



INDEPENDENT AUDIT NO. 3 – AUDIT REPORT

SYDNEY METRO CITY & SOUTHWEST – CROWS NEST
STATION
SSI 7400

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CONTENTS

Executive Summary	3
1. Introduction	5
1.1 Project overview	5
1.2 Approval requirements.....	7
1.3 The audit team	7
1.4 The audit objectives and scope	7
2. Audit Methodology	9
2.1 Audit process.....	9
2.2 Audit process detail	10
2.2.1 Audit initiation and scope development.....	10
2.2.2 Preparing audit activities.....	10
2.2.3 Site personnel involvement.....	10
2.2.4 Meetings and Site Inspection	10
2.2.5 Document review	11
2.2.6 Generating audit findings	11
2.2.7 Compliance evaluation.....	11
2.2.8 Evaluation of post audit approval documentation	12
2.2.9 Completing the audit.....	12
3. Audit Findings	13
3.1 Approvals and documents audited, and evidence sighted	13
3.2 Non-compliance, Observations and Actions	13
3.3 Adequacy of Environmental Management Plans, sub-plans and post approval documents.....	20
3.4 Summary of notices from agencies.....	20
3.5 Other matters considered relevant by the Auditor	20
3.6 Complaints	20
3.7 Incidents.....	20
4. Conclusions.....	21
Limitations.....	23
Appendix A – SSI 7400 Conditions of Approval	24
Appendix B – Site Photos	34
Appendix C – Declarations.....	38

EXECUTIVE SUMMARY

Sydney Metro (SM) is responsible for delivery of the Sydney Metro City & Southwest (C&SW) Project, which involves construction and operation of a new 30-kilometre stand-alone metro railway line that would run from the end of the Metro Northwest Line at Chatswood, through to Sydney CBD, and to Bankstown via Sydenham.

Crows Nest will be one of the new stations to service this line with construction being delivered by AW Edwards (AWE). The Project site is situated on the eastern side of the Pacific Highway between Oxley Street and south of Hume Street and between Pacific Highway and Clark Lane.

Construction of the new Crows Nest Station by AWE will include:

- two station entrances with one located on Pacific Highway between Oxley Street and Hume Street and one located on Clarke Street near the corner of Hume Street
- retail space next to the station entry at site C, and retail opportunities in the Pacific Highway side of sites A and B
- public domain works including footpaths, street tree planting, lighting and street furniture
- new pedestrian lights to cross the Pacific Highway on the northern side of Oxley Street intersection
- new pedestrian crossings on Clarke and Hume Streets
- new bike parking on Hume Street, Pacific Highway, Clarke Street and Oxley Street
- new kiss and ride and taxi bays in close proximity to the station
- installation of wayfinding signage and Sydney Metro information
- Hume Street bi-directional separated cycle link from Clarke Street to Nicholson Street
- upgraded Hume Street intersection with cycle crossing and increased pedestrian capacity
- improved pedestrian crossings at intersections of Oxley Street, Pacific Highway, Hume Street and Clarke Street.

This Audit covers the period from the commencement of AWE's work in January 2021 to the site inspection on 5 October 2022 and sought to verify compliance with, and assess the effectiveness of, environmental management associated with the following aspects as per the Audit Program:

- Compliance with conditions B1 – B12 of SSI 7400
- Implementation of the OOHW Protocol and management of OOHW
- Implementation of the Community Communication Strategy (both SM and AWE)

- Review of status of actions / commitments made in response to DPE investigations / regulatory actions¹.

The overall outcome of the Independent Audit was positive. Records were well organised and available at the time of the site inspection and interviews with Project personnel from Sydney Metro and AWE.

In summary there were four observations and two opportunities for improvement identified as follows:

- Observations:
 - Given passage of time (nearly 3 years) and potential changes to affected stakeholders, site layout and any revised mitigation measures in response to community complaints since the application was approved by DPE in November 2019, it is recommended that OOHW Application No 1.2 (if required for ongoing girder deliveries) be reviewed for currency and also to determine if an extension is required.
 - In OOHW Application No 10 the risk level was noted as High by the Communications Manager and ER but Low by AA (who ultimately approves). It is recommended that the risk level cell be amended to NA for ER and Comms Manager to reflect the role of the AA in assessing risk level.
 - A small number of affected residents (tenants) at 473 Pacific Hwy are not being contacted directly by AWE. As contact with these tenants is currently via the owner of the premises on behalf of AWE, it is difficult to be certain that they have actually received any respite offers. It is recommended that AWE make all reasonable and feasible efforts to directly contact tenants regarding respite offers.
 - AWE's CCS does not include site specific sub plan as this is not considered relevant or useful at this site. It is recommended that the SM CCS be amended to remove this requirement if not applicable or redundant in certain circumstances.
- Opportunities for Improvement:
 - The Project may also wish to consider voluntary offer of alternative accommodation for future OOHW for the most highly impacted receivers who have already made complaints (even though not technically qualifying for such an offer) as an act of goodwill.
 - The Small Business Owners Support Program (SBOSP) has been established and can be found (via search field) on SM's website and references to it are also made to it in the Business Management Plan available on AWE's website. It is recommended that consideration be given to making the existence of the program more readily known on the SM website.

¹ While this was included as part of the planned scope for this audit in the Audit Program, no actions were required as a result of DPE regulatory actions



Figure 2: City & Southwest Project – Crows Nest Station Regional Context (source: Chatswood to Sydenham EIS Summary, SM)

The construction of the Project consists of the following:

- two station entrances with one located on Pacific Highway between Oxley Street and Hume Street and one located on Clarke Street near the corner of Hume Street
- retail space next to the station entry at site C, and retail opportunities in the Pacific Highway side of sites A and B
- public domain works including footpaths, street tree planting, lighting and street furniture
- new pedestrian lights to cross the Pacific Highway on the northern side of Oxley Street intersection
- new pedestrian crossings on Clarke and Hume Streets
- new bike parking on Hume Street, Pacific Highway, Clarke Street and Oxley Street
- new kiss and ride and taxi bays in close proximity to the station
- installation of wayfinding signage and Sydney Metro information

- Hume Street bi-directional separated cycle link from Clarke Street to Nicholson Street
- upgraded Hume Street intersection with cycle crossing and increased pedestrian capacity
- improved pedestrian crossings at intersections of Oxley Street, Pacific Highway, Hume Street and Clarke Street.

Early works at the station by AWE began in January and main construction was ongoing at the time of the audit. Crows Nest Metro Station is scheduled to be completed by the end of 2023 and will open in 2024.

1.2 Approval requirements

Conditions A37 – A40 of Schedule 2 of CSSI 7400 set out the requirements for undertaking Independent Audits.

This audit is being undertaken in accordance with the Audit Program prepared under Condition A37 dated August 2022 and is the third audit completed by WolfPeak in that program. The audit period is defined as from January 2021 to 5 October 2022.

1.3 The audit team

In accordance with Condition A39, the environmental audits of the Project must be conducted by a suitably qualified, experienced and independent team of experts in auditing which is to be documented in the Audit Report.

