

Independent Audit Program

Newcastle Inner City Bypass –
Rankin Park to Jesmond




Transport for NSW | July 2022



Document control

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Approval and authorisation

Reviewed by:	Reviewed by:	Reviewed by :
		
01/07/2019	08/08/2019	12/08/2019
Roads and Maritime Senior Environment Officer	Roads and Maritime Project Manager	Environmental Representative

Revision history

Revision	Date	Description
0	01/07/2019	Draft for Roads and Maritime review
1	08/08/2019	Draft for ER review
2	12/08/2019	For submission to Department of Planning, Industry and Environment for information
3	23/02/2022	Updated in line with commencement of construction
4	16/03/2022	Updated following DPE comments
5	13/07/2022	Update to audit timeframes to reflect Stage 4 Main Works commencement

Contents

- 1 Introduction 1**
 - 1.1 Background 1
 - 1.2 Purpose of this report 1
- 2 Independent Audit Program 3**
 - 2.1 IAP Submission 4
 - 2.2 IAP Review 4
 - 2.3 IAP Implementation 4
 - 2.4 Monitoring of the IAP 4
- 3 Independent Audits 6**
 - 3.1 Independent Audit schedule 6
 - 3.2 Auditor selection 7
 - 3.3 Independent Audit process and timeframe 7
 - 3.4 Audit Scope 8
 - 3.5 Independent Audit Reports 8
 - 3.6 Transport for NSW response to audit findings 9
 - 3.7 Submission of Audit Reports 10

Tables

- Table 1-1: Conditions of approval applicable to the IAP 2
- Table 3-1: Independent audit schedule 6
- Table 3-2: Independent audit process 7

Figures

- Figure 2-1: Process flow for the management of the Audit Program 3
- Figure 3-1: Indicative Timeframe for Compliance Reporting 7

Appendices

- Appendix A: NSW Conditions of Approval template audit table
- Appendix B: Federal Conditions of Approval audit table
- Appendix C: Independent Audit Report Format and Content including Declaration Form

Glossary / Abbreviations

Term	Expanded text
CEMP	Construction Environmental Management Plan
CoA	Condition of Approval
Construction	<p>Includes all works required to construct the SSI, including commissioning trials of equipment and temporary use of any part of the SSI, but excluding the following low impact work which is completed prior to approval of the CEMP:</p> <ul style="list-style-type: none"> (a) survey works including carrying out general alignment survey, installing survey controls (including installation of global positioning systems (GPS)), installing repeater stations, carrying out surveys of existing and future utilities and building and road dilapidation surveys; (b) investigations including investigative drilling, contamination investigations and excavation; (c) operation of ancillary facilities if the ER has determined the operational activities will have minimal impact on the environment and community; (d) minor clearing and relocation of native vegetation, as identified in the documents listed in Condition A1; (e) installation of mitigation measures including erosion and sediment controls, exclusion fencing, hoardings and temporary or at property acoustic treatments; (f) property acquisition adjustment works including installation of property fencing, and relocation and adjustments of utilities to property including water supply and electricity; (g) relocation and connection of utilities where the relocation or connection has a minor impact to the environment and sensitive receivers as determined by the ER; (h) archaeological testing under the <i>Code of practice for archaeological investigation of Aboriginal objects in NSW</i> (DECCW, 2010) or archaeological monitoring undertaken in association with (a)-(g) and (i) to ensure that there is no impact on Aboriginal artefacts or objects, and archaeological salvage works in accordance with A1, E17 and E18; (i) other activities determined by the ER to have minimal environmental impact which may include construction of minor access roads, temporary relocation of pedestrian and cycle paths and the provision of property access; and (j) maintenance of existing buildings and structures required to facilitate the carrying out of the SSI. <p>However, where heritage items or threatened species or threatened ecological communities (within the meaning of the <i>NSW Threatened Species Conservation Act 1995</i> or <i>Commonwealth Environment Protection and Biodiversity Conservation Act 1999</i>) are affected or potentially affected by any low impact work, that work is construction, unless otherwise determined by the Planning Secretary in consultation with the relevant heritage authority, BCD or DPI Fisheries (in the case of impact upon fish, aquatic invertebrates or marine vegetation)</p>

