

INDEPENDENT AUDIT NO. 1 – AUDIT REPORT

SYDNEY METRO CITY & SOUTHWEST – LINE WIDE
SSI 7400 & SSI 8265

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EXECUTIVE SUMMARY

Sydney Metro 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.

Sydney Metro City and Southwest is classified as Critical State Significant Infrastructure (CSSI) under Division 5.2 of the NSW Environmental Planning and Assessment Act 1979 (EP&A Act) and State Environmental Planning Policy (State and Regional Development) 2011. The Line-wide package of the C&SW Project comprises two separate approvals (CSSI-7400 and SSI-8256) granted on 9 January 2017 and 12 December 2018, respectively.

The first approval, SSI-7400, covers the construction and operation of a metro line between Chatswood and Sydenham that is approximately 16.5 kilometres in length of which approximately 15.5 kilometres is underground rail tunnels, including a tunnel under Sydney Harbour, links with existing rail network, seven metro stations and ancillary infrastructure. The second approval, SSI-8256, covers the construction and operation of a metro line between Marrickville and Bankstown that is approximately 13 kilometres in length and includes ten metro stations and ancillary infrastructure.

Systems Connect (an unincorporated joint venture between CPB Contractors and UGL) is the contractor responsible for the construction of the Line-wide package which includes the following design features and/ or construction activities:

- 31 kilometres of underground railway track to be laid in the twin railway tunnels from Chatswood to Sydenham;
- 31 kilometres of overhead power equipment and 11 new substations to power the metro from Chatswood to Bankstown;
- Installation of over 350km of high voltage, low voltage and tunnel service cabling
- Connecting the railway tracks from the end of Sydney Metro at Chatswood to the new tracks into the city;
- Expansion of the Sydney Metro Trains Facility (SMTF) at Rouse Hill to accommodate 37 new trains for Sydney Metro City & Southwest;
- Construction of the SMTF - South at Marrickville;
- Installation of tunnel equipment such as ventilation, drainage and emergency evacuation and monitoring equipment as well as the fit out of the tunnel ventilation and high voltage equipment in the seven new underground stations.

Conditions A37 – A40 of Schedule 2 of CSSI 7400 and Conditions A33 to A35 of CSSI 8265 set out the requirements for undertaking Independent Audits. This audit is being carried out in accordance with Section 4.4.3 of the Sydney Metro C&SW Compliance Monitoring & Tracking Program prepared in accordance with A37 and A38 of CSSI 7400 and submitted to DPE prior to the commencement of construction. Additionally, an Audit Program was prepared by Sydney Metro in February 2023 under A37 detailing the scope of the three planned audits to be carried out for the C&SW in 2023. The audit program was presented by Sydney Metro to DPE at their monthly consultation meetings.

The scope of this first Independent Audit conducted by WolfPeak on Line-wide, as detailed in the Audit Program was intended to focus on what are considered to be the high-risk construction activities associated with the current works and have the greatest potential to lead to significant environmental impacts.

The audit period is defined as the 6-month period between 1 November 2022 and the conduct of the on-site audit inspection on 3 May 2023.

This Independent Audit sought to verify compliance with the relevant conditions and assess the effectiveness of environmental management associated with the following aspects at the Northern Dive (Chatswood), Southern Train Facility at Marrickville, and Canterbury and Campsie traction substation sites:

- Community and Stakeholder Engagement
- Incident and Non-compliance Process
- Spoil management, waste classification, unexpected contamination finds
- Noise and vibration (inclusive of compliance with noise and Out of Hours Work (OOHW) requirements from both EPLs)

The overall outcome of the Independent Audit was very positive. Records were well organised and available at the time of the site inspection and interviews with Project personnel from Sydney Metro and Systems Connect and good environmental and risk management practices were being implemented.

Relevant environmental and compliance monitoring records were being collected and reported as required to provide verification of compliance to statutory requirements and the broader Project environmental requirements. In Summary:

- There were 101 conditions assessed.
- There were no non-compliances identified.
- There were four (4) observations identified for requirements that were common across both CSSI_7400 and CSSI_8265. These are related to:
 - The website does not provide clear and consistent names across links, and it is difficult to find the approvals and other CSSI documentation. Additionally, some of the documents could not be found and had to be sourced from the Contractor's website.
 - The waste management plan does not identify Wi-fi Access Point boxes / other items from the temporary services tunnel as potentially salvageable or for reuse.
 - The Complaint Management System and related information on the Sydney Metro website does not provide clear advice, guidance and process on how a member of the public (complainant) can request/apply for help and support from the Community Complaints Mediator in resolving a complaint/dispute
 - The Construction Compliance Report (CCR) does not detail the corrective actions taken to implement the recommendations of independent audits.

Additionally, the auditor reported six (6) observations that were outside of the audit scope but were raised with the auditee for corrective action. These are also documented in the audit findings in section 3.2 for further action.

The auditor notes that at the time of completing this audit, the auditee had closed out six (6) of the ten (10) observations.

The Auditor would like to thank the auditees representing Sydney Metro, Systems Connect and the Environmental Representative for their high level of organisation, cooperation, openness and assistance during the Independent Audit.

1. INTRODUCTION

1.1 Project overview

Sydney Metro 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.

Sydney Metro City and Southwest is classified as Critical State Significant Infrastructure (CSSI) under Division 5.2 of the NSW Environmental Planning and Assessment Act 1979 (EP&A Act) and State Environmental Planning Policy (State and Regional Development) 2011. This Line-wide project falls under the construction and operation of the section between Chatswood and the Sydenham dive site known as “CSSI_7400” and construction and operation of the section between Marrickville and Bankstown known as “CSSI_8256”.

The works in the Line-wide package include the following design features and/ or construction activities:

- 31 kilometres of underground railway track to be laid in the twin railway tunnels from Chatswood to Sydenham;
- 31 kilometres of overhead power equipment and 11 new substations to power the metro from Chatswood to Bankstown;
- Installation of over 350km of high voltage, low voltage and tunnel service cabling;
- Connecting the railway tracks from the end of Sydney Metro at Chatswood to the new tracks into the city;
- Expansion of the SMTF at Rouse Hill to accommodate 37 new trains for Sydney Metro City & Southwest;
- Construction of the SMTF - South at Marrickville;
- Installation of tunnel equipment such as ventilation, drainage and emergency evacuation and monitoring equipment as well as the fit out of the tunnel ventilation and high voltage equipment in the seven new underground stations.

The construction of the Line-wide package is being delivered by Systems Connect.

The construction activities for each of the audited inspection sites for the month of May 2023, during which the audit was conducted, are detailed below:

Northern Dive at Chatswood

- Material and concrete deliveries
- Moving materials into and fitting out the tunnels including use of mobile cranes
- Trackside, cross passage equipment and cable installation in the tunnels
- Services installation inside the dive buildings and the tunnels
- Site maintenance, establishment and demobilisation activities
- Service and Dive building work including ground level block work, structural steel

- Roofing and cladding work, cables and equipment installation
- Installing the underground tunnel ventilation system
- Installing precast structural elements
- Demolition of concrete slabs, including saw cutting and concrete breaking
- Earthworks, civil work and concreting work
- Removal of temporary fencing and construction materials using crane adjacent the rail corridor
- Hoarding removal within the site boundary along the rail corridor and vehicle ramp (eastern boundary) and at Nelson Street
- Fencing and landscaping work
- Excavation of southern footpath at Nelson Street and installation of a new stormwater line.

Southern Train Facility at Marrickville

- Delivery and movement of heavy machinery and large equipment and materials for work in the tunnels, the dive site and SMTF South
- Continued installation of:
 - equipment, cables and cabinets in the services building and at Sydenham Station
 - security fencing and landscaping at SMTF South
 - electrical, mechanical, hydraulics and fire services commissioning
- Formwork, reinforcement and concrete delivery, pouring and pumping
- Survey work and workers accessing the tunnels
- Energisation of equipment
- Installation of perimeter fencing, buffer stops and electronic access
- Canal footbridge fencing installation
- Removal of the hoarding on Railway Parade and Edinburgh Road with temporarily lane and footpath closures.

Canterbury Traction Substation

- Site mobilisation and excavations and testing and commissioning
- Installing cables, cable supports, and mechanical and electrical fit out
- Traffic controllers to facilitate truck movements on Hutton Street
- Installing glazed panels into the facade walls and anti-graffiti paint
- Installing traction substation gates, doors, and permanent fencing

- Installing streetscaping including driveways, kerbs, and footpaths, plus landscaping.

Campsie Traction Substation

- Installing glazed panels into the facade walls and anti-graffiti paint
- Traffic controllers to facilitate truck movements on Lilian Street
- Bulk power supply installs into the traction substation
- Excavation and construction of base for battery charging transformer
- Installing cables and cable supports, and mechanical and electrical fit-out
- Streetscaping including permanent fencing, plus landscaping
- Commencement of site amenities removal.

The location of the above audit inspection sites is shown in Figure 1 below.



Figure 1: Location of the Northern Dive (Chatswood), Southern Dive (Marrickville) and traction substations at Canterbury and Campsie (source: Line-wide Environmental Management Plan (CEMP), Rev. F)

1.2 Approval requirements

Conditions A37 – A40 of Schedule 2 of CCSI_7400 and Conditions A33 – A 35 of the CCSI_8256 set out the requirements for undertaking Independent Audits.

This audit was undertaken in accordance with the Audit Program prepared under Condition A37 of CSSI_7400 and Condition A33 of CSSI_8256, dated February 2023.

1.3 The audit team

In accordance with Condition A39 of Schedule 2 of CSSI_7400, 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 independent auditor who performed the auditing works is presented in Table 1.

Table 1: Audit Team

Name	Company	Participation	Certification
Ibrahim Awad	Seventh Sense (on behalf of WolfPeak)	Lead Auditor	Master of Engineering Science (Civil & Environmental) Master of Environmental Law Exemplar Global Certified Environmental Lead Auditor - Certificate No. 110720

Details to demonstrate Ibrahim’s suitability was provided to and approved by Sydney Metro prior to the commencement of the audit. Ibrahim has also provided a Declaration of Independence in accordance with the Department’s *Independent Audit Post Approval Requirements (IAPAR, 2020)*¹ (Appendix D).

1.4 The audit objectives

In accordance with the February 2023 Audit Program prepared under Condition A37 of CSSI_7400 (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 for the Northern Dive Chatswood, Southern Train Facility at Marrickville and Canterbury and Campsie Traction Substation sites:

- Community and Stakeholder Engagement
- Incident and Non-compliance Process
- Spoil management, waste classification, unexpected contamination finds
- Noise and vibration (inclusive of compliance with noise / OOHV requirements from both EPLs).

¹ The IAPAR requirements 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.

1.5 The audit scope

The scope of the Independent Audit was determined in consultation with Sydney Metro and is set out in the 2023 Audit Program (WolfPeak, 17 February 2023).