The Audit Team comprises:

- Steve Fermio (Auditor Lead): Bachelor of Science (Hons), Exemplar Global Certified Principal Environmental Auditor (Certificate No 110498)
- Derek Low (Auditor): Master of Environmental Engineering Management, Exemplar Global Certified Lead Environmental Auditor (Certificate No 114283)

In support of their suitability to undertake this audit both Steve and Derek have been approved as independent auditors for the Sydney Metro West and Western Sydney Airport Projects. Both Steve and Derek have also provided Declarations of Independence in accordance with the Department's *Independent Audit Post Approval Requirements (DPIE, 2020)*² (Appendix C).

1.4 The audit objectives and scope

In accordance with the August 2022 Audit Program prepared under Condition A37 (refer Compliance Monitoring/Tracking and Reporting Program Report), this Independent Audit sought to verify compliance with the relevant conditions and assess the effectiveness of environmental management associated with the following aspects:

- Compliance with conditions B1 – B12 of SSI 7400

² The IAPAR are not applicable to this project however we have used the declaration of independence form contained in these guidelines as the basis for declaring our independence from the Project

- Implementation of the OOHW Protocol and management of OOHW.
- Implementation of the Community Communication Strategy.
- Review of status of any actions / commitments made in response to DPE investigations / regulatory actions.

In assessing compliance with the above aspects we have undertaken:

- An assessment of compliance with:
 - All conditions of consent applicable to the aspects being auditing and the current phase of the development; and
 - All post approval and compliance documents related to the aspects being audited and in particular their implementation.
- A review of the environmental performance of the development, including but not necessarily limited to, an assessment of:
 - Incidents, non-compliances and complaints that occurred or were made during the audit period; and
 - Feedback received from the Department (in compliance related correspondence) during the audit period
- The status of implementation of previous Independent Audit findings, recommendations and actions, if any (nil in this case as this is the first Independent Audit of Crows Nest Station)
- Any other matters considered relevant by the auditor taking into account relevant regulatory requirements and legislation, knowledge of past performance and comparison to industry best practices.

2. AUDIT METHODOLOGY

2.1 Audit process

The Independent Audit was conducted in a manner consistent with AS/NZS ISO 19011.2019 – Guidelines for Auditing Management Systems. An overview of the audit activities, as specified in AS/NZS ISO 19011, is presented in Figure 3.

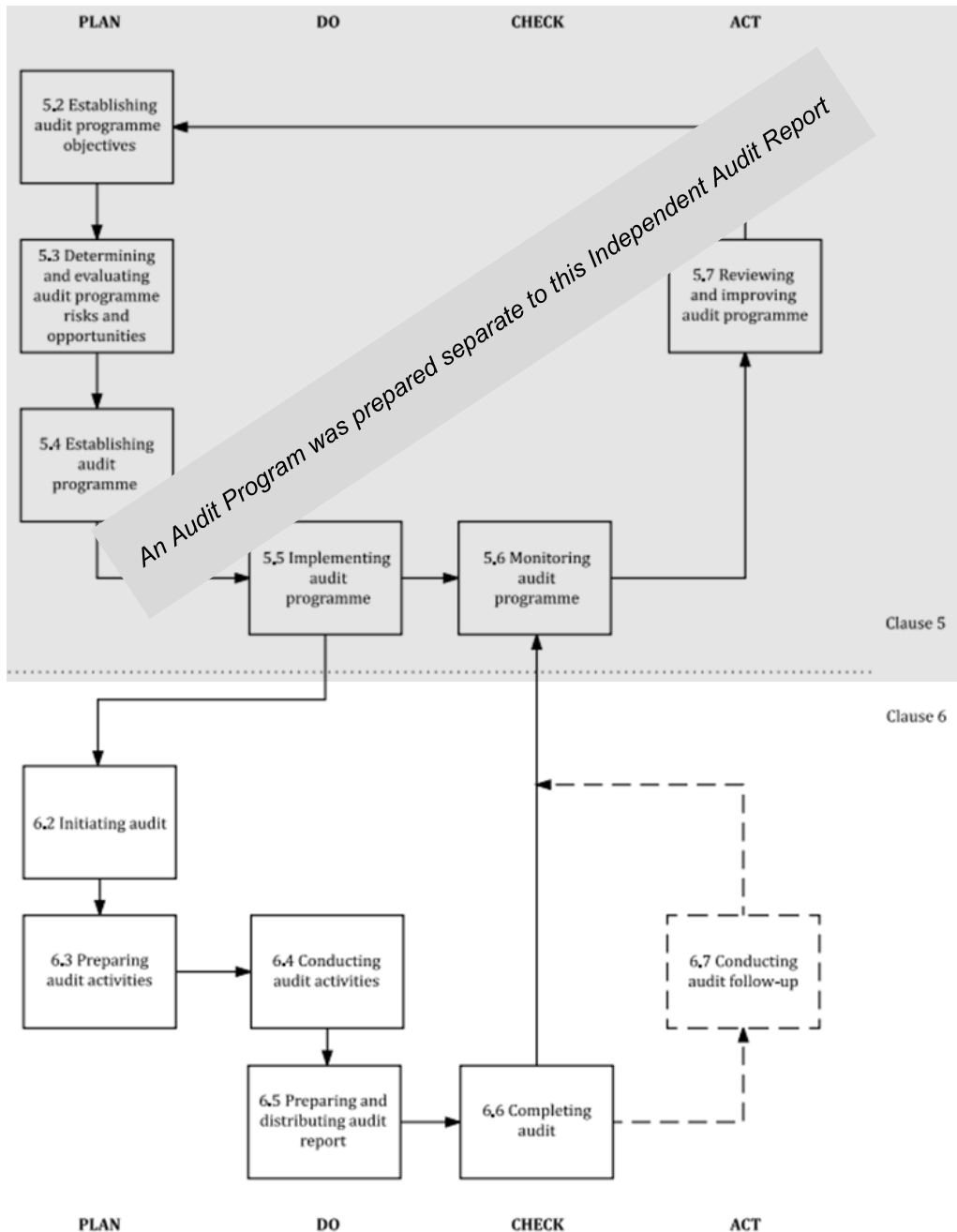


Figure 3: Audit activities overview (modified from AS/NZS ISO 19011). Subclause numbering refers to the relevant subclauses in the Standard.

2.2 Audit process detail

2.2.1 Audit initiation and scope development

Prior to the commencement of the audit the following tasks were completed:

- Establish initial contact with the auditee
- Confirm the audit team
- Confirm the audit purpose, scope and criteria.

2.2.2 Preparing audit activities

The Auditor performed a document review, prepared an audit plan, and prepared work documents (audit checklists) and distributed to the Project team in preparation for the Independent Audit.

The primary documents reviewed prior to and after the site visit are as follows:

- *City & Southwest Out of Hours Work Strategy/Protocol Ver 5.2 (09/10/2021)*
- *Sydney Metro's Community Communications Strategy (Revision 7.2) and AWE's Community Communications Strategy Rev 1 (September 2021)*
- *Sydney Metro's Construction Complaints Management System (City and Southwest) (Rev 7.2)*
- *Sydney Metro's Consultation Manager System Records (online)*

Additional documents sighted are identified in Appendix A.

