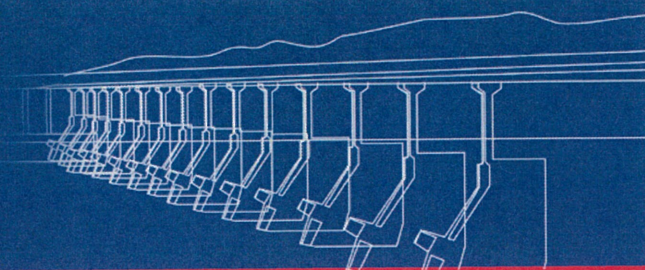


Annual Dam Safety Standards Report 2021



This report demonstrates the declared dam owner's compliance with the dam safety standards set out in the Dams Safety Regulation 2019 (the Regulation). It covers the named declared dam for the calendar year ending 31 December 2021.

The dam owner (the office holder at the end of this report) attests to the accuracy of the report.

A separate report for each declared dam must be lodged with Dams Safety NSW by 31 March 2022 for each declared dam.

Section 1 – Declared dam identification details

| | |
|----------------|---|
| Dam name | Liddell Ash Levee |
| Dam name owner | AGL Macquarie Pty Ltd and Maxwell Ventures (Management) Pty Ltd |

Section 2 – Dam safety standards

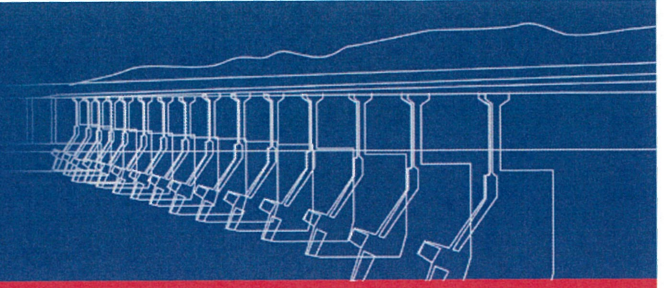
Consequence category – Regulation, Part 3

The dam consequence category is a rating of the impact that could potentially be caused if the dam failed. It must be assessed:

- within 6 months of the dam being declared
- at least once every 15 years
- after any significant change in the number of people likely to be affected by a dam failure
- or if required by Dams Safety NSW.

[Regulation, clause 7\(2\)](#)

| | |
|---|---|
| Dam consequence category | High C |
| Date of the last consequence category assessment by a competent person | 6 August 2020 |
| Has the number of people likely to be affected by a dam failure changed since the last consequence category review? | Yes, ceasing of mine rehabilitation activities immediately downstream has significantly reduced population at risk. |
| How was this checked? | Onsite monitoring via an operating log. |



For extreme and high consequence dams only

If the consequence category is Extreme, High A, High B, or High C, the consequence category assessment must be reviewed by an independent competent person - [Regulation, clause 7\(4\)](#)

| | |
|--|--|
| Date of last independent review of the consequence category assessment | January 2011 (Appendix F - Original design report) |
| Name of independent reviewer (must be a competent person) | Norm Himsley |

Dam safety standard – Dam safety management system - Part 5

The dam safety management system provides a comprehensive and integrated system to manage all aspects of foreseeable risks relating to dam failure. It is designed to be used by the dam owner to ensure, as far as reasonably practicable, the safety of people and property is not put at risk from the dam.

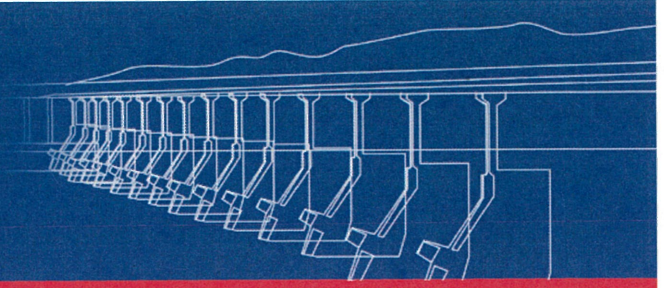
- [Regulation Part 5](#)

Documenting the dam safety management system

| | |
|--|---|
| Is the dam safety management system fully documented? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| If not, what percentage of the dam safety management system documentation is complete? | |
| How did you confirm this percentage? (eg draft review, version approved) | |
| Does the dam safety management system apply to more than one dam? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

Documenting the dam safety management system

| | |
|---|---|
| Is the dam safety management system fully implemented for this dam? | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| If not, what percentage of the dam safety management system is implemented? | |
| How did you confirm this percentage? (eg internal audit, key staff statements) | |



Dam safety management system review – Section 17

The declared dam owner must ensure the dam safety management system is reviewed each year to ensure it remains effective. [Regulation, Section 17](#)

| | |
|--|-------------------|
| Date of last safety management system review | 1st November 2021 |
|--|-------------------|

Assessment of society and individual risk rating – Section 15

The owner of a declared dam (other than a proposed dam) must use the risk management framework to produce a written report on all foreseeable risks to the dam:

- at least once every 5 years
- when a major change to the dam is proposed, and
- when required by Dams Safety NSW.