This Independent Audit relates to the Project works covering the period from the beginning of November 2022 to the audit inspection date on 3 May 2023.

The auditees comprise Sydney Metro, and the Systems Connect Joint Venture (CPB Contractors and UGL).

The works assessed relate to Line-wide works for the Northern Dive Chatswood, Southern Train Facility at Marrickville and Canterbury and Campsie Traction Substation sites, focussing on the following aspects:

- Community and Stakeholder Engagement
- Incident and Non-compliance Process
- Spoil management, waste classification, unexpected contamination finds
- Noise and vibration (inclusive of compliance with noise / OOHV requirements from both EPLs).

The scope comprises:

- an assessment of the environmental performance of the CSSI, and its effects on the surrounding environment (refer Sections 3.2 and 3.8, and Appendix B)
- an assessment of whether the project is complying with the terms of this approval (refer Section 3.2 and Appendix A and B);
- a review of the adequacy of any document required under this approval (refer Sections 3.2 and 3.3); and
- the recommendation of measures or actions to improve the environmental performance of the CSSI, and improvements to any document required under this approval (refer Sections 3.2 and 3.8).

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.

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, Request for Information (RFI), and work documents (audit checklists) and distributed to the Project team in preparation for the Independent Audit.

2.2.3 Meetings

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

During the opening meeting, held on site on 3 May 2022, the objectives and scope of the Independent Audit, the resources required and methodology to be applied were discussed.

At the closing meeting, held on 4 May 2023, preliminary audit findings were presented, preliminary recommendations (as appropriate) were made, timing for finalisation of the audit report and any post-audit actions were confirmed.

2.2.4 Interviews

The Auditor conducted interviews during the site inspection on the 3 May 2023 with key personnel involved in Project delivery, including those with responsibility for environmental management, to assist with verifying the compliance status of the development. An audit interview and document review were conducted on the 4 May 2023. All other communication was conducted remotely, which included detailed requests for information and auditee responses to the request.

The names of personnel involved in the audit are provided in Table 2.

Table 2: Personnel involved

Name	Role	Organisation	Involvement
Dylan Jones	Senior Manager, Environment	Sydney Metro	Scoping and introductory meetings
Julia Diamond	A/Environmental Manager	Sydney Metro	Opening meeting, inspection (all sites), interviews, closing meeting
Kate Truscott	Environment Team Manager	Systems Connect	Opening meeting, inspection, interviews (all sites), closing meeting
Chris Riley	Environmental Coordinator	Systems Connect	Opening meeting, interviews
Tristan McCormick	Environmental Coordinator	Systems Connect	Opening meeting, inspection (Marrickville and Canterbury and Campsie), interviews
Charlotte Carter	Environmental Coordinator	Systems Connect	Inspection (Chatswood Dive)

2.2.5 Consultation

The audit program of February 2023 required that the Environmental Representative (ER) for the C&SW Line-wide works be consulted by the Independent Environmental Auditor on the aspects within the audit scope, including any issues or concerns around compliance, incidents, or performance. A consultation meeting was held between the Independent Environmental Auditor and the ER, Ms Swathi Gowda from HBI Consultants on 11 April 2023.

The ER confirmed that the environmental aspects forming the scope of this audit (namely community and stakeholder engagement, noise & vibration, incidents and non-compliance process, waste and spoil management) were in fact worthy of consideration and that they do constitute potential areas of high risk, as indicated by Sydney Metro.

The ER also provided some insight on more recent and current activities at the nominated locations of Chatswood Dive, and Marrickville Train Facility sites that should be considered and also recommended that Canterbury and Campsie traction substations were appreciate locations to audit given the high level of public domain (streetscape, landscaping) and other activities taking place there during the proposed audit period.

Specifically the ER pointed out the following as the most notable aspects that should be considered in the audit:

- Noise complaints at Chatswood Dive and their management and the Contractor's self-assessment against the EPL
- Unexpected finds and spoil/waste management at Chatswood relating to an asbestos find
- Noise complaints and resulting non-compliances at the Surry Hills Bulk Power Supply location

- Discharge incident into Sydney Harbour at Blues Point
- Active public works at Canterbury and Campsie and the potential for noise complaints.

The observations and issues raised by the ER were taken into consideration by the auditor in the on-site audit inspection and subsequent audit interviews and in the analysis of the audit findings and development of recommendations. Please refer to section 3.2 and Appendices A and B.

2.2.6 Site inspection

The site inspection took place on 3 May 2022. The on-site audit activities included an inspection of active work sites and work activities being carried out at the Northern Dive (Chatswood), Southern Train Facility at Marrickville, and Canterbury and Campsie traction substation sites. Photos are presented in Appendix C.

2.2.7 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 Appendices A and B.

2.2.8 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.

2.2.9 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)*. These are replicated in Table 3 below:

Table 3: Compliance status descriptors

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.
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Observations and notes may also be made to provide context, identify opportunities for improvement or highlight positive initiatives.

2.2.10 Evaluation of post audit approval documentation

The Auditor assessed whether post approval documents (relevant to the agreed audit scope, as defined in the Audit Program) 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.

2.2.11 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 all the conditions from CSSI_7400 and SSI_8256 applicable to the works being undertaken. The primary documents reviewed prior to and after the site visit are as follows:

- Sydney Metro – Overarching Community Communications Strategy, Rev. 7.2 (18/3/22)
- Systems Connect - CSW Community Engagement Strategy (CCS-LW), Rev. 02 (23/3/22)
- Systems Connect - CSW CEMP SMTF Line Wide Works, SM CSW Rev 3 (12/8/22)
- Sydney Metro – Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).
- Sydney Metro Complaints Register 1/11/22 to 15/4/23.
- Sydney Metro – Incident and Non-compliance Procedures and Register Nov 22 to May 23
- Systems Connect - CSW Waste, Recycling and Spoil Management Plan C2b, Line-wide works, Rev. 02 (23/04/21)
- Systems Connect – CSW Construction Noise and Vibration Management Plan – C2B, Line Wide Works, Rev. 1, dated 30/10/2020.
- Systems Connect - Soil, Water and Groundwater Management Subplan C2B Rev. 4 (12/8/22)
- EPL 21428 (7/3/23)

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

3.2 Summary of Compliance

This section, including Table 4, presents the summary of compliance and recommended actions in response to each of the findings from this Independent Audit. In Summary:

- There were 101 CoCs assessed.
- There were no non-compliances identified.
- There were four (4) observations identified for requirements that were common across both CSSI_7400 and CSSI_8265. These are related to:
 - The website does not provide clear and consistent names across links, and it is difficult to find the approvals and other CSSI documentation. Additionally, some

of the documents could not be found and had to be sourced from the Contractor's website.

- The waste management plan does not identify Wi-fi Access Point boxes / other items from the temporary services tunnel as potentially salvageable or for reuse.
- The Complaint Management System and related information on the Sydney Metro website does not provide clear advice, guidance and process on how a member of the public (complainant) can request/apply for help and support from the Community Complaints Mediator in resolving a complaint/dispute.
- The Construction Compliance Report (CCR) does not detail the corrective actions taken to implement the recommendations of independent audits.

Additionally, there were six (6) observations recorded and reported that were outside of the audit scope but require corrective action. These were in relation to:

- Elevated levels of dust observed during the on-site inspection at Chatswood Dive requiring adequate dust control
- Open fuel can was found in yard at Marrickville Train Facility South. Also, the fuel can was not properly stored in designated chemical storage shed.
- Chemical containers at Marrickville Train Facility site not stored in designated bunded area
- Inadequate sediment control at the boundary fenced areas at lower end of the Chatswood Dive site and Marrickville Train Facility site at Sydney Steel Road
- Newly sealed road in remediation area does not have adequate drainage infrastructure (curb/gutter)
- Fuel filling stations not bunded and risk of fuel tracking offsite during heavy rains at Marrickville or contamination of surrounding soils.

Further details on the above are provided in Table 4 below.

Table 4: Findings from the first Independent Audit (May 2023)

Item ID	Ref.	Category	Condition and Audit Finding	Recommended or completed actions	By whom and by when	Status
Findings from the first Independent Audit: In-scope						
7400 & 8265_IA1_01	B12 – Community Complaints Commissioner (7400) B11 – Community Complaints Commissioner (8265)	Observation	<p>Requirement: <i>The role of the Community Complaints Commissioner is to follow up on 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 Commissioner to review the Proponent's response. The application must be submitted in writing and the Community Complaints Commissioner must respond within 28 days of the request being made or other specified timeframe agreed between the Community Complaints Commissioner and the member of the public.</i></p> <p>Observation: This condition implies that there is provision of a mechanism or process for complainant to request the help/support of a CCC in the review and resolution of a complaint. However, the option and process for a complainant to make such a request/application is not clearly stated nor explained in the Complaint Management System on the website nor in any community communications made available to the auditor.</p> <p>The auditor believes there are some risks that some of the triggers/thresholds for escalating complaints to the CCC may have been met in the sites audited, but notes that to date no complaints have been referred to the CCC by the Director Project Communications for support/resolution.</p>	The auditor recommends that the option and process for a member of the public (complainant) to seek the help/support of the CCC be clearly communicated on the Sydney Metro website and in the relevant complaint management system/procedures and community communications forums and be made available in the target community languages.	Sydney Metro / Systems Connect Within 6 weeks of finalisation of this Report.	OPEN Auditee response: The Sydney Metro City & Southwest Construction Complaints Management System is a public document that contains information and processes related to complaint management and escalation, including the Community Complaints Mediator. Additional text will be added to the Sydney Metro website to support this information.
7400 & 8265_IA1_02	A34 – Construction Compliance Reports (CCR)	Observation	<p>Requirement: <i>Construction Compliance Reports must be prepared and submitted to the Secretary for information every six (6) months from the date of the commencement of construction or within another timeframe agreed with the Secretary, for the duration of construction. The Construction Compliance Reports must include:</i></p> <p>(a) a results summary and analysis of environmental monitoring; (b) the number of any complaints received, including a summary of main areas of complaint, action taken, response given and proposed strategies for reducing the recurrence of such complaints; (c) details of any review of, and minor amendments made to, the CEMP as a result of construction carried out during the reporting period; (d) a register of any consistency assessments undertaken and their status; (e) results of any independent environmental audits and details of any actions taken in response to the recommendations of an audit; (f) a summary of all incidents notified in accordance with Condition A41 and Condition A44 of this approval; and (g) any other matter relating to compliance with the terms of this approval or as requested by the Secretary.</p> <p>Observation: The CCR (for the period October 2022 to May 2023) does not include details on corrective actions taken to implement the recommendations of independent audits as per the requirements in A34(e).</p>	The auditee should include a section / appendix in the Construction Compliance Reports (CCR) detailing the corrective actions taken to address recommendations from the independent audits.	Sydney Metro	CLOSED Auditee Response: Sydney Metro has addressed this in a revision of the CCR #12 for October 2022 – March 2023.