2.2.3 Site personnel involvement

The Independent Audit was conducted on-site on 5 October 2022.

The following personnel took part in the audit:

- Darragh O'Brien, Environmental Coordinator, AWE
- Pilar Arevalo, Senior Communications Manager, Sydney Metro
- Andrew Grocott, Public Affairs and Engagement Manager, AWE
- Sam Fard, Environment Manager, Sydney Metro
- Darren Green, Environment Manager, AWE
- Sara Yasi, Environment Officer, Sydney Metro
- Steve Fermio, Principal Auditor, WolfPeak.

2.2.4 Meetings and Site Inspection

Opening and closing meetings were held with the Auditor and Project personnel.

During the opening meeting, held on site on 5 October 2022, the objectives and scope of the Audit, the resources required and methodology to be applied were discussed. At the closing meeting,

also held on 5 October 2022, preliminary audit findings were presented, timing for finalisation of the audit report and any post-audit actions were confirmed.

The Auditor conducted interviews during the site inspection with key personnel involved in Project delivery, including those with responsibility for environmental management, to assist with verifying the compliance status of the development.

The on-site audit activities took place on 5 October 2022. The on-site audit activities included an inspection of active work sites and work activities being carried out. Photos are presented in Appendix B.

2.2.5 Document review

The Independent Audit included investigation and review of Project files, records and documentation that acts as evidence of compliance (or otherwise) with a compliance requirement. The documents sighted are detailed within Appendix A.

2.2.6 Generating audit findings

Independent Audit findings were based on verifiable evidence. The evidence included:

- Relevant records, documents and reports
- Interviews of relevant site personnel
- Photographs
- Figures and plans; and
- Site inspections of relevant locations, activities and processes.

2.2.7 Compliance evaluation

The Auditor determined the compliance status of each compliance requirement in the Audit Table, using the descriptors from Table 2 of the Department’s *Independent Audit Post Approval Requirements 2020 (IAPAR)*, as listed in Table 1, below:

Table 1: Compliance descriptors from Table 2 of the IAPAR

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.

Where findings were made against the requirements of a management plan, system or strategy we have used the term Non-Conforming where the requirement was not found to be fully implemented.

Observations and Opportunities for Improvement are also identified to provide context, identify opportunities for improvement or highlight positive initiatives.

2.2.8 Evaluation of post audit approval documentation

The Auditor assessed whether post approval documents have been implemented in accordance with the conditions and all other environmental licences and approvals applicable to the Project (if any).

The adequacy of post approval documents was determined on the basis of whether:

- There are any non-compliances resulting from the implementation of the document; or
- Whether there are any opportunities for improvement.

2.2.9 Completing the audit

The Independent Audit Report was distributed to the Proponent to check factual matters and for input into actions in response to findings (where relevant). The Auditor retained the right to make findings or recommendations based on the facts presented.

3. AUDIT FINDINGS

3.1 Approvals and documents audited, and evidence sighted

The post approval documents audited comprised:

- City & Southwest Out of Hours Work Strategy/Protocol Ver 5.2 (09/10/2021)
- Sydney Metro's Community Communications Strategy (Revision 7.2) and AWE's Community Communications Strategy Rev 1 (September 2021)
- Sydney Metro's Construction Complaints Management System (City and Southwest) (Rev 7.2)
- Sydney Metro's Consultation Manager System Records (online)

The evidence sighted and audit findings against these documents and related conditions are detailed within Appendix A.

3.2 Non-compliance, Observations and Actions

In summary there were four observations and two opportunities for improvement identified, outlined as follows:

- Observations:
 - Given passage of time (nearly 3 years) and potential changes to affected stakeholders, site layout and any revised mitigation measures in response to community complaints since the application was approved by DPE in November 2019, it is recommended that OOHW Application No 1.2 (if required for ongoing girder deliveries) be reviewed for currency and also to determine if an extension is required.
 - In OOHW Application No 10 the risk level was noted as High by the Communications Manager and ER but Low by AA (who ultimately approves). It is recommended that the risk level cell be amended to NA for ER and Comms Manager to reflect the role of the AA in assessing risk level.
 - A small number of affected residents (tenants) at 473 Pacific Hwy are not being contacted directly by AWE. As contact with these tenants is currently via the owner of the premises on behalf of AWE, it is difficult to be certain that they have actually received any respite offers. It is recommended that AWE make all reasonable and feasible efforts to directly contact tenants regarding respite offers.
 - AWE's CCS does not include site specific sub plan as this is not considered relevant or useful at this site. It is recommended that the SM CCS be amended to remove this requirement if not applicable or redundant in certain circumstances.
- Opportunity for Improvement

- Project may also wish to consider voluntary offer of alternative accommodation for future OOHW for the most highly impacted receivers who have already made complaints (even though not technically qualifying for such an offer) as an act of goodwill.
- The Small Business Owners Support Program (SBOSP) has been established and can be found (via search field) on SM's website and references to it are also made to it in the Business Management Plan available on AWE's website. It is recommended that consideration be given to making the existence of the program more readily known on the SM website.

Details are provided in Table 2 below.

Table 2: Findings from the 3rd Independent Audit

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Auditee Response to Recommendation
7400_IA3_01	OOHW Protocol section 4.2.2	Observation	<p>For OOH work that is not subject to an EPL, the approval process is dictated by either C2S CoA E47 or S2B CoA E25. Contractors are required to prepare an OOH application using a form consistent with SM-17-00000115 Out of Hours Work Application Form.</p> <p>Observations:</p> <ul style="list-style-type: none"> Application No 1.2 approved by DPE is nearly 3 years old. Potential changes to affected stakeholders, site layout and any revised mitigation measures in response to community complaints may not be reflected in the original application since it was first approved by DPE in November 2019. In OOHW Application No 10 the risk level was noted as High by the Communications Manager and ER but Low by AA (who ultimately approves). 	<ol style="list-style-type: none"> Recommend that OOHW Application No 1.2 (if still required for ongoing girder deliveries) be reviewed for currency and also to determine if an extension and fresh approval by DPE is required It is recommended that the risk level cell be amended to NA for ER and Comms Manager to reflect the role of the AA in assessing risk level 	SM	<p>1. Noted. AWE have advised that there will be 6-8 nights of OSOM girder deliveries to be completed in 2023. The approval for these works is yet to be determined.</p> <p>2. The 'high risk; rating in OOHW No. 10 was a typo which had been carried over from another approval. This should have read as N/A against the ER and Comms Manager sign off. This had now been corrected</p>