Term	Expanded text
DAWE	Commonwealth Department of Agriculture, Water and the Environment administering the EPBC Act, and includes the Minister for the DAWE (Formerly Department of the Environment and Energy, DoEE)
DPE	Former NSW Department of Planning and Environment, now NSW Department of Planning, Industry and Environment
DPE	NSW Department of Planning and Environment
EIS	The Environmental Impact Statement submitted to the Planning Secretary seeking approval to carry out the development described in it, as revised if required by the Planning Secretary under the EP&A Act, and including any additional information provided by the Proponent in support of the application for approval of the project
EMS	Environmental Management System
Environmental Representative (ER)	A suitably qualified and experienced person independent of project design and construction personnel employed for the duration of Construction. The principal point of advice in relation to all questions and complaints concerning environmental performance
EP&A Act	<i>NSW Environmental Planning and Assessment Act 1979</i>
EPBC Act	<i>Commonwealth Environment Protection and Biodiversity Conservation Act 1999</i>
EPL	NSW Environment Protection Licence under the <i>Protection of the Environment Operations Act 1997</i>
IAP	Independent Audit Program
Operation	The carrying out of the SSI (whether in full or in part) upon the completion of construction, except the operation of Bridge 7 <i>Note: There may be overlap between the carrying out of construction and operation if the phases of the development are staged. Commissioning trials of equipment and temporary use of any part of the SSI are within the definition of construction</i>
Planning Secretary	Planning Secretary of the NSW Department of Planning, Industry and Environment (or nominee, whether nominated before or after the date on which the Project Approval was granted)
Project, the	Rankin Park to Jesmond Bypass
Project Approval	The Infrastructure Approval for Newcastle Inner City Bypass, Rankin Park to Jesmond, issued by the New South Wales Government on 15 February 2019 and modified on 7 January 2022
RP2J	Rankin Park to Jesmond Bypass
SPB	Shared Path Bridge (Bridge 7)
SPIR	Submissions and Preferred Infrastructure Report submitted to the Planning Secretary of the DPE under the EP&A Act
SSI	State Significant Infrastructure
Works	All physical activities to construct or facilitate the construction of the SSI, including environmental management measures and utility works. however, does not include work that informs or enables the detailed design of the SSI and generates noise that is no more than 5 dB(A) above the rating background level at any residence

1 Introduction

1.1 Background

The Rankin Park to Jesmond (RP2J) Bypass Project (the Project) involves the construction of 3.4 kilometres of new four lane divided road between Lookout Road, New Lambton Heights and Newcastle Road, Jesmond. The Project is located in the Newcastle local government area, about 11 kilometres west of the Newcastle central business district and about 160 kilometres north of Sydney.

Transport for NSW (Transport) is planning and delivering the Project. The Project will be constructed in two separate stages under separate construction contracts.

The Project has been assessed under both State and Federal planning approval pathways. The Project was declared by the NSW Minister for Planning to be State significant infrastructure (SSI) development under Schedule 5.1 of the *State Environmental Planning Policy (State and Regional Development) 2011* on 3 March 2015. The Project was assessed under Part 5.1 of the *Environmental Planning and Assessment Act 1979* (NSW) (EP&A Act).

Matters of National Environmental Significance relevant to the Project comprise listed threatened species and communities (section 18 and 18A of the *Environmental Protection and Biodiversity Conservation Act 1999* (EPBC Act)) and wetlands of international importance (sections 16 and 17B of the EPBC Act). The Project was declared by the Federal Minister for the Environment and Energy to be a 'controlled action' under the EPBC Act on 15 October 2015.

An Environmental Impact Statement (EIS) was prepared for the Project to satisfy the environmental assessment requirements of Part 5.1 of the EP&A Act and Part 8 of the EPBC Act. A Submissions and Preferred Infrastructure Report (SPIR) was prepared to provide responses to issues raised during exhibition of the EIS, to propose Project design refinements and to provide revised environmental management measures for the Project and submitted to the NSW Minister for Planning.