Item ID	Ref.	Category	Condition and Audit Finding	Recommended or completed actions	By whom and by when	Status
7400-IA1_03	E106 – Waste Management	Observation	<p>Requirement: <i>Waste generated during construction and operation is to be dealt with in accordance with the following priorities:</i></p> <p><i>(a) waste generation is to be avoided and where avoidance is not reasonably practicable, waste generation is to be reduced;</i></p> <p><i>(b) where avoiding or reducing waste is not possible, waste is to be re-used, recycled, or recovered; and</i></p> <p><i>(c) where re-using, recycling or recovering waste is not possible, waste is to be treated or disposed of.</i></p> <p>Observation: The Wi-fi Access Point boxes / other salvageable items observed at the SMTF-South at Marrickville have not been identified in the Waste Recycling and Spoil Management Plan (WRSMP) and the auditor observed recovered wi-fi access boxes in the Bingo recycling bin. This condition requires priority be given to re-use first before recycling, in accordance with the waste management hierarchy.</p> <p>The auditor also notes that the auditee did provide photo evidence of other wi-fi access points that were stored on a pallet, and according to the auditee were planned for re-sale.</p> <p>The auditor notes that this condition applies more broadly to any item that is salvageable, including in temporary services works packages.</p>	<p>It is recommended that the Waste, Recycling and Spoil Management Plan (WRSMP) be revised and updated to include details on any new opportunities for the reuse of any salvageable items (such Wi-fi, FOBOTs, lights etc) since the last revision of this Plan and that Sydney Metro or Sydney Trains be consulted on the possible reuse of these items.</p> <p>It is also recommended that section 6.1 of the Plan include the details and reference to the Systems Connect procedures 'Dispose of Plant, Assets and Equipment' and 'Plant Asset Sale or Disposal Requestions' documents provided to the auditor post inspection.</p>	<p>Systems Connect</p> <p>Within 4 weeks of finalisation of this Report.</p>	<p>OPEN</p> <p>Auditee response: The temporary services equipment identified at SMTF-S come from the Chatswood – Sydenham tunnels, under CSSI 7400. No salvageable infrastructure exists for SC scope of works in the south west corridor (CSSI 8256). SC are not removing any potentially salvageable Sydney Trains waste items. SC is building new traction substations, pad mounts and cabling under CSSI 8256. The WRSMP includes the following to address condition E73 "The scope of work being completed by Systems Connect does not include any demolition of rail infrastructure. At the time of drafting this plan no items of rail infrastructure have been identified for salvage." This remains accurate.</p> <p>The auditor does not agree with this response and has therefore retained the status as open.</p>

Item ID	Ref.	Category	Condition and Audit Finding	Recommended or completed actions	By whom and by when	Status
7400 & 8256-IA1_04	<p>B14 - Provision of Electronic Information (7400)</p> <p>B15 – Provision of Electronic Information (8265)</p>	Observation	<p>Requirement: <i>A website or webpage providing information in relation to the CSSI must be established before commencement of Work and maintained for the duration of Construction, and for a minimum of 12 months following the completion of Construction. Up-to-date information (excluding confidential, private and/or commercial information or other documents as agreed to by the Planning Secretary) must be published on the website before the relevant Work commencing and maintained on the website including:</i></p> <p><i>a) information on the current implementation status of the CSSI;</i> <i>b) the telephone number, postal address and email address required under Condition B6;</i> <i>c) a copy of the documents listed in Conditions A1 and A2 of this approval;</i> <i>d) a copy of this approval in its original form, a current consolidated copy of this approval (that is, including any approved modifications to its terms), and copies of any approval granted by the Minister to a modification of the terms of this approval;</i> <i>e) a copy of EPL required and obtained in relation to the CSSI;</i> <i>f) a current copy of each document required under the terms of this approval, which must be published before the commencement of any relevant activity to which they relate or before their implementation, as the case may be; and</i> <i>g) a copy of the compliance reports required under Conditions A29 and A32 of this approval.</i></p> <p><i>Note: Where a document referred to in (f) above is superseded, or the management of activities covered by a document referred to in (f) above have been subsumed into another document, the current applicable and, where required, approved document must be available on the website/webpage. Any superseded document must be available in an archived section or similar of the website/webpage.</i></p> <p>Observation: The Website does not clearly describe the entitled ‘approvals’ and links provided are not consistently named as ‘approvals’ instead of ‘EIS’ for Chatswood to Sydenham and ‘NSW DPE’ for Sydenham to Bankstown.</p> <p>Additional relevant documents are difficult to find and in some cases aren’t available on the website and had to be sourced from the Contractor’s website.</p>	<p>Sydney Metro to ensure relevant sections on the website clearly describe and are entitled ‘approvals’ and that the links provided are clearly and consistently named as ‘approvals’ instead of ‘EIS’ for Chatswood to Sydenham and ‘NSW DPE’ for Sydenham to Bankstown.</p> <p>Additionally, all relevant documents should be uploaded in clearly marked sections and in a timely manner as required under this condition.</p>	<p>Sydney Metro</p> <p>Within 6 weeks of finalisation of this Report.</p>	<p>OPEN</p> <p>Auditee response:</p> <p>All approved documents required under these conditions are uploaded to the Sydney Metro or relevant contractor’s website prior to being implemented.</p> <p>As per correspondence dated 12 September 2017 between Stacey Warren from DP&E and Fil Cerone, DP&E has agreed that it is sufficient to include links to documents on the Sydney Metro website.</p> <p>Sydney Metro will consider updating website with clearer links to the two planning approvals, a request has been submitted to the SM Public Communications team.</p>

Item ID	Ref.	Category	Condition and Audit Finding	Recommended or completed actions	By whom and by when	Status
Findings from the first Independent Audit: Outside of Audit Scope						
7400_IA1_05	CEMP – Air Quality Management Subplan	Observation	<p>Requirement: Section 6. Air Quality Management Strategy, s6.1 Air Quality and Dust Management Procedure, and s6.4 Air Quality and Dust Mitigation Measures of Systems Connect - Air Quality Management Sub Plan C2B Line-wide Works, 15/10/2020.</p> <p>Observation: Elevated levels of dust observed during the on-site inspection at Chatswood Dive requiring adequate dust control.</p>	Apply adequate dust control measures, particularly water spraying and use of water cart / sweeper during the construction works, especially if windy conditions have been identified.	Systems Connect	<p>CLOSED</p> <p>Auditee response: Please see email sent to auditor on day of audit (5/05/2023) with Dropbox containing photos of dust suppression examples from numerous previous inspections and the day of the audit at the Chatswood Dive Site.</p>
7400_IA1_06	CEMP – Soil, Water and Groundwater Management Subplan	Observation	<p>Requirement: Section 6.6 Chemicals, Refuelling and Spill Management of Systems Connect - Soil, Water and Groundwater Management Subplan C2B Rev. 4 (12/8/22)</p> <p>Observation: Open fuel can was found in yard at Marrickville Train Facility South. Also, the fuel can was not properly stored in designated chemical storage shed.</p>	Ensure proper storage of fuel can in secure designated chemical storage sheds/containers.	Systems Connect	<p>CLOSED</p> <p>Auditee response: Please see email sent to auditor on day of audit (5/05/2023) with photo of found jerry can correctly stored in bunded container.</p>
7400_IA1_07	CEMP – Soil, Water and Groundwater Management Subplan	Observation	<p>Requirement: Systems Connect - Soil, Water and Groundwater Management Subplan C2B Rev. 4 (12/8/22)</p> <p>Observation: Chemical containers at Marrickville Train Facility South site not stored in designated bunded area.</p>	Ensure proper storage of chemical containers in designated bunded areas.	Systems Connect	<p>CLOSED</p> <p>Auditee response: Please see email sent to auditor on 8/05/2023 with photos of chemical containers in bunded area.</p>
7400 & 8256_IA1_08	CEMP – Soil, Water and Groundwater Management Subplan	Observation	<p>Requirement: Section 6.1 Erosion and Sediment Control, s6.1.1 Erosion and Sediment Control Plans and s6.1.2 Erosion and Sediment Control Strategy of Systems Connect - Soil, Water and Groundwater Management Subplan C2B Rev. 4 (12/8/22)</p> <p>Observation: Inadequate sediment control at the boundary fenced areas at lower end of the Chatswood Dive site and Marrickville Train Facility site at Sydney Steel Road.</p>	Ensure proper installation and maintenance of sediment fencing in locations where there is a risk of discharge of surface water runoff / sediment offsite.	Systems Connect	<p>CLOSED</p> <p>Auditee response: Please see email sent to auditor on day of audit (5/05/2023) with photos of maintained sediment and erosion controls.</p>

Item ID	Ref.	Category	Condition and Audit Finding	Recommended or completed actions	By whom and by when	Status
7400_IA1_09	Approved SMTF South road and stormwater design plans	Observation	<p>Requirement: <i>Compliance with approved SMTF South road and stormwater designs</i></p> <p>Observation: Newly sealed road in remediation area at Marrickville Train Facility site does not have adequate drainage infrastructure (curb/gutter).</p>	Check compliance with approved design plans / approvals for sealed road infrastructure in remediation area and make adjustments accordingly.	Systems Connect	<p>CLOSED</p> <p>Auditee response: Systems Connect has constructed road/ drainage/ landscaping in the new section of Sydney Steel Road (location subject of observation) as per approved design. Catchment is small and road has 1% grade. Design is stamped "Work As Executed" meaning construction has been completed as per the design, which was TAO approved.</p>
7400 & 8256_IA1_10	CEMP – Soil, Water and Groundwater Management Subplan	Observation	<p>Requirement: <i>Section 6.6 Chemicals, Refuelling and Spill Management of Systems Connect - Soil, Water and Groundwater Management Subplan C2B Rev. 4 (12/8/22)</i></p> <p>Observation: Fuel storage containers at Chatswood Dive and South Marrickville Train Facility are bunded but the fuel filling stations/areas where the bowsers are located are not. There is evidence of spills and the risk of leaks/spills tracking offsite in surface runoff in heavy rains, particularly at Marrickville, or the risk of soil contamination.</p>	The auditor recommends that the contractor consider implementing best practices by installing bunded filling areas for the filling stations, to avoid potential runoff of spills offsite during heavy rains (particularly at Marrickville) as well as soil contamination.	Systems Connect Within 4 weeks of finalisation of this Report.	<p>OPEN</p> <p>Auditee response: Auditor's observation and recommendations are noted. Both sites are due to complete construction and demobilise soon. Permanent bunded filling areas have not been installed due to the need to frequently move the bunded fuel pods to different locations on each site, throughout construction. Instead, Systems Connect have put a focus on drip/spill management, ensuring bowsers are regularly inspected/ replaced as required and keeping refuelling areas clean, well-stocked with spill kit materials and appropriately signed/protected.</p> <p>The Auditor has considered the auditees response and is of the view that the finding should be addressed.</p>

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

A review was conducted of the effectiveness and implementation of:

- Sydney Metro – Overarching Community Communications Strategy, Rev. 7.2 (18/3/22)
- Systems Connect - CSW Community Engagement Strategy (CCS-LW), Rev. 02 (23/3/22)
- Systems Connect - CSW CEMP SMTF Line Wide Works, SM CSW Rev 3 (12/8/22)
- Sydney Metro – Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).
- Sydney Metro Complaints Register - 1/11/22 to 15/4/23.
- Sydney Metro – Incident and Non-compliance Procedures and Register - November 2022 to April 2023
- Systems Connect - CSW Waste, Recycling and Spoil Management Plan C2b, Line-wide works, Rev. 02 (23/04/21)
- Systems Connect – CSW Construction Noise and Vibration Management Plan – C2B, Line Wide Works, Rev. 1, dated 30/10/2020.
- Systems Connect - Soil, Water and Groundwater Management Subplan C2B Rev. 4 (12/8/22)
- EPL 21428 (7/3/23) – SSI7400

There were two (2) observations relating to the adequacy and/ or implementation of these plans, subplans, documents or procedures. Refer to Table 7, findings 7400 & 8265_IA1_02 and 7400-IA1_03. Accordingly, the Auditor advises that the corrective actions and/ or recommendations provided to improve these plans/documents be implemented.