7400_IA3_02	OOHW Protocol section 4.2.2.1	Observation	<p>Respite offers for impacted receivers will be considered in accordance with the CNVS. Respite may be offered in the form of a reduction or absence of noise emissions for a period of time, or by removing the affected receiver from the noise emission point source (e.g. dinner/movie tickets and/or alternative accommodation offers).</p> <p>Observation: A small number of affected residents (tenants) at 473 Pacific Hwy are not being contacted directly by AWE. As contact with these tenants is currently via the owner of the premises on behalf of AWE, it is difficult to be certain that they have actually received any respite offers</p> <p>OFI: Project may also wish to consider voluntary offer of alternative accommodation for future OOHW for the most highly impacted receivers who have already made complaints (even though not technically qualifying for such an offer) as an act of goodwill</p>	<p>Observation: Recommend that AWE make all efforts to directly contact tenants as well as via owner</p> <p>OFI: Consider voluntary offer of alternative accommodation for future OOHW for the most highly impacted receivers who have already made complaints as an act of goodwill</p>	<p>AWE</p> <p>AWE/SM</p>	<p>Response to Observation: AWE engages face to face with the residential tenants through the building owner/manager, and directly with the commercial tenants (Ratio Coffee, Lash & Mi Lash and Brow Bar, and the Rock Crystal Shop). All tenants (residential and commercial) are on our email distribution list and receive project and construction updates, including our weekly e-news update.</p> <p>Response to OFI: AWE recently provided a resident and their family from adjoining property with alternative accommodation from Sunday 16 October to Saturday 22 October during OOH tower crane removal and setup works. This</p>
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Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Auditee Response to Recommendation
						<p>alternative accommodation was not triggered in the noise assessment, but as a goodwill gesture. AWE will also be offering alternative accommodation to residents of 26 Clarke St for OOH girder installation works as a goodwill gesture.</p>

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Auditee Response to Recommendation
7400_IA3_04	Community Communications Strategy 7.2 – Section 8.1.1	Observation	<p>Sydney Metro has established a Small Business Owners Support Program (SBOSP) to provide support, if required, to small business owners located within 50 metres of Sydney Metro C&SW. For the purposes of this program, a 'small business' is defined as a business that employs fewer than 20 people.</p> <p>OFI: While it is understood that support under the SBOSP has not been triggered for Crows Nest it is recommended that consideration be given to making the existence of the program more readily known on the SM website</p>	Consideration be given to making the existence of the SBOSP more readily known on the SM website.	SM	Response to recommendation: Noted. The document's availability on the SM website in the document library is consistent with all other communications docs related to the planning approval. Suggest it would be more appropriate for a link to this doc be added in the contractor Business Management Plan when it's reviewed next.

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Auditee Response to Recommendation
7400_IA3_05	Community Communications Strategy 7.2 - Table 10	Observation	<p>Contractor delivery communication teams to develop their Community Communication Strategy in accordance with the relevant contract and planning approval requirements. The Contractor CCS should include:</p> <ul style="list-style-type: none"> • Site-specific sub-plans for each construction site • A Business Management Plan <p>The site-specific sub-plans for each construction site must detail strategies for the management of community liaison issues at each construction site, including the management of homeless people who may impact or be impacted by construction work</p> <p>Observation: AWE's CCS does not include site specific sub plan as this is not considered relevant or useful at this site.</p>	Consider amending SM CCS to remove requirement for site specific plan if not applicable or redundant	SM	Response to recommendation: The SM OCCS covers all CSW sites, some of which require site specific plans, so cannot be amended to suit Crows Nest only.

3.3 Adequacy of Environmental Management Plans, sub-plans and post approval documents

A review was conducted of the effectiveness and implementation of:

- City & Southwest Out of Hours Work Strategy/Protocol Ver 5.2 (09/10/2021)
- Sydney Metro's Community Communications Strategy (Revision 7.2) and AWE's Community Communications Strategy Rev 1 (September 2021)
- Sydney Metro's Construction Complaints Management System (City and Southwest) (Rev 7.2)
- Sydney Metro's Consultation Manager System Records (online)

Apart from the findings outlined in Table 2, the Auditor considers the documents to be adequate for the works being undertaken.

3.4 Summary of notices from agencies

To the Auditor's knowledge one show cause letter was received from the Department on 21 September 2022 in relation to a late running concrete pour on 26/7 March 2022 that results in a complaint. There were no actions arising from this letter.

3.5 Other matters considered relevant by the Auditor

Other than the matters identified in Section 3.2, there were no other matters considered relevant by the Auditor.

3.6 Complaints

A complaints register is being maintained for the Project using the software, Consultation Manager. A total of 93 complaints related to Sydney Metro activities were recorded between January 2021 until 5 October 2022 (based on output reports from Consultation Manager provided by Sydney Metro). 35 of the complaints were related to noise associated with out of hours works which had been approved under the OOHW protocol.

Sydney Metro has investigated each and considered each complaint closed and generally unavoidable. The complaint related to the late finishing concrete pour on 26/27 March 2022 was not considered unavoidable by DPE (hence Official Caution of 21 September 2022).

The Auditor considers the management of complaints on the Project to be adequate, notwithstanding the opportunities for improvement and observations outlined in Table 2.

3.7 Incidents

The Project has not identified any environmental incidents (as defined by the Approval) during the audit period.

4. CONCLUSIONS

This Independent Audit sought to verify compliance with the relevant conditions and assess the effectiveness of environmental management associated with the following aspects:

- Compliance with conditions B1 – B12 of SSI 7400
- Implementation of the OOHW Protocol and management of OOHW.
- Implementation of the Community Communication Strategy.
- Review of status of actions / commitments made in response to DPE investigations / regulatory actions.

The overall outcome of the Independent Audit was positive. Records were well organised and available at the time of the site inspection and interviews with Project personnel from Sydney Metro and AWE.

In summary there were four observations and two opportunities for improvement identified as follows:

- Observations:
 - Given passage of time (nearly 3 years) and potential changes to affected stakeholders, site layout and any revised mitigation measures in response to community complaints since the application was approved by DPE in November 2019, it is recommended that OOHW Application No 1.2 (if required for ongoing girder deliveries) be reviewed for currency and also to determine if an extension is required.
 - In OOHW Application No 10 the risk level was noted as High by the Communications Manager and ER but Low by AA (who ultimately approves). It is recommended that the risk level cell be amended to NA for ER and Comms Manager to reflect the role of the AA in assessing risk level.
 - A small number of affected residents (tenants) at 473 Pacific Hwy are not being contacted directly by AWE. As contact with these tenants is currently via the owner of the premises on behalf of AWE, it is difficult to be certain that they have actually received any respite offers. It is recommended that AWE make all reasonable and feasible efforts to directly contact tenants regarding respite offers.
 - AWE's CCS does not include site specific sub plan as this is not considered relevant or useful at this site. It is recommended that the SM CCS be amended to remove this requirement if not applicable or redundant in certain circumstances.
- Opportunities for Improvement:
 - The Project may also wish to consider voluntary offer of alternative accommodation for future OOHW for the most highly impacted receivers who have already made complaints (even though not technically qualifying for such an offer) as an act of goodwill.

- The Small Business Owners Support Program (SBOSP) has been established and can be found (via search field) on SM's website and references to it are also made to it in the Business Management Plan available on AWE's website. It is recommended that consideration be given to making the existence of the program more readily known on the SM website.