Approval for the Project was granted by the NSW Minister for Planning on 15 February 2019 and by the Commonwealth Department of the Environment and Energy (DoEE) on 5 April 2019 and modified on 7 January 2022.

1.2 Purpose of this report

This Independent Audit Program (IAP) describes the approach to be adopted for independent auditing of the Project in accordance with the requirements of the NSW Infrastructure Approval SSI 6888 (Project Approval) and the Federal EPBC 2015/7550 Approval. The IAP has been prepared in accordance with the *Independent Audit – Post Approval Requirements* (DPE, 2018) and with regard to the *AS/NZS ISO 19011:2014 - Guidelines for Auditing Management Systems*.

This IAP has been prepared to address the requirements of Condition of Approval (CoA) A34, which requires the preparation of an Independent Audit Program prior to the commencement of the first stage of Construction.

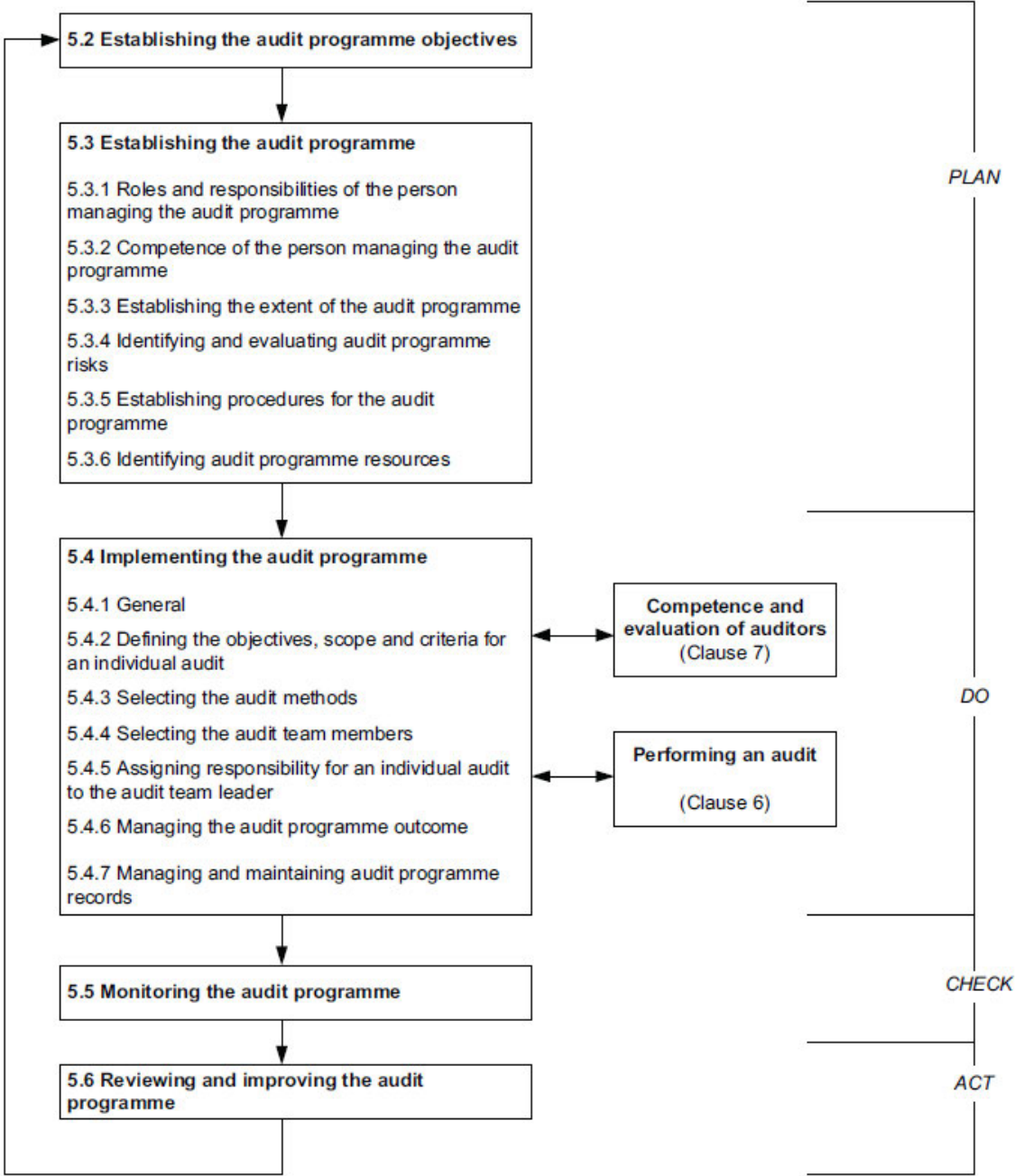
The requirements of the NSW conditions of approval which apply to the IAP are listed in Table 1-1 below, together with the cross-reference to where the requirements are addressed in this IAP. Further details of how the conditions are addressed are provided in the sections below.