3.4 Summary of notices from agencies

To the Auditor's knowledge no formal notices were issued by the Department associated with CSSI_7400 and SSI_8256 for the audit scope and period.

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. There were five (5) complaints recorded in the Complaints Register for the four sites audited within the audit period - 1 November 2022 to 3 May 2023, with four (4) complaints raised for the

Chatswood Dive site, one (1) for the Marrickville South Train Facility site, one (1) for the Canterbury Traction Substation site and one (1) for the Campsie Traction Substation site.

The complaints related mostly to noise associated with Out of Hours Works (OOHW) which had been approved under the OOHW protocol, as well as traffic and access.

Sydney Metro has investigated and considered each complaint, and to the knowledge of the auditor, these have all been closed and/ or resolved at the time of the audit.

The Auditor considers the management of these complaints to be adequate but recommends that in future, recurrent complaints from the same complainant and any escalations to the Director of Communications be referred to the Community Complaints Commissioner (CCC) for resolution.

Additionally, please refer to the observation raised on condition B12. The auditor recommends that the option and process for a member of the public (complainant) to seek the help/support of the CCC be clearly communicated on the Sydney Metro website and in the relevant complaint management system/procedures and community communications forums and be made available in the target community languages.

3.7 Incidents

There were no incidents recorded for the four sites audited within the audit period 1 November 2022 to 3 May 2023.

There were two (2) non-notifiable incidents recorded in the vicinity of the audited sites which include:

- INC-052, Oil leak at SMTF-S Sydenham Station on 3 February 2023, classified as Class 3 incident.
- INC-018, BPS hydraulic oil leak at Campsie on 16 February 2023, classified as Class 3 incident.

Additionally, a third incident, which is outside the scope of this audit as the incident occurred at a site not subject to audit (INC-050, Broken water pipe which led to potable water and sediment to discharge into the Harbour at Blues Point on 24 November 2022, classified as Class 3 incident), was recorded during the audit period.

All the above incidents were managed in accordance with the auditees Incident Management Procedures and resolved within a 24 hour period.

The auditor is of the view that the actions taken by the auditees in response to each incident were adequate, based on the information sighted.

3.8 Environmental performance and effect on surrounding environment

As noted in Section 3.2 a number of findings were identified in relation to the environmental performance of the Project. These relate to:

- Minor shortcomings in the salvage of reusable items.
- Fugitive dust observed during the on-site inspection at Chatswood Dive requiring adequate dust control.

- Shortcomings in the storage and handling of fuels and chemicals, namely:
 - Open fuel can was found in yard at Marrickville Train Facility South. Also, the fuel can was not properly stored in designated chemical storage shed.
 - Chemical containers at Marrickville Train Facility site not stored in designated bunded area.
 - Fuel filling stations not bunded and risk of fuel tracking offsite during heavy rains at Marrickville, or contaminating surrounding soils.
- Inadequate sediment control at the boundary fenced areas at lower end of the Chatswood Dive site and Marrickville Train Facility site at Sydney Steel Road.
- Absence of adequate drainage infrastructure (kerb and gutter) at the newly sealed road in remediation area at the area at Marrickville Train Facility.

As noted in Section 3.7, there was also some minor environmental incidents recorded during the audit period.

These deficiencies and incidents were not observed to have had a material impact on the surrounding environment or community.

As per Section 3.6, according to the complaints register the primary impacts on the community appear to be related to OOHW, traffic and access. The Auditor is of the view that these impacts appear consistent with those expected to occur from the approved works.

4. CONCLUSIONS

This Audit Report presents the findings from the first Independent Audit for the construction period, covering the period from 1 November 2022 to 3 May 2023.

This Independent Audit sought to verify compliance with the relevant conditions and assess the effectiveness of environmental management associated with the Line-wide works at the Northern Dive Chatswood, Southern Dive Marrickville and Canterbury and Campsie Traction Substation Sites:

- Community and Stakeholder Engagement
- Incident and Non-compliance Process
- Spoil management, waste classification, unexpected contamination finds
- Noise and vibration (inclusive of compliance with noise / OOHV requirements from both EPLs)

The overall outcome of the Independent Audit was very positive. Records were well organised and available at the time of the site inspection and during interviews with Project personnel from Sydney Metro and Systems Connect and good industry practices were being implemented in management environmental issues and risks.

Additionally, relevant environmental and compliance monitoring records were being collected and reported as required to provide verification of compliance to statutory requirements and the broader Project environmental requirements. In Summary:

- There were 101 CoCs assessed.
- There were no non-compliances identified.
- There were four (4) observations identified for requirements that were common across both CSSI_7400 and CSSI_8265. These are related to:
 - The website does not provide clear and consistent names across links, and it is difficult to find the approvals and other CSSI documentation. Additionally, some of the documents could not be found and had to be sourced from the Contractor's website.
 - The waste management plan does not identify Wi-fi Access Point boxes / other items from the temporary services tunnel as potentially salvageable or for reuse.
 - The Complaint Management System and related information on the Sydney Metro website does not provide clear advice, guidance and process on how a member of the public (complainant) can request/apply for help and support from the Community Complaints Mediator in resolving a complaint/dispute
 - The Construction Compliance Report (CCR) does not detail the corrective actions taken to implement the recommendations of independent audits.

Additionally, the auditor reported six (6) observations that were outside of the audit scope but were raised with the auditee for corrective action.

The auditor notes that at the time of completing this audit, the auditee had closed out six (6) of the ten (10) observations.

The Auditor would like to thank the auditees representing Sydney Metro, Systems Connect and the Environmental Representative for their high level of organisation, cooperation, openness and assistance during the Independent Audit.

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With respect to conditions relating to compliance with the design, Building Codes of Australia (BCA) or satisfaction of the Independent Verifier / Certifier / Certifying Authority, the Independent Audits relied on confirmation from the Independent Verifier / Certifier / Certifying Authority that this is the case. The Independent Audits do not extend to an assessment of the works against the design or BCA requirements themselves, nor did they examine the steps the Independent Verifier / Certifier / Certifying Authority has taken to verify that the design is compliant.

The assessment of actual impacts and those predicted in the Environmental Impact Assessment(s) was a high-level assessment qualitative assessment only. The Environmental Impact Assessment(s) include a voluminous number of studies and predictions that relied on observation, measurement and modelling of the existing environments and potential outcomes arising from the Project (including mitigation measures). Full assessment of the accuracy of these predictions would also require a significant number of studies involving measurement and modelling using actual data points as inputs. Other than the requirements specified in the, to the Auditor's knowledge there are no requirements to undertake such studies and doing so does not form part of this Independent Audit.

Audits of all post approval documents prepared to satisfy the conditions, including an assessment of the implementation of Environmental Management Plans and Sub-plans, adopts a Judgement Based Sampling approach. Judgement Based Sampling is the process of selecting a sample of commitments and evidence from within the total available data set (population) to obtain and evaluate evidence about some characteristic of that population, in order to form a conclusion concerning the population.

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APPENDIX A – SSI 7400 & SSI 8256 CONDITIONS OF APPROVAL