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APPENDIX A – SSI 7400 CONDITIONS OF APPROVAL

Table 3: SSI 7400 Conditions Checklist

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
COMMUNITY INFORMATION, CONSULTATION AND INVOLVEMENT				
B1	A Community Communication Strategy must be prepared to facilitate communication between the Proponent, and the community (including Relevant Councils, adjoining affected Landowners and businesses, and others directly impacted by the CSSI), during the design and construction of the CSSI and for a minimum of 12 months following the completion of construction of the CSSI	Crows Nest Station specific AWE CCS (Rev 1) is available at: https://crowsnestmetrostation.com.au/ Sydney Metro overarching CCS (Rev 6.2) available at: https://www.sydneymetro.info/documents	Proponent and contractor CCS's have been prepared for Crows Nest Station works and are being implemented (see further details below)	C
B2	The Community Communication Strategy must: (a) identify people or organisations to be consulted during the design and construction phases; (b) set out procedures and mechanisms for the regular distribution of accessible information about or relevant to the CSSI; (c) identify opportunities to provide accessible information regarding regularly updated site construction activities, schedules and milestones at each construction site including use of construction hoardings to provide information regarding construction, specific to the location; (d) identify opportunities for the community to visit construction sites (taking into consideration workplace, health and safety requirements); (e) involve construction personnel from each construction site in engaging with the local community; (f) provide for the formation of issue or location-based community forums that focus on key environmental management issues of concern to the relevant community(ies) for the CSSI; (g) set out procedures and mechanisms: i. through which the community can discuss or provide feedback to the Proponent; ii. through which the Proponent 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 environmental management and delivery of the CSSI	Table 1 of SM CCS indicates how all of these requirements have been addressed Appendix A Compliance Matrix of AWE CCS indicates how all of these requirements have been addressed	Both proponent and contractor CCS's address the requirements of this condition	C
B3	The Community Communication Strategy must be submitted to the Secretary for approval no later than three months from the date of this approval or one (1) month before commencement of any work, whichever is the latter	DPE letter of 12/3/19 approving Rev 6 of SM CC (noting previous versions were approved earlier by DPE)	SM CCS approved as per requirement	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
B4	Work for the purposes of the CSSI must not commence until the Community Communication Strategy has been approved by the Secretary, or within another timeframe agreed with the Secretary	Interview with auditees 5/10/22 It is understood construction of the overall C&SW Project commenced in June 2017 and that early works at Crows Nest Station by AWE began in January 2021 (see Crows Nest Station newsletter May 2021)	SM CCS approved well in advance of construction at Crows Nest Station. AWE CCS approved by SM 5/2/21	C
B5	The Community Communication Strategy, as approved by the Secretary, must be implemented for the duration of the works and for 12 months following the completion of construction.	Construction ongoing	Compliant	C
COMPLAINTS MANAGEMENT SYSTEM				
B6	A Complaints Management System must be prepared before the commencement of any works in respect of the CSSI and be implemented and maintained for the duration of works and for a minimum for 12 months following completion of construction of the CSSI.	SM Construction Complaints Management System Rev 7.2 (Revision 1 approved on 26/11/12 for use on NWRL) https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Construction-Complaints-Management-System.pdf Consultation Manager is an integral component of this system used to manage complaints	Ongoing use of Consultation Manager is key to compliance with this requirement	C
B7	The Complaints Management System must include a Complaints Register to be maintained recording information on all complaints received about the CSSI during the carrying out of any works associated with the CSSI and for a minimum of 12 months following the completion of construction. The Complaints Register must record the: (a) number of complaints received; (b) number of people affected in relation to a complaint; and (c) nature of the complaint and means by which the complaint was addressed and whether resolution was reached, with or without mediation	Complaints Register is embedded within Consultation Manager database which was sighted during the interview on 5/10/22 and which contains the information required to be recorded by this condition Daily, weekly and monthly complaints report is provided to DPE Daily Complaint Report for 4/10/22 sighted includes the required information Weekly Complaints Reports sighted, which contain more details than the daily reports August 2022 Monthly Complaints Report sighted	Consultation Manager System includes Register which complies with requirements of this condition	C
B8	The Complaints Register must be provided to the Secretary upon request, within the timeframe stated in the request	DPE has not requested a copy of the complaints register per se but are receiving the reports referred to in B7 above via Compliance email address (SM Enviro Team does this)	Compliant	C
B9	The following facilities must be available within one (1) month from the date of this approval and for 12 months following the completion of construction and appropriately broadcast to collect community enquiries and complaints: (a) a 24 hour telephone number for the registration of complaints and enquiries about the CSSI; (b) a postal address to which written complaints and enquires may be sent; (c) an email address to which electronic complaints and enquiries may be transmitted; and (d) place-based community manager for each of the station locations available to meet with community members on request	Table 38 of SM CCS and at following SM web page: https://www.sydneymetro.info/get-touch (d) is AWE responsibility as per Table 2 of AWE CCS Currently Susan Von Kolpakow	Facilities available as per condition	C
B10	The telephone number, postal address and email address required under Condition B9 of this approval must be published in a newspaper circulating in the local area and on site hoarding	Booking request with North Shore Times for Thursday, 9 March, 2017 and Start of Construction B9 information advert sighted	Information provided complies with requirement	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
	at each construction site before commencement of construction and published in the same way again before commencement of operation. This information must also be provided on the website required under Condition B15 of this approval			
B11	A Community Complaints Mediator that is independent of the design and construction personnel must be nominated by the Proponent, approved by the Secretary and engaged during all works associated with the CSSI. The nominated Community Complaints Mediator must be submitted to the Secretary for approval within one month of the date of this approval or within another timeframe agreed with the Secretary	Christine Marsden was replaced by Rosemary Howell as the Community Complaints Mediator in Nov 2020 DPE approval letter dated 10/11/20 sighted	CCM has been approved by DPE but has not been used for Crows Nest site as yet	C
B12	The role of the Community Complaints Mediator must address any complaint where a member of the public is not satisfied by the Proponent's response. Any member of the public that has lodged a complaint which is registered in the Complaints Management System identified in Condition B6 may ask the Community Complaints Mediator to review the Proponent's response. The application must be submitted in writing and the Community Complaints Mediator must respond within 28 days of the request being made or other specified timeframe agreed between the Community Complaints Mediator and the member of the public	This role has not been triggered as yet on AWE's C&SW Project in relation to Crows Nest works Note that process was triggered in 2017 in relation to a child care centre at Crows Nest under a separate contractor (however the referral process has changed since that time)	Not triggered for current works at Crows Nest	NT
OOHW PROTOCOL V5.2				
4.2.1	For OOH work that is subject to an EPL, the EPL conditions will dictate the approval process. As a minimum however, for proposed OOH work that is not approved in the EPL and a variation is required, the contractor is expected to..	OOHW Protocol in process of being updated to version 5.3 in response to Mod 9 No EPL applies to the Crows Nest Station site	Not triggered as no EPL applies to current works at Crows Nest station site	NT
4.2.2	For OOH work that is not subject to an EPL, the approval process is dictated by either C2S CoA E47 or S2B CoA E25. Contractors are required to prepare an OOH application using a form consistent with SM-17-00000115 Out of Hours Work Application Form. Where Third Party permits (e.g. Road Occupancy Licences and/or rail possessions) require works to be undertaken OOH, these works will be exempt from classification as 'high risk' (described under section 4.2.2.3) and will be subject to endorsement by the AA and approval by ER as required under C2S CoA E47 or approval by the ER under S2B CoA E25 in accordance with the 'Low Risk' approval pathway. Evidence of Third Party approval applicable to the works, specifying the time that the works must be undertaken must be included as part of application	Application No 1.2 OSOM Pre Cast Girder Delivery from July 21 to Dec 22 OOHW Application assessed as High Risk by AA and approved by DPE on 19/11/19 Application No 12 High Voltage Pipe Removal dated 3/2/22 approved by AA on 4/2/22 as Low Risk works Application No 17 Service investigations: Pacific Highway West approved by AA on 7/10/22 as Low Risk Works (post audit site inspection) Application No 10 Version 22 dated 19/9/22 reviewed in detail during audit. This covers low impact works such as waterproofing, steel fixing, formwork, concrete pours and finishing, rigging work, installation of services below slab, deliveries. Each new version applies for a month and is then reapproved to respond to new activities, changes, complaints etc. Respite offers have been triggered but no alternative accommodation triggered Noise verification monitoring of finishing works undertaken October 2022 monthly newsletter sighted Weekly email update sent out to approx. 2500 people Approx 200 people are door knocked	Observations: 1. In relation to Application No 1.2, given passage of time (nearly 3 years) and potential changes to affected stakeholders, site layout and any revised mitigation measures in response to community complaints since the application was approved by DPE in November 2019, it is recommended that OOHW Application No 1.2 (if required for ongoing girder deliveries) be reviewed for currency and also to determine if an extension is required. 2. In OOHW Application No 10 the risk level was noted as High by the Communications Manager and ER but Low by AA (who ultimately approves). It is recommended that the risk level cell be amended to NA for ER and Comms Manager to reflect	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
		<p>OOH mobile crane consultation register sighted which includes details of residents at home, slip being left if not, SM contact details left. Records kept in Consultation Manager</p> <p>Example of Slip sighted for Upcoming Footpath works Clarke Street 12 July</p> <p>Stand alone fact sheet provided for more substantial works such as the Clarke Street / Hume Street rebuild works in March 2022</p> <p>DPE Official Caution 21/9/22 Ref INV-46014459 advised AWE of a non compliance with CoA E36 on 26/3/22 in relation to a late finishing concrete pour.</p>	<p>the role of the AA in assessing risk level).</p>	
4.2.2.1	<p>Respite offers for impacted receivers will be considered in accordance with the CNVS. Respite may be offered in the form of a reduction or absence of noise emissions for a period of time, or by removing the affected receiver from the noise emission point source (e.g. dinner/movie tickets and/or alternative accommodation offers).</p> <p>The CNVS requires respite offers to be considered for all OOH works that are predicted to generate impacts higher than the applicable exceedance criteria for the applicable OOH period. Proposed OOH works must be coordinated to avoid the same receiver being affected over consecutive nights as much as is reasonable. OOH works must be staggered as much as is reasonable in order to maximise the respite period between OOH works.</p> <p>If consideration of respite offers is required, a decision to implement respite offers will be determined on a case-by-case basis and considering, but not limited to, the following factors</p>	<p>473 Pac Hwy. residents were identified as requiring a respite offer. Building owner was made aware of respite offer and he is the contact for the building. Related to OOHW on 27/4/22 and 30/4/22</p> <p>533-545 Pac Hwy. Earbuds offered as respite over longer term and in addition to the nights when work not taking place under DPE approved OOHW.</p> <p>Register of respite offers sighted</p>	<p>Observation:</p> <p>A small number of affected residents (tenants) at 473 Pacific Hwy are not being contacted directly by AWE. As contact with these tenants is currently via the owner of the premises on behalf of AWE, it is difficult to be certain that they have actually received any respite offers</p> <p>Recommend that AWE make all efforts to directly contact tenants as well as via owner</p> <p>OFI: Project may also wish to consider voluntary offer of alternative accommodation for future OOHW for the most highly impacted receivers who have already made complaints (even though not technically qualifying for such an offer) as an act of goodwill.</p>	C