Table 1-1: Conditions of approval applicable to the IAP

NSW-CoA	Requirement	Reference
A4	The Proponent must comply with all written requirements or directions of the Planning Secretary, including in relation to d) any audit of the construction or operation of the SSI	Section 3.7
A34	No later than four (4) weeks before the date notified for the commencement of construction (in the pre-construction compliance report), an Independent Audit Program prepared in accordance with the <i>Independent Audit – Post Approval Requirements</i> (DPE 2018) must be submitted to the Planning Secretary.	This document Section 2
A35	Independent Audits of the development must be carried out in accordance with: <ul style="list-style-type: none"> (a) the Independent Audit Program submitted to the Department under Condition A34 of this approval; and (b) the requirements for an Independent Audit Methodology and Independent Audit Report in the <i>Independent Audit – Post Approval Requirements</i> (DPE 2018) 	This document Section 3, Appendix C
A36	In accordance with the specific requirements in the <i>Independent Audit – Post Approval Requirements</i> (DPE 2018), the Proponent must: <ul style="list-style-type: none"> (a) review and respond to each Independent Audit Report prepared under Condition A35 of this approval; (b) submit the response to the Department; and (c) make each Independent Audit Report and response to it publicly available and notify the Department in writing when this has been done. 	Section 3.6 Section 3.7 Section 3.7
B13	A website providing information in relation to the SSI must be established before commencement of work and maintained for the duration of works and for a minimum of 24 months following the completion of construction of the SSI. Up-to-date information (excluding confidential, private, commercial information, or other documents as agreed to by the Planning Secretary) must be published before the relevant works commencing and maintained on the website or dedicated pages including: (f) a copy of the compliance reports required under Condition A30 and independent audit reports under Condition A36 of this approval.	Section 3.7

2 Independent Audit Program

This IAP has been prepared in accordance with the DPE’s *Independent Audit –Post Approval Requirements* and with regard to *AS/NZS ISO 19011:2014 - Guidelines for Auditing Management Systems*. Section 5 of the standard provides recommendations for the approach to the management of the IAP, as summarised in Figure 2-1.



Source: AS/NZS ISO 19011:2014 - Guidelines for Auditing Management Systems

Notes:

1. This figure illustrates the application of the Plan-Do-Check-Act cycle in this International Standard.
2. Clause/subclause numbering refers to the relevant clauses/subclauses of this International Standard

Figure 2-1: Process flow for the management of the Audit Program

2.1 IAP Submission

This IAP was submitted to the Planning Secretary for information on 13 August 2019, four weeks prior to commencement of the first stage of Construction of the Project. The IAP was reviewed by the independent Environmental Representative (ER) prior to being submitted to the Planning Secretary. The IAP was updated to align with the commencement of Stage 4 construction works and resubmitted to the Planning Secretary on 23 February 2022.