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
SM C&SW Line Wide SSI 15_7400				
i. Community Engagement				
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.	<p>Letter 09/06/2017 DPE-SM re: SM C&SW Chatswood to Sydenham SSI 15_7400 approval of the Overarching and Early Works Communication Strategy</p> <p>DPE delegated authority for Sydney Metro (SM Director Project Communications) to approve contractor CCS in 2019.</p> <p>Overarching CCS updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>Copy of all Project Communications Procedures relating to the CCS provided to auditor.</p>	A Sydney Metro and Systems Connect CCS have been prepared and approved and are being implemented in accordance with this requirement.	Compliant
B2	<p>The Community Communication Strategy must:</p> <p>(a) identify people or organisations to be consulted during the design and construction phases;</p> <p>(b) set out procedures and mechanisms for the regular distribution of accessible information about or relevant to the CSSI;</p> <p>(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;</p> <p>(d) identify opportunities for the community to visit construction sites (taking into consideration workplace, health and safety requirements);</p> <p>(e) involve construction personnel from each construction site in engaging with the local community;</p> <p>(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;</p> <p>(g) set out procedures and mechanisms:</p> <p>i. through which the community can discuss or provide feedback to the Proponent;</p> <p>ii. through which the Proponent will respond to enquiries or feedback from the community; and</p> <p>iii. to resolve any issues and mediate any disputes that may arise in relation to environmental management and delivery of the CSSI.</p>	<p>Overarching CCS (OCCS) updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>Community Newsletters (provided in evidence folder (01 Community and Stakeholder Engagement' and 'Additional Evidence')</p> <p>Project Update Notifications (provided in evidence folder (01 Community and Stakeholder Engagement' and 'Additional Evidence')</p> <p>Regular EDM emails for target and affected community groups/sensitive receivers provided in evidence folder (01 Community and Stakeholder Engagement' and 'Additional Evidence')</p> <p>Consultation Manager event report</p> <p>Communication Management Control Groups and meetings</p> <p>Member for Willoughby Presentation – 22 May 23</p>	<p>The CCS has addressed all of the requirements (a-g) and has been approved by the Department and endorsed by the ER at the project start up phase and subsequently in its last revision.</p> <p>The CCS is being actively implemented and evidence has been provided that shows how the requirements in B2 are being addressed.</p> <p>A compliance matrix is included in the OCCS identifying how each requirements is being met.</p>	Compliant
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.	ER endorsement of Overarching CCS 16/3/2017	The ER endorsed the Overarching CCS on 16 March 2017. It was submitted to the Secretary for approval on 28 March 2017 and it was approved on 9 June 2017.	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>Letter 09/06/2017 DPE-SM re: SM C&SW Chatswood to Sydenham SSI 15_7400 approval of the Overarching and Early Works Communication Strategy</p> <p>DPE delegated authority for Sydney Metro (SM Director Project Communications) to approve contractor CCS in 2019.</p> <p>Overarching CCS updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p>		
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.	<p>Letter 09/06/2017 DPE-SM re: SM C&SW Chatswood to Sydenham SSI 15_7400 approval of the Overarching and Early Works Communication Strategy</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p>	All works were commenced following the approval of the CCS.	Compliant
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.	<p>Overarching CCS updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>Complaints Reporting Register (8/11/2022 – 16/04/2023) prepared by System Connect (21 complaints recorded)</p> <p>Email 18/04/2023 DPE-SM re: Acknowledgement receipt Sydney Metro - Chatswood to Sydenham - Weekly Complaint Report 13 - 19 March 2023</p> <p>Email 05/04/2023 DPE-SM re: Acknowledgement receipt Sydney Metro - Chatswood to Sydenham Weekly update 27/03/2023-02/04/2023 C&SW Compliant Register</p> <p>Email 11/04/2023 DPE-SM re: Acknowledgement receipt Sydney Metro - Chatswood to Sydenham Weekly Update – March 2023 Non-compliance Register</p> <p>Email 02/05/2023 DPE-SM re: Acknowledgement receipt Sydney Metro - Chatswood to Sydenham Weekly Update 24-30/04/2023</p> <p>Letter 03/11/2020 SM-DPE re: Sydney Metro City & Southwest SSI 7400 – Change of Community Complaints Mediator - Dr. Rosemary Howell of Strategic Action Pty Ltd</p> <p>Email 25/11/2022 Systems Connect Community Team (SCCT)-Barbolova Hubavina re: Northern Connection & Chatswood Dive update – December 2022, sent by SCCT</p> <p>Email 22/12/2022 SCCT-Barbolova Hubavina re: Northern Connection & Chatswood Dive update – January 2023, sent by SCCT</p> <p>Email 25/01/2023 SCCT-Barbolova Hubavina re: Northern Connection & Chatswood Dive update – February 2023, sent by SCCT</p> <p>Email 17/02/2023 SCCT-Barbolova Hubavina re: Northern Connection & Chatswood Dive update - completion of sewer</p>	<p>The OCCS is being properly implemented through the development of the contractor CCS and evidence of its implementation and various communications activities are provided on the Sydney Metro website.</p> <p>These activities include: community/stakeholder notifications, communication of OOHW, project updates for each location including planned OOHW, engagement and consultation with local businesses, updating of stakeholder database, implementation of signage and hoarding information, and a community complaints management system and register.</p> <p>Sighted emails provided information which the community can discuss or provide feedback to the Proponent: Systems Connect, questions about upcoming work at Northern Connection or Chatswood Dive, please call 1800 171 386 (24-hour community information line) and ask for the Systems Connect team or email linewidemetrol@transport.nsw.gov.au</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>connection scheduled for 17th and 18th of February 2023, sent by SCCT</p> <p>Email 24/02/2023 SCCT-Barbolova Hubavina re: Northern Connection & Chatswood Dive update – March 2023, sent by SCCT</p> <p>Project update – Marrickville Dive Site and Sydney Metro Trains Facility South November 2022, by SM</p> <p>Project update – Marrickville Dive Site and Sydney Metro Trains Facility South December 2022, by SM</p> <p>Project update – Marrickville Dive Site and Sydney Metro Trains Facility South January 2023, by SM</p> <p>Project update – Marrickville Dive Site and Sydney Metro Trains Facility South February 2023, by SM</p> <p>Project update – Marrickville Dive Site and Sydney Metro Trains Facility South March 2023, by SM</p> <p>Project update – Marrickville Dive Site and Sydney Metro Trains Facility South April 2023, by SM</p> <p>Marrickville Newsletter print (Community Letter) 17/01/2023 by SM re: Work at Marrickville Line-wide team completes construction and fit-out of the Sydney Metro Trains Facility South and in the twin tunnels – Newsletter contain telephone number, postal address and email address</p>		
Complaint 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.	<p>Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>CS1.1 – Complaint Management Procedure (Sydney Metro) – ‘Project Communications Procedure – Complaint Reporting, Consultation Manager (Place Manager and Contractor Teams’.</p> <p>CMS submitted to Secretary on 28/3/17, works commenced on 17/06/17.</p> <p>CMS reviewed and updated/finalized on 18/5/22.</p> <p>Sydney Metro Complaints Register details provided to the auditor for the audit period 1/11/22 to 11/5/23.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Construction-Complaints-Management-System.pdf</p>	A complaints management system was prepared before the commencement of works and has / is being implemented and a complaint register maintained and shared across Sydney Metro, the Contractor and ER.	Compliant
B7	<p>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:</p> <p>(a) number of complaints received;</p> <p>(b) number of people affected in relation to a complaint; and</p>	<p>Complaints Reporting Register (8/11/2022 – 16/04/2023) prepared by System Connect (21 complaints recorded).</p> <p>Complaints Management System (CMS), v6.2 submitted to Secretary on 28 March 2017.</p>	<p>The Complaints Register details the number of complaints received, the number of people affected, the nature of the complaint and means by which it has been addressed.</p> <p>The Complaint Register is being maintained recording details of all complaints received.</p> <p>There were two (2) complaints registered for the Chatswood Dive for the audit period, one on 10/11/22 and the other on 4/3/23, both were in relation to noise and were closed out.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	(c) nature of the complaint and means by which the complaint was addressed and whether resolution was reached, with or without mediation.			
B8	The Complaints Register must be provided to the Secretary upon request, within the timeframe stated in the request.	Request by Secretary on 10 August 2017 for Complaints Register and fortnightly submission. Daily complaints submission to Secretary since January 2018. Monthly spreadsheet of Complaints to DPE Compliance Team since June 2019. Weekly and monthly complaints register issued to DPE via portal from Q4 2021. Sydney Metro – Chatswood to Sydenham – Weekly Complaint Report No. 13, dated 19/3/22.	The Complaints Register is being provided to the Secretary / DPE as requested and in the timeframe requested.	Compliant
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.	Sydney Metro website – https://www.sydneymetro.info/ 'Get in Touch' page/link details: (a) 24 hour phone line and details of complaint management system and making a complaint section (b) details of postal address (c) details of email (d) details of a place-based community manager/s confirmed. EDM Emails provided for works at Chatswood and Marrickville. Examples below: Discuss or provide feedback to the Proponent: Systems Connect, questions about upcoming work at Northern Connection or Chatswood Dive, please call 1800 171 386 (24-hour community information line) and ask for the Systems Connect team or email linewidemet@transport.nsw.gov.au Marrickville Newsletter print (Community Letter) 17/01/2023 by SM re: Work at Marrickville Line-wide team completes construction and fit-out of the Sydney Metro Trains Facility South and in the twin tunnels – Newsletter contain telephone number, postal address and email address	Details of requirements a-c for SM CSW are available on the Sydney Metro website. Place based community managers have been appointed by Sydney Metro for Line-wide and are available to meet community members upon request. Targeted emails and newsletters provide information which the community can see. Records of communication / interaction with the community are maintained by the Consultation Manager. Emails provided for works at Chatswood Dive. Examples below: Discuss or provide feedback to the Proponent: Systems Connect, questions about upcoming work at Northern Connection or Chatswood Dive, please call 1800 171 386 (24-hour community information line) and ask for the Systems Connect team or email linewidemet@transport.nsw.gov.au	Compliant
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 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.	Newspaper advertisements with B9 details in week commencing 6 March 2017. Details in B9 on site hoardings.	The details required in B9 have been provided in newspaper advertisements, community notices and on-site hoarding since the commencement of works. Newspaper advertisements included the following: 1800 171 386 24 hour community information line. sydneymetro@transport.nsw.gov.au (link sends e-mail with a response during business hours only) Sydney Metro City & Southwest, PO Box K659, Haymarket, NSW 1240.	Compliant
B11	A Community Complaints Commissioner 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 Commissioner 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.	Sydney Metro engagement letter for Christine Marsden of Quatro Group as Community Complaints Mediator (CCM). Sydney Metro request for approval of Chistine Marsden as CCM submitted to DPE on 28 March 2017.	A Community Complaints Commissioner has been engagement and is approved by DPE.	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>DPE approval of Community Complaints Mediator on 13 April 2017.</p> <p>CCM, Dr Rosemary Howell, replaced Christine Marsden in November 2020.</p> <p>Dr Rosemary Howell (newly appointed CCM) approval by DPE on 10 November 2020.</p> <p>Letter 03/11/2020 SM-DPE re: Sydney Metro City & Southwest SSI 7400 – Change of Community Complaints Mediator - Dr. Rosemary Howell of Strategic Action Pty Ltd</p>		
B12	The role of the Community Complaints Commissioner is to follow up 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 Commissioner must respond within 28 days of the request being made or other specified timeframe agreed between the Community Complaints Commissioner and the member of the public.	<p>Section 5.2 – 'Role of Community Complaints Mediator', Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>Auditor requested details of any complaints referred to CCM in audit interview.</p>	<p>There have been no complaints that have been referred by Sydney Metro / Systems Connect to the CCC for the Line-wide works.</p> <p>Observation</p> <p>This condition implies that there is provision of a mechanism or process for complainant to request the help/support of a CCC in the review and resolution of a complaint. However, the option and process for a complainant to make such a request is not clearly stated nor explained in the Complaint Management System on the website nor in any community communications made available to the auditor.</p> <p>The auditor believes that some of the triggers/thresholds for escalating complaints to the CCC may have been met, but notes that to date no complaints have been referred to the CCC by the Director Project Communications or a member of the public (complainant) for support/resolution.</p> <p>The auditor recommends that the option and process for a member of the public to seek the help/support of the CCC be clearly communicated on the Sydney Metro website and in the relevant complaint management system/procedures and community communications forums.</p>	<p>Not triggered</p> <p>Observation</p>
B13	<p>The Community Complaints Commissioner will:</p> <p>(a) review the Proponent's unresolved disputes between the project and members of the public if the procedures and mechanisms under Condition B2(g)(iii) do not satisfactorily address complaints; and</p> <p>(b) make recommendations to the Proponent to satisfactorily address complaints, resolve disputes or mitigate against the occurrence of future complaints or disputes.</p>	<p>Section 5.2 – 'Role of Community Complaints Mediator', Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>Auditor requested details of any complaints referred to CCM in audit interview.</p>	<p>There were no complaints referred to the Community Complaint Mediator.</p> <p>Observation: As per B12.</p> <p>Auditor recommendations as per B12.</p>	<p>Not triggered</p> <p>Observation</p>
B14	The Community Complaints Commissioner will not act before the Proponent has provided an initial response to a complaint and will not consider issues such as property acquisition where other dispute processes are provided for in this approval, or clear government policy and resolution processes are available, or matters which are not within the scope of the CSSI.	<p>Section 5.2 – 'Role of Community Complaints Mediator', Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>Auditor requested details of any complaints referred to CCM in audit interview.</p>	<p>There were no complaints referred to the Community Complaint Mediator.</p> <p>Observation: As per B12.</p> <p>Auditor recommendations as per B12.</p>	<p>Not triggered</p> <p>Observation</p>
Provision of Electronic Information				
B15	A website providing information in relation to the CSSI must be established before commencement of works and maintained for the duration of construction, and for a	https://www.sydneymetro.info/citysouthwest/environment-planning	Information relating to the current implementation status of the CSSI (B15 (a)) is provided in	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>minimum of 12 months following the completion of construction or other timeframe as agreed with the Secretary. The following up-to-date information (excluding confidential, private and commercial information or other documents as agreed to by the Secretary) must be published prior to the relevant works commencing, or in the case of documents prepared in accordance with E66 and E67 when finalised in accordance with the requirements of this approval, and maintained on the website or dedicated pages:</p> <p>(a) information on the current implementation status of the CSSI;</p> <p>(b) a copy of the documents listed in Condition A1 and Condition A2 of this approval, and any documentation relating to any modifications made to the CSSI or the terms of this approval;</p> <p>(c) a copy of this approval in its original form, a current consolidated copy of this approval (that is, including any approved modifications to its terms), and copies of any approval granted by the Minister to a modification of the terms of this approval;</p> <p>(d) a copy of any Environment Protection Licence obtained in relation to the CSSI or link to any existing Environment Protection Licence applied to the CSSI; and</p> <p>(e) a current copy of each document required under the terms of this approval must be published within one week of its endorsement / approval or before the commencement of any works to which they relate or before their implementation as the case may be.</p> <p><i>Note: Environment Protection Licences relevant to each stage of the project need to be clearly differentiated to identify how and where they specifically apply.</i></p>	<p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>(a) Section entitled 'Compliance Documentation' under heading 'Planning & Compliance' and section entitled 'Planning Modifications' provided under https://www.sydneymetro.info/citysouthwest/environment-planning</p> <p>Web pages 'Project and Progress' and 'Construction Stations and Sites' provide updates on works.</p> <p>(d) Copy of EPL https://www.sydneymetro.info/sustainability/environmental-management - link to NSW EPA website.</p>	<p>https://www.sydneymetro.info/citysouthwest/environment-planning and sections entitled 'Compliance Documentation' under heading 'Planning & Compliance' and section entitled 'Planning Modifications'.</p> <p>Details of construction works and progress are provided under webpages 'Project and Progress' and 'Construction Stations and Sites' provide updates on works.</p> <p>Details for the approvals B15 (b-c) are contained under a link entitled 'Chatswood to Sydenham Environmental Impact Statement (EIS) and 'NSW Department of Planning and Environment website' link for Sydenham to Bankstown.</p> <p>Planning modifications are detailed in links under the Planning Modifications headings.</p> <p>A copy of the EPL for SSI7400 is not immediately available on the website but through a link to the EPA website where it needs to be searched/located.</p> <p>Copies of the documents required under the approval are provided under 'Compliance Documentation' under section 'Planning & Compliance' of the 'Sustainability & Planning' page and 'Document Library' link of the website.</p> <p>A copy of the CEMF is provided under the Environmental Management section under the Sustainability & Planning page of the website.</p> <p>Non-compliance: The requirements documents were difficult to find on the Sydney Metro website and in some cases they could not be found and the information had to be sourced via the Contractor's website.</p> <p>Ensure relevant sections on the website clearly describe and are entitled 'approvals' and that the links provided are clearly and consistently named as 'approvals' instead of 'EIS' for Chatswood to Sydenham and 'NSW DPE' for Sydenham to Bankstown and that all relevant documents are uploaded within the timeframes stipulated under this condition.</p>	<p>Observation</p>
<p>ii. Incident and Non-Compliances</p>				
<p>A30</p>	<p>The Compliance Tracking Program in the form required under Condition A28 of this approval must be implemented for the duration of construction and for a minimum of one (1) year following commencement of operation, or for a longer period as determined by the Secretary based on the outcomes of independent environmental audits, Environmental Representative Reports and regular compliance reviews submitted through Compliance Reports. If staged operation is proposed, or operation is commenced of part of the CSSI, the Compliance Tracking Program must be implemented for the relevant period for each stage or part of the CSSI.</p>	<p>Sydney Metro – City South West Compliance Monitoring/Tracking and Reporting Program Report, Rev 4, 19/12/22.</p> <p>Environmental Incident and Noncompliance Reporting Procedure, SM-17-00000096, Version: 5.1, 18 February 2019</p> <p>Spill Management Procedure SM C&SW Line Works Rev 3, 12/08/2022 by Sydney Metro</p> <p>Systems Connect – Manage and Report SHE Incidents Procedure</p> <p>Systems Connect – Spill Management Procedure</p> <p>Systems Connect – SCLWW Environmental Incident and Non-compliance Register</p>	<p>The Compliance Tracking Program required under A28 is being implemented as required.</p> <p>There has been one (1) incident and two (2) non-compliances registered for CSSI_7400 during the audit period but there were not for the sites audited.</p> <p>Sighted Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-018 29/11/2022 by SM re: Traffic control light vehicle belonging to subcontractor (Quickway) was idling and had its signboard lights flashing while parked adjacent to the site compound in Belmore Street Surry Hills outside of standard construction hour.</p>	<p>Compliant</p>