4.2.2.2	<p>Once the contractor has prepared an OOH work application, the application is submitted to the Place Manager, Sydney Metro Environment Manager, AA (if subject to the C2S planning approval) and ER for review. Any of the reviewers may provide comments on the application, which need to be adequately addressed by the contractor in a resubmitted application to the satisfaction of the comment provider(s)</p>	<p>Review comments raised via Teambinder and addressed in final version by AWE. Comments register sighted</p>	<p>Review of OOHW applications by relevant parties is being undertaken</p>	C
4.2.2.3	<p>The first endorsement of an OOH application is from the applicable communications representative (from Sydney Metro). This person may also add any comments and/or conditions that need to be complied with.</p> <p>Following this person's endorsement, the AA is required to consider the applicant's risk level for the proposed OOH work and determine whether this risk level is appropriate. Once the AA has considered the applicant's risk level, the AA indicates the risk level of the proposed OOH work in its own professional judgement in accordance with C2S CoA E47 (this role will be undertaken by the ER for OOH work subject to the S2B approval). This risk level will be categorised as either 'Low risk' or 'High risk'.....</p>	<p>Approved OOHW applications noted above follow this practice and a High risk application No 1.2 was approved by DPE as required (see Observation in 4.2.2 above)</p>	<p>Complies with process</p>	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
4.2.2.5	<p>Following the identification of risk level by the AA/ER, the AA/ER endorses the OOH work application and provides any conditions or comments.</p> <p>If the AA/ER identifies that the OOH work application is high risk and includes works after 9pm, the application is forwarded to the ER for endorsement only. Following the ER's endorsement, the application is then formally submitted by Sydney Metro to the Secretary for approval in accordance with C2S CoA E47 or S2B CoA E25.</p> <p>For all other applications, the ER indicates their approval (or otherwise) on the application, including any conditions or comments, and forwards directly to Sydney Metro, the contractor and AA (if subject to the C2S planning approval).</p>	SM received approval for OSOM OOHW No 1.2 on 19/11/19 from DPE	High Risk OOHW application No 1.2 approved in accordance with process	C
4.2.2.6	Community notifications for approved OOH applications will be made available to the Secretary, the EPA and the community through the Sydney Metro website within five (5) days and not more than fourteen (14) days of the works commencing. The community will also be issued with hard-copy community notifications	Community notifications uploaded to Crows Nest SM page on same day as they are delivered. They expire after 3 months	Complies with requirement	C
4.3.1	A negotiated agreement for particular OOH work may be formed with the potentially affected sensitive receivers in accordance with the C2S and/or S2B CoA. These negotiated agreements would be undertaken and documented by either the contractor or Sydney Metro as part of an OOH application....	NA		NT
4.4	Occasionally there may be a need to undertake emergency works outside of standard work hours	NA		NT
COMMUNITY COMMUNICATIONS STRATEGY 7.2 – SECTION 6 TOOLS				
Community information line	<p>This allows stakeholders and the community to have access to the project teams 24 hours a day during construction. All communication materials and the website will include the community information line number.</p> <p>During construction, calls will be redirected to relevant contractors as required. Translation services are available for those with English as a second language</p>	<p>Community information line available at following webpages:</p> <p>https://www.sydneymetro.info/get-touch</p> <p>https://crowsnestmetrostation.com.au/#top</p> <p>Call made to 1800 # on Sunday 23/10/22 was answered</p>	Community info line in place and was answered when tested by Auditor	C
Contractor newsletters	<p>Site-specific newsletters will be issued for each construction site or area.</p> <p>Content from multiple contracts and contractors will be included, where appropriate. The update will contain information about:</p> <ul style="list-style-type: none"> • Construction progress • Upcoming construction stages and milestones • Environmental management achievements • Community involvement achievements • Three month look-ahead 	<p>Document library on SM website</p> <p>https://www.sydneymetro.info/documents</p> <p>Monthly construction updates available at:</p> <p>https://www.sydneymetro.info/station/crows-nest-station</p> <p>Open Days were held earlier this year to name the cranes and information boards were placed around the site earlier this year, photos in Appendix B</p> <p>6 month look ahead in the bi annual newsletter</p> <p>Translation services available on SM website</p>	Compliance with requirements evidenced	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
	<ul style="list-style-type: none"> Community contact information. <p>The newsletter will be made available on the Sydney Metro website, distributed to project email lists and distributed to local stakeholders including neighbouring residents and businesses.</p> <p>The notifications will promote our translation services for those with English as a second language.</p>			
Sydney Metro email updates	<p>Email updates will be sent by the Sydney Metro team to inform stakeholders and the community as required about project and planning milestones to subscribers.</p> <p>Stakeholders will be offered the opportunity to register to receive these updates on the Sydney Metro website and via public materials produced for Sydney Metro.</p>	Approx. 2500 stakeholders are emailed updates in Crows Nest subscriber list	Complies with requirements	C
Contractor email updates	<p>In the first instance, Contractors will distribute newsletters and notifications by email. Where a notification or newsletter isn't planned, contractors will distribute site specific monthly community update emails for each construction site.</p> <p>The emails will inform the community of the progress of the project and key milestones or activities taking place during the following month.</p>	<p>AWE prepares the notifications, SM review and they are sent to community and stakeholders through Consultation Manager.</p> <p>Open and click rates are then monitored via CM</p> <p>Construction updates include details required</p>	Information sighted complies with requirements	C
Contractor webpage	<p>Each contractor will establish and maintain a web site to upload and maintain information required to be published to comply with the relevant projects Conditions of Approval. Including copies of community, environmental, sustainability, transport, traffic and noise and vibration reports and plans.</p> <p>This website will be for information purposes only and will not contain any promotional materials regarding Sydney Metro or the Sydney Metro logo.</p>	<p>AWE Crows Nest project website located at: https://crowsnestmetrostation.com.au/#top</p>	The AWE website contains all of the required community, environmental, sustainability, transport, traffic and noise and vibration reports and plans	C
Mobile displays	During construction, displays will be used to explain to stakeholders and the community the current stage of construction and what they can expect	<p>Open Day on 20 March 2022</p> <p>77 community members attended</p>	Complies with requirement	C
Door knock meetings	Individual doorknock meetings will be used as required to discuss the potential impacts of Sydney Metro with highly impacted stakeholders, especially residents and businesses directly neighbouring construction sites.	At audit interview on 5/10/22 it was stated that doorknock visits are routinely undertaken and there was evidence of this sighted in Consultation Manager records and also Slips that are left under doors in the event that residents etc are not at home.	Evidence heard and sighted complies with requirements	C
Community and business forums	<p>Forums will be used to focus on key environmental management issues relating to contractor activities with highly impacted community and business stakeholders.</p> <p>Forums will use bi-lingual team members or external translators where appropriate</p>	<p>Community information session held for overstation development (stage 2) in June 2021</p> <p>Community information session also held in March 2021 as noted above</p>	Complies with requirements	C
7 day community notification signage	Signage will be used to advise the community and stakeholders, no earlier than 7 days prior, of any activity with the potential to impact. This includes:	Pedestrian detour notification signage sighted (including photos of this in place – Appendix B)	Complies with requirements	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
	<ul style="list-style-type: none"> • Work in public areas such as a park • Making changes to pedestrian routes • Impacting on cycle ways • Changing traffic conditions • Disrupting access to bus stops. <p>Signage could include A-frames, mobile VMS, hoarding or similar and be placed at either end of the corridor of work.</p>	<p>Maps also included in weekly newsletters prior to works and also on Slips left when residents not in attendance</p> <p>Traffic notification signage noted on day of inspection</p>		
School engagement program	A school engagement program developed by Sydney Metro will be used to engage with primary and high school students.	<p>Education engagement program available on SM website:</p> <p>https://www.sydneymetro.info/education</p> <p>Curriculum and school holiday based programs in place, how to get involved and competitions</p>	Complies with requirement	C
Communications interface groups	<p>Communications interface groups for specific locations have been set up to provide contractors and Sydney Metro to exchange information about upcoming activities. These groups replace the Communications Management Control Group. The Communications interface groups meet as needed to:</p> <ul style="list-style-type: none"> • Provide an update on current and upcoming milestones, construction program and stakeholder and community issues. • Provide a forum to exchange information and coordinate communication and consultation activities to ensure a consistent approach to stakeholders, the community and others is delivered. <p>Invitations will be sent, as required, to community relations representatives from other large infrastructure projects where cumulative impacts are likely</p>	<p>CICG Communications Interface Control Group was in place at Crows Nest in 2020 but has not been deemed necessary at this stage of the works with AWE the only major contractor at the site.</p> <p>Operational Interface Meeting Crows Nest - North Sydney Council (AWE, SM & Council attendees), occurs every month</p>	Complies with requirement	C
8.1.1	<p>Sydney Metro has established a Small Business Owners Support Program (SBOSP) to provide support, if required, to small business owners located within 50 metres of Sydney Metro C&SW. For the purposes of this program, a 'small business' is defined as a business that employs fewer than 20 people.</p> <p>Businesses that raise concerns which cannot be addressed through the contractor Business Management Plan or the escalation process in the Construction Complaints Management System, will be referred to the Director, Project Communications for consideration of additional support under the SBOSP</p>	<p>The SBOSP is available on the SM website at:</p> <p>https://www.sydneymetro.info/documents</p> <p>but only via the document Search field. It is also referred to in AWE's Business Management Plan downloadable at:</p> <p>https://crowsnestmetrostation.com.au/#top</p>	<p>The SBOSP has been established and can be found (via search field) on SM's website and references to it are also made to it in the Business Management Plan available on AWE's website</p> <p>OFI:</p> <p>While it is understood that support under the SBOSP has not been triggered for Crows Nest, it is recommended that consideration be given to making the existence of the program more readily known on the SM website</p>	C
8.1.3	<p>A monitoring program will be undertaken to assess the effectiveness of strategies to inform and to minimise impacts of construction on businesses. The performance parameters and monitoring tools are shown in Table 7.</p> <p>Results from the monitoring program will be provided to Sydney Metro on a monthly and six monthly basis in the same format as Table 7</p>	<p>Business impact monitoring is included in section 5.7 of the 6 monthly Construction Compliance Reports available on SM's website at:</p> <p>https://www.sydneymetro.info/citysouthwest/environment-planning</p> <p>AWE provides input into the CCR</p> <p>AWE has a Business Management Plan (no overarching SM BMP)</p>	Information available on SM and AWE's websites indicates compliance with requirements	C