2.2 IAP Review

Transport will review the IAP as part of the environmental management system review process to assess whether its objectives are being achieved. Lessons learned from the IAP review will be used as inputs for the continual improvement process. The IAP review will consider:

- results from IAP monitoring
- conformity with IAP procedures
- IAP records
- alternative or new auditing methods
- effectiveness of the measures to address the risks associated with the IAP
- confidentiality and information security issues relating to the IAP.

Revisions to this IAP will be undertaken in accordance with the process outlined in the CEMP documentation. Updates to the IAP will be provided to the DPE for information.

2.3 IAP Implementation

This IAP will be implemented for the duration of Construction and for one year after the commencement of Operation of Stage 4 of the Project. Transport will implement this IAP by:

- ensuring the selection of independent auditor/s with the necessary competence (Section 3.2)
- coordinating and scheduling audits and ensuring the conduct of audits in accordance with this IAP and the timeframes identified in Table 3-1 and Figure 3-1
- defining objectives, scope and criteria for the independent audits (Section 3.4)
- ensuring that audit activities are recorded and records are properly managed, maintained and outcomes communicated to the relevant parties (Section 3.7).

The IAP will be implemented in accordance with the DPE's *Independent Audit – Post Approval Requirements* and with regard to *AS/NZS ISO 19011:2014 - Guidelines for Auditing Management Systems*.

2.4 Monitoring of the IAP

Transport will monitor the implementation of this IAP considering the need to evaluate:

- conformity with this IAP, including the schedule and objectives
- the performance of the independent auditor/s
- the ability of the independent auditor/s to implement the audit schedule
- Feedback from DPE, the Construction Contractors and auditors.

Factors which may determine the need to modify the IAP include:

- audit findings
- demonstrated level of management system effectiveness
- changes to Transport or the Construction Contractor's environmental management system
- changes to project approval(s), standards, legal and other requirements to which Transport is committed.

3 Independent Audits

3.1 Independent Audit schedule

CoA A33 requires that the Compliance Monitoring and Reporting Program (CMRP) be implemented for the duration of Construction and for a minimum of one year following commencement of Operation of the final stage of the Project, or for a longer period as determined by the Planning Secretary based on the outcomes of independent environmental audits, ER Reports and the regular compliance reviews to be submitted in accordance with this CMRP. The same period has been adopted for the implementation of the IAP.

The proposed audit schedule has been developed in accordance with the requirements of the DPE’s *Independent Audit – Post Approval Requirements* and CoA A34 is and is provided in Table 3-1 and Figure 3-1.

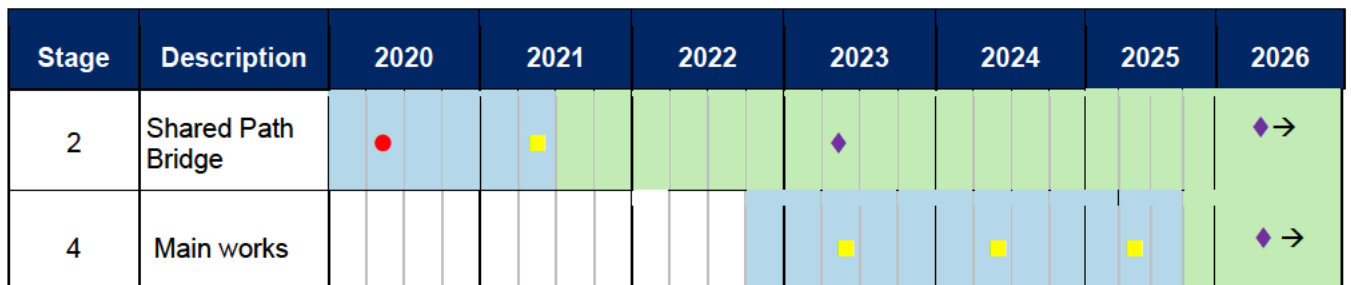
Table 3-1: Independent audit schedule

Project phase	Initial Independent Audit	Ongoing Independent Audits
Construction	Within 20 weeks of the commencement of the first stage of Construction	Annually from the date of the initial Independent Audit
Operation	Within one year of the commencement of Operation of Stage 4	At intervals, no greater than three years from the date of the last operational audit*