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>Environmental Incident and Non-compliance Reporting Procedure SM-1700000096 Rev 5.1 18/02/2019 by SM</p> <p>Manage and Report Safe, Health and Environment (SHE) Incidents MSID-2-288 Rev 24 11/04/2022 by SC</p> <p>Environmental Incidents and Non-Compliance Registers (11/24/2022-2/16/2023) by SC – 1 reported incident (Broken water pipe @ Blues Point) – outside of audit scope.</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-050 24/11/2022 by SM re: Blues Point broken water pipe</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-017 14/11/2022 by SM re: Vehicle left idling OOHW at Surry Hills bulk power supply</p> <p>Toolbox Talk Record Form 15/11/2022 Quickway re: Vehicle left idling OOHW at Surry Hills bulk power supply</p> <p>Daily Pre-start Briefing 16/11/2022 by SC re: Discussed Vehicle left idling and require no personal vehicles to be parked I or around the site compound</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-018 29/11/2022</p> <p>Non-Conformance Report 29/11/2022 Quickway re: Traffic control light vehicle) was idling and had its signboard lights flashing OOHW</p> <p>Sign on- Expected Behaviours December 2022 by SM</p> <p>Letter 19/12/2022 SM-DPE re: Sydney Metro CSSI 7400 & 8256– Construction Compliance Report #11 – Response to Request for Information relating to July 2022 non-compliance register</p> <p>Post Approval – DPE portal submission of compliance report, annual review and audit report</p> <p>Email 24/11/2022 SM-Rob Sherry/DPE re: Sydney Metro City & Southwest - Notification of Potential Incident at Blues Point Reserve (broken water pipe)</p> <p>https://www.sydneymetro.info/media/document/32471</p>	<p>None of the above incidents or non-compliances were in the sites covered under this audit scope and period.</p> <p>Compliance reports have been submitted as required under the procedure for all of the above incidents and non-compliances.</p>	
A34	<p>Construction Compliance Reports must be prepared and submitted to the Secretary for information every six (6) months from the date of the commencement of construction or within another timeframe agreed with the Secretary, for the duration of construction. The Construction Compliance Reports must include:</p> <p>(a) a results summary and analysis of environmental monitoring;</p> <p>(b) the number of any complaints received, including a summary of main areas of complaint, action taken, response given and proposed strategies for reducing the recurrence of such complaints;</p> <p>(c) details of any review of, and minor amendments made to, the CEMP as a result of construction carried out during the reporting period;</p> <p>(d) a register of any consistency assessments undertaken and their status;</p>	<p>Environmental Incident and Non-compliance Reporting Procedure, SM-17-00000096, Version: 5.1, 18 February 2019</p> <p>Compliance matrix in Construction Compliance Reports (CCR) with details of compliance.</p> <p>Construction Compliance Report #12 (1 October 2022 to 31 March 2023), dated December 2022, in Draft, v1.</p> <p>CCR11 (Apr 2022 to Sep 2022): https://www.sydneymetro.info/media/document/32501</p> <p>(a) Section 5 of CCR 'Environmental & Compliance Performance'</p> <p>(b) Section 5.7 of CCR 'Complaints' and Appendix 1 'Complaints during the reporting period'</p>	<p>The number of any complaints received, including a summary of main areas of complaint are documented in s57 of the CCR. A description of the complaint, investigation and resolution actions, as well as proposed strategies to reduce recurrence are detailed in Appendix 1 'Complaints Register.</p> <p>Results of independent audits are provided in s5.4 but the section does not include details of the actions taken in response to the recommendations of the audit.</p> <p>Observation</p> <p>Actions taken in response to recommendations of audits to be included in the CCR as per A34(e). This should be included in the upcoming CCR.</p>	<p>Compliant</p> <p>Observation</p>