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
	The Business Management Plan will be reviewed at least every six months and updated to reflect project progress, feedback from businesses and lessons learnt via the monitoring program.	AWE BMP first issued on 30/11/20 and has been reviewed 5 times since then. Latest rev dated 10/5/22		
Table 10	<p>Contractor delivery communication teams to develop the Community Communication Strategy in accordance with the relevant contract and planning approval requirements. This includes a procedure for monitoring, auditing and reporting on the CCS (and BMP). The Strategy should provide a clear framework, including policies, processes and procedures for proactive communications management and to assure that stakeholder and community relations are effectively managed in accordance with the Conditions of Approval. The plan should include:</p> <ul style="list-style-type: none"> • Site-specific sub-plans for each construction site • A Business Management Plan <p>The site-specific sub-plans for each construction site must detail strategies for the management of community liaison issues at each construction site, including the management of homeless people who may impact or be impacted by construction work</p>	<p>AWE CCS dated 1/9/21 available on its website at: https://crowsnestmetrostation.com.au/#top</p> <p>Appendix A Compliance Matrix of AWE CCS addresses these requirements</p> <p>Section 8.6.1 deals with monitoring on CCS and BMP</p> <p>Interview with auditee's on 5/10/22 indicated that the site specific plan component was not applicable</p> <p>AWE CCS includes BMP</p>	<p>AWE CCS complies with requirements</p> <p>Observation:</p> <p>Consider amending plan to remove site specific requirement if not applicable or redundant</p>	C
Table 18	Sydney Metro and Contractor to provide an initial response to email/written correspondence (letters/faxes) within 48 hours.	<p>Consultation Manager was sighted at audit interview on 5/10/22 and observed to address this requirement</p> <p>108 complaints since Jan 2021</p>	Evidence sighted in Consultation Manager addresses requirements	C
Table 19	Sydney Metro provide at least an oral response to calls forwarded from the community information line within two hours unless otherwise agreed	<p>AWE responds to phone calls about the works</p> <p>SM only respond to project wide calls but this hasn't happened yet</p> <p>Evidence sighted in CM records on 5/10/22</p>	Evidence sighted in Consultation Manager addresses requirements	C
Table 19	Contractor to answer all phone calls from the community information line during construction hours (calls to be answered by a team member, not an answering machine)	As above	Evidence sighted in Consultation Manager addresses requirements	C
Table 19	Contractor to provide at least an oral response to calls forwarded from 1800 community information line within two hours unless otherwise agreed	As above	Evidence sighted in Consultation Manager addresses requirements	C
Table 19	Contractor to provide feedback to requests for information from the Sydney Metro Communication and Engagement team Sydney Metro Communication and Engagement team within two hours	NA		NT
Table 20	<p>Community Complaints Mediator:</p> <ul style="list-style-type: none"> • Provide mediation services for complaints referred by the Director, Project Communications • Any member of the public that has lodged a complaint which is registered in the Complaints Management System may ask the Community Complaints Mediator to review Sydney Metro's response. • This must be submitted in writing and the Community Complaints Mediator must respond within 28 days of the 	NA		NT