**Transport may request for ongoing independent operational audits to be ceased, where it has been demonstrated to the Planning Secretary’s satisfaction that independent operational audits have demonstrated operational compliance.*

DPE’s *Independent Audit – Post Approval Requirements* specifies that only one initial independent audit is required at the commencement of Construction and at the commencement of Operation. Initial audits of the commencement of Construction and Operation of each subsequent stage of the Project are not required.

The RP2J Staging Report provides details of the Construction and Operation stages of the Project and identifies the applicability of individual CoAs to each stage. The indicative timing of the Construction and Operation stages of the Project together with the IAP reporting completed for SPB and proposed reporting schedule for main works is provided in Figure 3-1 below.



Legend

- Construction
- Operation
- Initial Independent Audit (Construction)
- Ongoing Independent Audit (Construction)
- ◆ Independent Audit (Operation)

Figure 3-1: Indicative Timeframe for independent Audits

Stages 1 and 3 of the Project comprise low impact works as defined by the Project Approval and therefore do not require auditing. Refer the RP2J Staging Report for further details.

3.2 Auditor selection

The Project Auditor will have:

- certification (or other suitable qualifications, training and experience) as a lead or principal environmental auditor with a relevant industry body
- Experience in relation to developments that have been subject to environmental impact assessment, environmental management, compliance and auditing in the relevant industry.

As required by DPE's *Independent Audit – Post Approval Requirements*, the Auditor will be independent from the Project and free from any actual, potential or perceived conflicts of interest. The Auditor will provide a written declaration of their independence.

Independent Audits will not commence until the proposed auditor has been agreed to in writing by the Planning Secretary. The document agreeing to the auditor will be appended to the Independent Audit Report (refer Section 3.5).

Transport may engage a different independent Auditor for each stage of the Project. Where there has been a change in proposed auditors, Transport will seek further approval in accordance with DPE's *Independent Audit – Post Approval Requirements 2018*.

3.3 Independent Audit process and timeframe

Table 3-2 summarises the audit submission process, responsibilities and schedule for the regular routine independent audits specified in Table 3-1.

Table 3-2: Independent audit process

Role	Responsibility
Independent Auditor	Undertakes the audit and submits the draft Independent Audit Report to Transport within four weeks of the Audit
Transport	Reviews and responds to the Auditor's draft Independent Audit Report by providing any additional information and comments to the auditor for consideration before finalisation of the report.
ER	ER reviews the Auditor's draft Independent Audit Report
Independent Auditor	Signs the Auditor Declaration Form (refer Appendix C) Finalises the Independent Audit Report and submits the Independent Auditor Declaration Form and Independent Audit Report to Transport
Transport	Prepares and submits to DPE a separate response to the final Independent Audit Report within eight weeks of the Audit (refer Section 3.6)

Role	Responsibility
DPE	Separately reviews submitted documentation and notifies Transport of any deficiencies (where required)
Transport	Makes the Audit Report, response to audit findings and Independent Auditor Declaration Form publicly available in accordance with CoA A36(c) and posted on the Project website in accordance with CoA B13.

3.4 Audit Scope

The purpose of an independent audit as described in the DPE's *Independent Audit – Post Approval Requirements* is to obtain an independent and objective assessment of the environmental performance and compliance status of a project.

Independent audits of the Project will be undertaken in accordance with the methodology in the DPE's *Independent Audit – Post Approval Requirements* and cover the areas listed in Appendix C (under Audit Methodology and Audit Findings) of this IAP.

Prior to undertaken the audit, the Auditor will further develop the audit scope in consultation with DPE and other agencies and stakeholders. Comments received during the consultation will be reported in the Independent Audit Report. Specific environmental issues raised during consultation will be investigated and findings of the investigation reported in the Independent Audit Report.

