS Auditor*

*Certified Exemplar Global Lead Environmental Auditor*

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**From:** Hart, James

**To:** Damian Burke; Michael.Stafford@newcastle.edu.au; Carina.Bates@newcastle.edu.au

**Cc:** Espert, David; Moss, Jade

**Subject:** 2nd Independent Environmental Audit - BIORESOURCES FACILITY BUILDING (SSD 8937) 8 UNIVERSITY DRIVE,

**Date:** Thursday, 19 December 2019 11:20:05 AM

Hi,

AQUAS has been engaged to undertake the second Independent Environmental Audit of the Bioresources Facility Building on the University of Newcastle's Callaghan campus.

As a requirement of the Independent Environmental Audit process I am seeking feedback from various agencies and interested parties, in regard to any issues that may have arisen or concerns which you may have in relation to the construction operations. These will be included in the audit.

I would appreciate it if you would respond to this email identifying any issues or concerns you have, or if you have none, please respond and let me know.

If you have any questions or prefer to talk to someone about issues regarding the development, you can contact me on 0408238682.

Please note that I am conducting the audit on 6 January 2020.

Regards

James Hart | Management Consultant

*Certified Exemplar Global Lead OHS Auditor*

*Certified Exemplar Global Lead Environmental Auditor*

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**From:** Carina Bates  
**To:** Hart, James  
**Subject:** RE: 2nd Independent Environmental Audit - BIORESOURCES FACILITY BUILDING (SSD 8937) 8 UNIVERSITY DRIVE,  
**Date:** Monday, 6 January 2020 10:42:31 AM  
**Attachments:** [image001.png](#)  
[image002.png](#)  
[image003.png](#)

Hi James,  
Re your email below, I have no issues or concerns to raise.

**Carina Bates**  
Research Writer  
Research and Innovation Services  
My days of work are normally Monday to Thursday  
T: +61 2 4921 6265  
M: +61 (0)411 021 412  
E: [carina.bates@newcastle.edu.au](mailto:carina.bates@newcastle.edu.au)  
The University of Newcastle  
University Drive, Callaghan NSW 2308  
Australia

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**From:** Hart, James <[james.hart@aquas.com.au](mailto:james.hart@aquas.com.au)>  
**Sent:** Thursday, 19 December 2019 11:19 AM  
**To:** Damian Burke <[damian.burke@newcastle.edu.au](mailto:damian.burke@newcastle.edu.au)>; Michael Stafford <[Michael.Stafford@newcastle.edu.au](mailto:Michael.Stafford@newcastle.edu.au)>; Carina Bates <[Carina.Bates@newcastle.edu.au](mailto:Carina.Bates@newcastle.edu.au)>  
**Cc:** Espert, David <[david.espert@app.com.au](mailto:david.espert@app.com.au)>; Moss, Jade <[Jade.Moss@app.com.au](mailto:Jade.Moss@app.com.au)>  
**Subject:** 2nd Independent Environmental Audit - BIORESOURCES FACILITY BUILDING (SSD 8937) 8 UNIVERSITY DRIVE,

Hi,

AQUAS has been engaged to undertake the second Independent Environmental Audit of the Bioresources Facility Building on the University of Newcastle's Callaghan campus. As a requirement of the Independent Environmental Audit process I am seeking feedback from various agencies and interested parties, in regard to any issues that may have arisen or concerns which you may have in relation to the construction operations. These will be included in the audit.

I would appreciate it if you would respond to this email identifying any issues or concerns you have, or if you have none, please respond and let me know.

If you have any questions or prefer to talk to someone about issues regarding the development, you can contact me on 0408238682.

Please note that I am conducting the audit on 6 January 2020.

Regards

James Hart | Management Consultant

*Certified Exemplar Global Lead OHS Auditor, Environmental Auditor and Quality Management System Auditor*

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