CoA / ITEM	Compliance requirement	Evidence collected	Independent Audit findings and recommendations	Compliance Status
	request being made or other specified timeframe agreed between the Community Complaints Mediator and the member of the public			
Table 20	Retail Advisory Support Panel is to implement the Small Business Owners Support Program	NA		NT
DPE REGULATORY ACTIONS				
NA	Review of status of actions / commitments made in response to DPE investigations / regulatory actions	<p>The following DPE regulatory actions have occurred during the audit period (Jan 21 to Oct 22)</p> <ul style="list-style-type: none"> Official caution issued by DPE 21/9/2022 in relation to complaint received due to late running concrete pour on 26-27/3/22. No specific actions required by the caution 	No specific actions were required in response to regulatory actions during the audit period	NT

APPENDIX B – SITE PHOTOS



Plate 1 – Unattended noise monitor microphone (centre of image)



Plate 2 – Stormwater drain with internal drain guard installed



Plate 3 – Tower cranes over Station box site with Pacific Highway in foreground

APPENDIX C – DECLARATIONS

Declaration of Independence - Auditor



Project Name:	SYDNEY METRO CITY & SOUTHWEST – CROWS NEST STATION
Consent Number:	SSI 7400
Description of Project:	Development of the Sydney Metro Crows Nest Station
Project Address:	Sydney metropolitan area
Proponent:	Transport for NSW – Sydney Metro
Title of audit	Independent Audit No. 3
Date:	8/11/22

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:

- i. the audit has been undertaken in accordance with relevant condition(s) of consent and the *Independent Audit Post Approval Requirements (Department 2020)*;
- ii. the findings of the audit are reported truthfully, accurately and completely;
- iii. I have exercised due diligence and professional judgement in conducting the audit;
- iv. I have acted professionally, objectively and in an unbiased manner;
- v. 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;
- vi. 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;
- vii. 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;
- viii. 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) 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:	Derek Low
Signature:	
Qualification:	Master of Environmental Engineering Management Exemplar Global Auditor Number 114283
Company:	WolfPeak Pty Ltd

Declaration of Independence - Auditor



Project Name:	SYDNEY METRO CITY & SOUTHWEST – CROWS NEST STATION
Consent Number:	SSI 7400
Description of Project:	Development of the Sydney Metro Barangaroo Station
Project Address:	Sydney metropolitan area
Proponent:	Transport for NSW – Sydney Metro
Title of audit	Independent Audit No. 3
Date:	8/11/22

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:

- i. the audit has been undertaken in accordance with relevant condition(s) of consent and the *Independent Audit Post Approval Requirements (Department 2020)*;
- ii. the findings of the audit are reported truthfully, accurately and completely;
- iii. I have exercised due diligence and professional judgement in conducting the audit;
- iv. I have acted professionally, objectively and in an unbiased manner;
- v. 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;
- vi. 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;
- vii. 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;
- viii. 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) 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:	Steve Fermio
Signature:	
Qualification:	Bachelor of Science (Honours) Exemplar Global Auditor Number 110498
Company:	WolfPeak Pty Ltd