Opening and closing meetings

Independent audits will commence with an opening meeting and conclude with a closing meeting. The meetings will be attended by a representative of Transport (at manager level or above), a suitably authorised Contractor representative and the Auditor. During the opening meeting the objectives of the audit, the scope of the audit, the resources required and methodology to be applied will be discussed. At the closing meeting, preliminary audit findings will be presented, recommendations (if appropriate) will be made, and any post-audit actions will be confirmed.

On-site interviews

Independent audits will include interviews with key personnel involved in Project delivery, including those with responsibility for environmental management, to assist with verifying the compliance status of the development. Auditors will be provided with reasonable access to the key site personnel as required by the Independent Audit scope.

Site inspections

Independent audits will include a physical site inspection. The site inspection will cover relevant project areas being audited and environmental aspects that form part of the scope of the audit. Transport will provide the auditor with reasonable access to all requested Project areas and activities.

Evidence-based evaluation

Independent Audit findings will be based on verifiable evidence. The evidence used to verify compliance with each requirement will be documented in the Audit Tables (refer Appendix A and B of this IAP) together with any relevant observations and notes.

3.5 Independent Audit Reports

The results of the independent audits identified in Table 3-1 will be documented by the Auditor in Independent Audit Reports. The Independent Audit Reports will be prepared in accordance with DPE's *Independent Audit – Post Approval Requirements*. Appendix C of this IAP summarises the required format and content of the reports.

Evidence of the audits will be presented in Audit Tables and included as appendices to the Audit Reports. Appendix A and Appendix B of this IAP contain the template Audit Tables for the NSW and Federal CoA respectively.

The tables identify the applicability of each condition to the Project stages based on a number of factors including whether the condition applies during Construction or Operation, geographic location of the works, impact of the works, the location of sensitive areas in relation to the works or due to the nature of the requirement. The tables are based on the requirements in the DPE's *Independent Audit – Post Approval Requirements* and include:

- a unique identification number (CoA ID)
- the exact wording of the compliance requirement
- a blank column to record the evidence used to assess and determine whether each requirement has been complied with
- a blank column for commentary on findings and recommendations
- a blank column for recording the status of compliance.

The compliance status of each requirement will be determined using the following descriptors:

- **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.

The terms partial compliance, partial non-compliance or administrative non-compliance or other similar terms will not be used.

3.6 Transport response to audit findings

Transport will prepare and submit a response to the audit findings to DPE in a separate document to the final Independent Audit Report. The response will:

- provide a response to each audit finding
- set out the actions and the timing of such actions to be taken in response to each non-compliance
- In relation to observations and opportunities identified for improvement, provide reasons if Transport propose not to implement any recommended measures or make any changes in response.

3.7 Submission of Audit Reports

The final Independent Audit Report and Transport response to the audit findings will be submitted to DPE within the timeframes set out the Independent Audit Submission Schedule (refer Table 3-1).

In accordance with CoA A4, Transport will comply with all written requirements or directions of the Planning Secretary in relation to any audits of the Construction or Operation of the Project.

In accordance with CoA B13, the finalised Audit Reports will be made publicly available on the Project website and Transport will notify DPE in writing once this has been done.

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Appendix A: NSW CoA template audit table

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Appendix B: Federal CoA template audit table

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Appendix C: Independent Audit Report Format and Content including Declaration Form

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Audit Report Format and Required Content