[Regulation, clause 15 \(1\)](#)

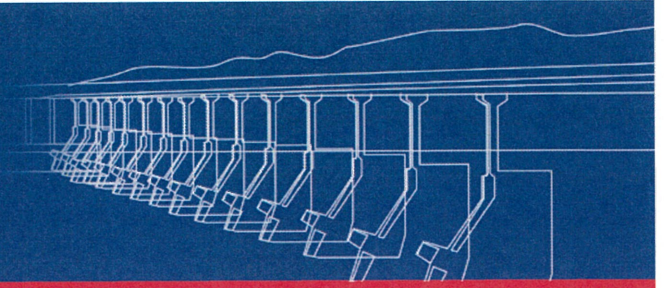
| | |
|-----------------------------------|--|
| Date of last risk report | Programmed for completion by December 2024 |
| Individual risk rating of the dam | TBA by December 2024 |
| Societal risk rating of the dam | TBA by December 2024 |
| Date of next planned risk report | Submission by December 2024 |

Other safety requirements – Part 6

Incident reporting – Section 19

The declared dam owner must report incidents that happen at or in relation to the dam to Dams Safety NSW. [Regulation, Section 19](#)

| | |
|---|------|
| Number of incidents during the 2021 calendar year | None |
| Topic/subject of each incident(s) | NA |



Safety review – Section 20

The declared dam owner must ensure a competent person conducts a safety review at least once every 15 years, and as soon as practicable after:

- a deficiency or weakness in the dam is identified
- there is a change in the accepted technology or methods used in one of the relevant specialties or design criteria for dams
- the dam consequence category changes, or
- it is required by Dams Safety NSW.

[Regulation Section 20](#)

| | |
|---|--|
| Date of last safety review (Regulation Clause 20(2)) | Programmed for completion by 1 November 2036 |
| Planned date for next safety review | Submission by 1 November 2036 |

For extreme and high consequence dams only

If the consequence category is Extreme, High A, High B, or High C, the safety review must be reviewed by an independent competent person - [Regulation, clause 20\(6\)](#)

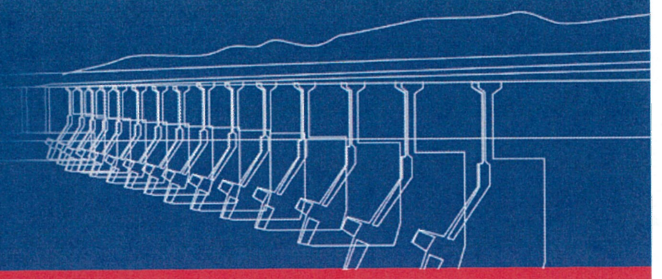
| | |
|--|-----|
| Name of independent reviewer (must be a competent person) | TBA |
|--|-----|

Notification of significant changes to the dam – Section 21

Before making any significant change to the configuration of the declared dam that may affect the safety of the dam, the dam owner must inform Dams Safety NSW of the proposed change in writing.

[Regulation Section 21](#)

| | |
|---|---|
| Has any significant change to the configuration of the dam been made during the 2021 calendar year? | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| If yes, describe the change | |
| Is any significant change to the configuration of the dam planned? | |
| If yes, describe the change and when it is planned to happen? | |



Emergency exercises - Section 22

The declared dam owner must ensure that staff who are involved in the operation of the dam undertake emergency exercises at least once every 3 years. [Regulation Section 22](#)

| | |
|---|-----------------|
| Date of last 'theoretical classroom' emergency exercise (Regulation clause 22(1)) | 7 December 2021 |
| Planned date of next 'theoretical classroom' emergency exercise | 7 December 2024 |