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>(e) results of any independent environmental audits and details of any actions taken in response to the recommendations of an audit;</p> <p>(f) a summary of all incidents notified in accordance with Condition A41 and Condition A44 of this approval; and</p> <p>(g) any other matter relating to compliance with the terms of this approval or as requested by the Secretary.</p>	<p>(c) Section 3.2 of CCR 'Construction Environmental Management Plan Reviews / Amendments'</p> <p>(d) Section 2.2.2 of CCR 'Consistency Assessments'</p> <p>(e) Section 5.4 of CCR 'Environmental Audit Findings'</p> <p>(f) Section 5.3 of CCR 'Incidents'</p> <p>(g) Response from Sydney Metro to DPE on request for information re: CCR dated 19/12/22.</p>		
Incident Notification				
A41	The Secretary must be notified as soon as possible and in any event within 24 hours of any incident.	<p>Copy of notification email from Sydney Metro to DPE on Blues Point potential incident on 24/11/2022 at 6.33pm.</p> <p>Sydney Metro notification email to EPA at 3.28pm via the Pollution Hotline on 131 555 (reference number 17404).</p> <p>Water quality sample testing results and certificate from ALS Environmental dated 28/11/22.</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-050 24/11/2022 by SM re: Blues Point broken water pipe</p>	<p>This condition requires that 'any' incident must be notified but the definition of incident in the approval relates to incident that threaten to cause material harm to the environment.</p> <p>The Secretary was notified of the Blues Point discharge incident within 24 hours of the incident, as was the EPA via the pollution hotline.</p> <p>Additionally, water quality samples were taken and appear to be within the surface water discharge limits noted in the Contractor's Soil and Water Management Plan.</p> <p>Following review of the water quality results it was determined that this incident was not classed as a threat to the environment and therefore did not constitute an incident that was notifiable.</p>	Compliant
A42	Notification of an incident under Condition A41 of this approval must include the time and date of the incident, details of the incident and must identify any non-compliance with this approval.	Copy of notification email from Sydney Metro to DPE on Blues Point potential incident on 24/11/2022 at 6.33pm.	The notification email included the time and date and details of the incident and any potential non-compliance.	Compliant
A43	Any requirements of the Secretary or Relevant Public Authority (as determined by the Secretary) to address the cause or impact of an incident reported in accordance with Condition A41 of this approval, must be met within the timeframe determined by the Secretary or relevant public authority.	Non-notifiable incident	The potential incident at Blues Point was determined to be non-notifiable as defined in the CSSI approval following receipt of water quality testing results.	Compliant
A44	If statutory notification is given to the EPA as required under the POEO Act in relation to the CSSI, such notification must also be provided to the Secretary for information within 24 hours after the notification was given to the EPA.	<p>Copy of notification email from Sydney Metro to DPE on Blues Point potential incident on 24/11/2022 at 6.33pm.</p> <p>NSW EPA was notified at 3.28pm on 24/11/22 via the Pollution Hotline on 131 555 (reference number 17404).</p>	<p>There were no incidents recorded for the Northern Dive Chatswood and Southern Dive at Sydenham under this audit scope/period.</p> <p>The only incident recorded for CSSI_7400 for the audit period was at Blues Point. This was determined not to be notifiable but was notified as a precaution to the NSW EPA pollution hotline until it was investigated, and water quality testing conducted and results received.</p>	Compliant
iii. Spoil, Unexpected Finds and Waste Classification				
E67	If a Site Contamination Report prepared under Condition E66 finds such land contains contamination, a site audit is required to determine the suitability of a site for a specified use. If a site audit is required, a Site Audit Statement and Site Audit Report must be prepared by a NSW EPA Accredited Site Auditor. Contaminated land must not be used for the purpose approved under the terms of this approval until a Site Audit Statement is obtained that declares the land is suitable for that purpose and any conditions on the Site Audit Statement have been complied with.	<p>Detailed Site Investigation Report, Project Proposed Road Construction, 1C Sydney Steel Road, Marrickville NSW 2204, prepared for CPB CONTRACTORS PTY LIMITED & UGL ENGINEERING PTY LIMITED as Systems Connect Line-wide, dated 16/11/2022, Report No 9198.27-ER-3-3_Rev01 by Alliance.</p> <p>Remedial Action Plan, Project Proposed Road Construction, 1C Sydney Steel Road, Marrickville NSW 2204, prepared for CPB Contractors PTY Limited & UGL Engineering PTY Limited as</p>	<p>The PSI/DSI and Remediation Plans have been completed for the remediation site on Sydney Steel Road, SMTF South.</p> <p>The site is awaiting a validation report from a site auditor.</p> <p>The email evidence from the auditee shows that the auditee requested an update from the Consultant on the 5 May following the audit site inspection.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>Systems Connect Line-wide, dated 25/11/2022, Report No 9198.27-ER-3-4_REV02 by Alliance.</p> <p>Email from Tristan McCormick, Environmental Coordinator - Systems Connect, to Alliance, dated 8 May 2023, requesting Validation Report.</p> <p>Email response from Alliance to Tristan McCormick, Environmental Coordinator - Systems Connect, dated 8 May 2023 on process and timing of validation report.</p>	<p>It is noted that the validation report is estimated to be provided two weeks following final site visit on Friday (5 May 2023) i.e. 10 business days / COB 19th of May 2023.</p>	
E68	A copy of the Site Audit Statement and Site Audit Report must be submitted to the Secretary and Council for information no later than one (1) month before the commencement of operation.	Interview with auditee 4/5/2023	To be provided to the Secretary and Council no later than 1 month before commencement of operation, as per E67.	Not triggered
E69	An Unexpected Contaminated Land and Asbestos Finds Procedure must be prepared and must be followed should unexpected contaminated land or asbestos be excavated or otherwise discovered during construction.	<p>Systems Connect – Unexpected Finds Soil Contamination and Asbestos Procedure.</p> <p>Systems Connect – Unexpected finds record register.</p> <p>Unexpected finds reports for contamination/asbestos include the following:</p> <p>UF-040 – Northern Connection – ACM 11/11/22</p> <p>UF-042 – Chatswood ACM – 7/3/23</p>	<p>An Unexpected Contaminated Land and Asbestos procedure has been developed and is being implemented and all unexpected finds tracked and reported in a register.</p> <p>This included the unexpected find of ACM (UF-042) at Chatswood Dive (covered in the audit period) which was managed in accordance with the procedure.</p>	Compliant
E70	The Unexpected Contaminated Land and Asbestos Finds Procedure must be implemented throughout construction.	<p>Systems Connect – Unexpected Finds Soil Contamination and Asbestos Procedure.</p> <p>Systems Connect – Unexpected finds record register.</p> <p>Unexpected finds reports for contamination/asbestos include the following:</p> <p>UF-040 – Northern Connection – ACM 11/11/22</p> <p>UF-042 – Chatswood ACM – 7/3/23</p>	<p>The Unexpected Contaminated Land and Asbestos procedure is being implemented and all unexpected finds tracked and reported in a register.</p> <p>Individual unexpected finds reports are provided detailing the nature of the find and the actions taken.</p>	Compliant
E106	<p>Waste generated during construction and operation is to be dealt with in accordance with the following priorities:</p> <p>(a) waste generation is to be avoided and where avoidance is not reasonably practicable, waste generation is to be reduced;</p> <p>(b) where avoiding or reducing waste is not possible, waste is to be re-used, recycled, or recovered; and</p> <p>(c) where re-using, recycling or recovering waste is not possible, waste is to be treated or disposed of.</p>	<p>Systems Connect - CSW Waste, Recycling and Spoil Management Plan C2b, Line-wide works, Rev. 02 (23/04/21)</p> <p>Systems Connect - Section 6 of Waste Recycling and Spoil Management Plan</p> <p>Copy of waste management extract and responsibilities from the Bingo waste disposal contract No. 624 5587</p> <p>Bingo monthly waste registers Nov 22 to Mar 23</p> <p>Bingo Monthly Waste Report Nov 22 to May 23</p> <p>Consolidated Synergy Waste Report Register Nov 22 to Apr 23</p> <p>Spoil Tracking Registers</p>	<p>A review of the waste management contract and reports show that waste generation is being avoided where possible and that the auditee is achieving 90% or above recycling for the audit period.</p> <p>Additionally, the audit inspection found that waste segregation is being implemented by the contractor on site.</p> <p>Observation:</p> <p>The auditor observed Wi-Fi access boxes disposed in a Bingo recycling bin. Section 6.3 ‘Waste avoidance and minimization’, and Section 6.3.1 ‘Reuse and Recycling Initiatives’ of the Waste Recycling and Spoil Management Plan stated that where feasible and reasonable, any items of infrastructure that are salvageable will be reused... or offered o Sydney Trains for reuse.</p>	<p>Compliant</p> <p>Observation</p>

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
			<p>Section 6.3.4 Salvageable Items states that at the time of drafting this plan no items of rail infrastructure have been identified for salvage.</p> <p>It was noted by the auditee that the Wi-Fi boxes are from the temporary services tunnel.</p> <p>This condition requires that any items, including from temporary services should be first prioritized for re-use, before recycling in accordance with the waste management hierarchy.</p> <p>The auditor recommends the WRSMP be revised and updated to include any new items that have been identified for re-use / sale since the last revision of the Plan, and that reference be provided to the auditee's procedures for 'Dispose of Plant, Assets and Equipment' and 'Plant Asset Sale or Disposal Requisition'.</p>	
iv. Noise and Vibration				
A27	<p>The approved AA must:</p> <ul style="list-style-type: none"> (a) receive and respond to communication from the Secretary in relation to the performance of the CSSI in relation to noise and vibration; (b) consider and inform the Secretary on matters specified in the terms of this approval relating to noise and vibration; (c) consider and recommend, to the Proponent, improvements that may be made to work practices to avoid or minimise adverse noise and vibration impacts; (d) review all noise and vibration documents required to be prepared under the terms of this approval and, should they be consistent with the terms of this approval, endorse them before submission to the Secretary (if required to be submitted to the Secretary) or before implementation (if not required to be submitted to the Secretary); (e) regularly monitor the implementation of all noise and vibration documents required to be prepared under the terms of this approval to ensure implementation is in accordance with what is stated in the document and the terms of this approval; (f) review the Proponent's notification of noise and vibration incidents in accordance with Condition A41 of this approval; (g) in conjunction with the ER (where required), the AA must: <ul style="list-style-type: none"> i. consider requests for out of hours construction activities and determine whether to endorse the proposed activities in accordance with Condition E47; ii. as may be requested by the Secretary or Complaints Mediator, help plan, attend or undertake audits of noise and vibration management of the CSSI including briefings, and site visits; iii. if conflict arises between the Proponent and the community in relation to the noise and vibration performance during construction of the CSSI, follow the procedure in the Community Communication Strategy approved under Condition B3 of this approval to attempt to resolve the conflict, and if it cannot be resolved, notify the Secretary; 	<p>Section 2.2 'Criteria' under Section 2 'Scope of Works' under the Services Brief, Sydney Metro City & Southwest, Acoustic Advisory Services (Chatswood to Sydenham) – RFT No. SM2021/006.</p> <p>DPE approval letter addressed to Sydney Metro for appointment of AA entitled 'Sydney Metro: Chatswood to Sydenham (SSI-7400) Condition A25: Approval of Acoustic Advisors' and dated 27/9/21.</p> <p>(a) AA monthly reports detailing communications with Secretary, and AA attendance at monthly meeting with Sydney Metro and DPE.</p> <p>Email 17/04/2023 transport.nsw-SC re: Requesting for reporting requirement - Construction Compliance Report 12 Inputs for Linewide including noise monitoring results and vibration monitoring result.</p> <p>Email 20/04/20223 SC-transport.nsw re: Reply on the request for reporting requirement - Construction Compliance Report 12 Inputs for Linewide including noise monitoring results and vibration monitoring result.</p> <p>SM-Xmas 22-23 Possession Linewide 24/11/2022 (Power Point Presentation) by SM re: Linewide Contractor Southwest Corridor Possession Works (WE13-WE15).</p> <p>Email 16/09/2022 Transport for NSW-project team re: October Shutdown Co-ordination meeting #2 - high-level summary of the proposed works to be undertaken.</p> <p>Email 23/11/2022 SC-Haslin re: Canterbury Station OOHW 8 & 9 December 2022 – no cumulative noise impact.</p> <p>(b) AA monthly reports with details of matters raised / considered, issued to DPE (below).</p> <p>Monthly Noise & Vibration Report City & Southwest Acoustic Advisor - November 2022, 06/12/2022 by EMM.</p> <p>Monthly Noise & Vibration Report City & Southwest Acoustic Advisor - December 2022, 06/01/2023 by EMM.</p>	<p>An AA has been engaged and approved by DPE and is carrying out their duties in accordance with this Condition, the requirements of which are also described in the AA's contract (as stated in the brief and s2 of the RFT).</p> <p>The AAs activities and observations and recommendations are noted in the monthly AA reports submitted to DPE.</p> <p>The AA has been attending regular meetings with Sydney Metro, DPE and ER and liaises with DPE on any emerging issues at those meetings.</p> <p>The AA has been conducting regular site inspections with the ER and Sydney Metro and the contractor and raises issues directly with the auditee.</p>	Compliant