Audit Report Section	Required Content
Version control	<ul style="list-style-type: none"> • the application number of the Project • each version or revision number of the Report • the date on which the report was prepared and issued • the title and name of the person who provided the certified the Independent Audit Report.
Introduction	<ul style="list-style-type: none"> • background of the project • the audit team (including qualifications and experience) • the objectives of the audit • the audit scop • the period covered by the audit
Audit methodology	<ul style="list-style-type: none"> • documentation from the Secretary agreeing to the auditor • how the audit scope was developed • a summary of the audit process adopted to determine the compliance status and assess if post approval documents are adequate • site personnel interviewed (including if access was not granted or possible with any required personnel and why) • details of site inspections undertaken (including any areas where access was not granted or possible and why) • a summary of the consultation undertaken with DPE, and other agencies and stakeholders including the community and Community Consultative Committee • meanings of compliance status descriptors used, as set out in this IAP
Audit findings	<ul style="list-style-type: none"> • a list of the approvals and documents audited • a summary of the assessment of compliance ie. comparison between the total number of compliance requirements and any non-compliances identified during the reporting period • a summary of any agency notices, orders, penalty notices or prosecutions issued during the audit period • exception reporting of all non-compliances identified during the audit period for each approval, permit or licence. • a brief discussion or table of the status of actions arising from previous audits and the progress or outcomes of each action • a brief discussion of whether EMPs, Sub-plans and post approval documents are adequate and whether there are any opportunities for improvement • a brief discussion of the Project's EMS • a discussion of other matters considered relevant by the auditor or DPE taking into account relevant regulatory requirements and legislation and knowledge of the development's past performance • documentation of any feedback received as a result of consultation undertaken with DPE, and other agencies or stakeholders including the community for the audit and the outcomes of this consultation • a summary of complaints, and the adequacy of the response to, and management of complaints

Audit Report Section	Required Content
	<ul style="list-style-type: none"> • details of any incidents (including any enforcement action by any agency) and the adequacy of the response to, and management of such incidents • an assessment of the compliance between actual and predicted impacts documented in environmental impact assessment, including an assessment of the physical extent of the Project in comparison with the approved boundary and any potential off-site impacts of the development required under the EP&A Act 1979 • evidence collected through site inspections undertaken during the audit • evidence to support compliance assessment provided by the personnel interviewed during the audit • a brief description or table of actions arising from previous annual review and compliance reports (if any) including the status and progress made on addressing each action and the outcomes of each action • a brief discussion of any continual environmental management improvement opportunities identified as part of the audit • key strengths of the Project's environmental management and performance identified by the auditor
Recommendations and opportunities for improvement	<ul style="list-style-type: none"> • recommended actions to address each non-compliance identified by the auditor
Appendix A	<ul style="list-style-type: none"> • Independent Audit Table - NSW CoA (refer Appendix C of this IAP)
Appendix B	<ul style="list-style-type: none"> • Independent Audit Table - Federal CoA (refer Appendix D of this IAP)
Appendix C	<ul style="list-style-type: none"> • a copy of documentation from the Planning Secretary agreeing to the auditor
Appendix D	<ul style="list-style-type: none"> • documentation detailing consultation with DPE, and other agencies or stakeholders including the community and Community Consultative Committee
Appendix E	<ul style="list-style-type: none"> • completed and signed Independent Audit Declaration Form (refer below)
Appendix F	<ul style="list-style-type: none"> • site inspection photographs

Audit Report Declaration Form Template

Project Name:	Rankin Park to Jesmond Bypass
Project Application Number:	SSI 6888
Description of Project:	Section of Newcastle Inner City Bypass about 3.4 km in length between Rankin Park and Jesmond
Proponent:	Transport
Title of Audit:	
Date:	

I declare that I have undertaken the Independent Audit and prepared the contents of the attached Independent Audit Report and to the best of my knowledge:

- the audit has been undertaken in accordance with relevant condition(s) of consent and the *Independent Audit Post Approval Requirements* (Department 2018)
- the findings of the audit are reported truthfully, accurately and completely
- I have exercised due diligence and professional judgement in conducting the audit
- I have acted professionally, objectively and in an unbiased manner
- 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
- I have not accepted, nor intend to accept any inducement, commission, gift or any other benefit (apart from payment for auditing services) from any proponent, owner or operator of the project, their employees or any interested party. I have not knowingly allowed, nor intend to allow my colleagues to do so.

Notes:

- a) Under section 10.6 of the *Environmental Planning and Assessment Act 1979* a person must not include false or misleading information (or provide information for inclusion in) 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

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:	
Signature:	
Qualification:	
Company:	
Company Address:	