For extreme or high consequence dams only

The declared dam owner must ensure that staff who are involved in operating the dam undertake practical emergency exercises at least once every 5 years, where possible including relevant agencies identified in the emergency plan. [Regulation Section 22, clauses \(3 & 4\)](#)

| | |
|---|--|
| Date of last practical emergency exercise | AGL Macquarie - 30 November 2021 (for the Liddell Ash Disposal Dam) Maxwell - Nil |
| Planned date of next practical emergency exercise | 1 December 2026 |

Section 3 - Design and construction

This section is for dams in the design/construction/commissioning/decommissioning phase

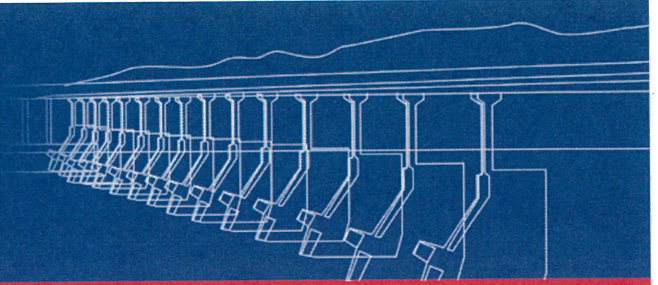
Dam safety management system for design and construction

| | |
|---|-----------------------------------|
| Does the dam safety management system cover dam design and construction? Regulation, clause 12(3) | NA - currently in operating phase |
| Was the risk management framework used to prepare a risk report at the dam design stage? Regulation clause 15(2) | NA - currently in operating phase |

Certain work must be carried out by a person subject to a quality management system

[Regulation clause 23\(1\)](#)

| | |
|---|-----------------------------------|
| How have you ensured that design and construction are carried out by a person subject to an AS ISO 9001:2016 quality management system? | NA - currently in operating phase |
|---|-----------------------------------|



A competent person must check work involving dam design

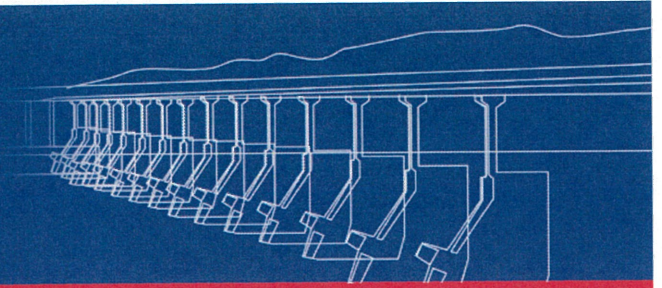
Regulation – Clause 24

| | |
|--|--|
| For extreme or high consequence dams, provide the name of the independent person who checked the design (Regulation clause 24) | NA - currently in operating phase |
| For dams still in an early design phase, have you planned independent competent person design checks/ reviews? | <input type="checkbox"/> Yes <input type="checkbox"/> No |


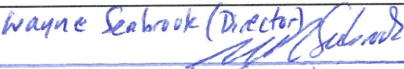


Attestation

This attestation must be signed by the dam owner office holder as follows:

| Dam owner | Attesting office holder(s) |
|-----------------------------------|---|
| Local council | General Manager |
| Company | <ul style="list-style-type: none"> • 2 directors, or • 1 director and 1 company secretary • The combined director and company secretary (Where there is only 1 director) |
| Statutory state-owned corporation | Chief Executive Officer or Managing Director responsible for managing the operation of the statutory state-owned corporation in accordance with the general policies and specific directions of the board |
| Statutory corporation | Corporation with 2 or more members: <ul style="list-style-type: none"> • President, chairperson or another principal officer of the corporation Sole corporation <ul style="list-style-type: none"> • The person who constituted the constitution • The person managing the affairs of the corporation |
| Government department | Secretary |
| Individual | Individual |



Declared dam owner office holders attesting to the accuracy of this report

| | | | |
|--|--|--|---|
| Name and signature of declared dam owner office holder(s) attesting to the accuracy of this report | <input checked="checked" type="checkbox"/> Yes <input type="checkbox"/> No | |  |
| Position of the declared dam owner office holder(s) attesting to the accuracy of this report | Director - Maxwell Ventures (Management) Pty Ltd | <div style="border: 1px solid black; padding: 5px;"> Melinda Hunter Company Secretary </div> | |
| Name and signature of declared dam owner office holder(s) attesting to the accuracy of this report |   | |  |
| Position of the declared dam owner office holder(s) attesting to the accuracy of this report | Company Secretary - Maxwell Ventures (Management) Pty Ltd | <div style="border: 1px solid black; padding: 5px;"> John Fitzgerald Director </div> | |