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	<p>iv. consider relevant minor amendments made to any noise and vibration document approved by the Secretary that require updating or are of an administrative or minor nature, and are consistent with the terms of this approval and the document approved by the Secretary and, if satisfied such amendment is necessary, approve the amendment. This does not include any modifications to the terms of this approval;</p> <p>v. assess the noise impacts of minor ancillary facilities as required by Condition A18 of this approval; and</p> <p>vi. prepare and submit to the Secretary and other relevant regulatory agencies, for information, a monthly Noise and Vibration Report detailing the AAs actions and decisions on matters for which the AA was responsible in the preceding month (or another timeframe agreed with the Secretary). The Noise and Vibration Report must be submitted within seven (7) days following the end of each month for the duration of construction of the CSSI, or as otherwise agreed with the Secretary.</p>	<p>Monthly Noise & Vibration Report City & Southwest Acoustic Advisor – January 2023, 07/02/2023 by EMM.</p> <p>Monthly Noise & Vibration Report City & Southwest Acoustic Advisor – February 2023, 07/03/2023 by EMM.</p> <p>Monthly Noise & Vibration Report City & Southwest Acoustic Advisor – March 2023, 06/04/2023 by EMM.</p> <p>(d) Review and approval of Construction Noise and Vibration Impact Statement (CNVIS) Addendum Report by Acoustic Advisor (EMM), dated 19/9/22.</p> <p>AA CNVIS Addendum Report - Chatswood Tunnel Civil and M&E, dated 19 September 2022.</p> <p>(e) Noise Monitoring Record Sheet 16/04/2023 by SC location: SW Corridor, Marrickville.</p> <p>(f) Incident and non-compliance reports/notifications.</p> <p>Compliance matrix in Construction Compliance Reports (CCR) with details of compliance.</p> <p>Construction Compliance Report #12 (1 October 2022 to 31 March 2023), dated December 2022, in Draft, v1.</p> <p>(g) Activities relating to this requirement are documented in AA Monthly Reports in (b).</p>		
Vibration				
E28	The Proponent must ensure that vibration from construction activities does not exceed the vibration limits set out in the British Standard BS 7385-2:1993 Evaluation and measurement for vibration in buildings. Guide to damage levels from groundborne vibration.	<p>Systems Connect Vibration Monitoring Register.</p> <p>Blues Point Road, McMahons Point (street scape construction works close to and within MWD of heritage bus shelter) – 2-15/11/22.</p>	<p>Vibration monitoring was conducted between 2-15/11/22 in relation to possible impacts on heritage bus shelter at McMahons Point.</p> <p>There were no vibration exceedances due to operation of vibratory equipment.</p> <p>There were some exceedances relating to stacking of bricks adjacent to the unit and bumping of the unit, but these exceedances were instantaneous and not sustained.</p> <p>There was no damage/impact to bus shelter noted following inspections.</p>	Compliant
E28.1	If the modifications to this approval as described in A1(e) proceed, the vibration screening criterion for 50 Martin Place must remain at 7.5 mm/s, unless a detailed investigation of the construction of the building determines that increasing the screening criterion to 25 mm/s is acceptable. The investigation must be undertaken by a suitably qualified structural engineer with experience assessing heritage structures and approved by the Secretary and must be supported by evidence to demonstrate the higher criterion is appropriate.	Interview with auditees 4/5/2023	Not applicable to this audit scope.	Not triggered
E29	Owners of properties at risk of exceeding the screening criteria for cosmetic damage must be notified before construction that generates vibration commences in the vicinity of those properties. The management of construction works in the vicinity of properties at risk of exceeding the screening criteria for cosmetic damage must be considered in the Noise and Vibration management sub plan required by Condition C3.	<p>Section 5.5 'Construction Vibration Disturbance to buildings', Section 6.3 'Evaluation and Assessment of Construction Noise and Vibration Impacts' and Section 7.3 of 'Minimum working distances for vibration intensive activities' of CNVMP C2B, Line Wide Works, Rev. 1, dated 30/10/2020.</p> <p>CNVIS Addendum - Construction Noise and Vibration Impact Addendum Report (CNVIAR) dated June 2022.</p>	The original CNVIS identified a number of properties in Chatswood that would be potentially impacted by construction works. The Contractor then modified the construction methodology, and the mitigation measures revised by the project team resulting in reduced vibration impacts and reducing any potential risk of cosmetic damage to nearby properties. As a	Not triggered

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			<p>result the notification of relevant property owners was not required.</p> <p>The Addendums of CNVIS have not identify potential exceedances or risks to properties in the vicinity of the Chatswood Dive nor SMTF-South sites and there have been no recorded non-compliances or incidents or complaints relating to this requirement during the audit period.</p>	
E30	The Proponent must conduct vibration testing before and during vibration generating activities that have the potential to impact on heritage items to identify minimum working distances to prevent cosmetic damage. In the event that the vibration testing and monitoring shows that the preferred values for vibration are likely to be exceeded, the Proponent must review the construction methodology and, if necessary, implement additional mitigation measures.	<p>CNVIS Addendum - Construction Noise and Vibration Impact Addendum Report (CNVIAR) dated June 2022.</p> <p>Memo from AMBS with advice regarding vibration monitoring of heritage items, Blues Point Road and Henry Lawson Avenue, dated 1/7/22.</p> <p>Email from Renzo Tonin with advice on vibration monitoring and recommendations for precautions of works dated 1/7/22.</p> <p>Blues Point Vibration Monitoring Record Sheet for period 2-11/11/22.</p>	<p>There were no vibration monitoring requirements for any heritage items at the Chatswood Dive or SMTF-South sites covered under this audit scope/period.</p> <p>There was some vibration monitoring at the Blues Point site which is outside the scope of this audit.</p> <p>For the Blues Point site, vibration monitoring was conducted between 2-15/11/22 in relation to possible impacts on heritage bus shelter at McMahons Point.</p> <p>The vibration monitoring report notes that construction work methods were adjusted to avoid vibratory works as much as possible within minimum working distances, for example a crowbar and hands were used to remove individual footpath bricks as opposed to the vibratory intensive jackhammer.</p> <p>There were no vibration exceedances due to operation of vibratory equipment. Any recorded exceedances have been justified as relating to stacking or bricks or bumping of unit.</p>	Compliant
E31	The Proponent must seek the advice of a heritage specialist on methods and locations for installing equipment used for vibration, movement and noise monitoring of heritage-listed structures.	<p>Memo from AMBS with advice regarding vibration monitoring of heritage items, Blues Point Road and Henry Lawson Avenue, dated 1/7/22.</p> <p>Email from Renzo Tonin with advice on vibration monitoring and recommendations for precautions of works dated 1/7/22.</p> <p>Blues Point Vibration Monitoring Record Sheet for period 2-11/11/22.</p>	Advice was sought from Renzo Tonin and AMBS on methods for completing the street scaping works near the heritage bus shelter and other nearby heritage structures.	Compliant
Construction Noise and Vibration Strategy				
E32	<p>The Proponent must review the Sydney Metro City and Southwest Construction Noise and Vibration Strategy in the PIR during detailed construction planning to consider scale and duration of impacts, the requirements of this approval and all measures to limit construction noise impacts to sensitive receivers including:</p> <ul style="list-style-type: none"> (a) at property or architectural treatment; (b) relocation; and (c) other forms of mitigation where impacts are predicted to be long term and significant. <p>The revised Sydney Metro City and Southwest Construction Noise and Vibration Strategy must be submitted to the Secretary for approval at least one (1) month before construction commences</p>	<p>Sydney Metro CSW Construction Noise and Vibration Strategy (CNVS) Version 4, Mark Russell Associate Consultant & SLR Consulting Australia Pty Ltd, Dated 8 August 2016. Review date: 9/8/2017</p> <p>https://www.sydneymetro.info/sites/default/files/2021-09/Sydney_Metro_City_Southwest_Construction_Noise_and_Vibration%2520Strategy.pdf</p> <p>Letter of approval from DPE to Sydney Metro dated 14/7/17, and endorsements by ER and AA.</p> <p>Construction Noise and Vibration Management Plan – C2B, Line Wide Works Contract Sydney Metro City & Southwest, Project number: C600, Document number: MCSWLWC-SYC-1NL-PM-PLN-000032, Revision date: 30/10/2020, Revision: 1</p>	The CNVS was reviewed on 9/8/2017 and includes sections on Standard Noise & Vibration Mitigation Measure (s7) and Additional Noise & Vibration Mitigation Measures (s8), and was submitted to DPE more than one month before commencement of construction and approved by DPE on 14/7/17.	Compliant
E33	Construction Noise and Vibration Impact Statements must be prepared for each construction site before construction noise and vibration impacts commence and include	Systems Connect - CNVIS for Chatswood Dive dated 8/4/21 and endorsed by AA on 16/4/21.	A CNVIS was prepared for Chatswood Dive on 16/4/21 and endorsed by the AA on 16/4/21 and for SMTF South on 16/3/21	Compliant

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	specific mitigation measures identified through consultation with affected sensitive receivers.	CNVIS for SMTF South dated 16/3/21, approved by AA on 24/3/21 CNVIS for SMTF South & Southern Dive dated 9/6/21 Systems Connect - Noise Monitoring Register Nov 22 to Apr 23 https://www.sclww.com.au/wp-content/uploads/2021/05/Construction-Noise-and-Vibration-Impact-Statement-CNVIS-Chatswood-Dive.pdf Review and approval of Construction Noise and Vibration Impact Statement (CNVIS) Addendum Report by Acoustic Advisor	and approved by AA on 24/3/21. These include the identification of mitigation measures through consultation with sensitive receivers and are regularly monitored for implementation by the AA and ER and results reported in their monthly reports.	
E34	Noise generating works in the vicinity of potentially-affected, religious, educational, community institutions and noise and vibration-sensitive businesses and critical working areas (such as theatres, laboratories and operating theatres) must not be timetabled within sensitive periods, unless other reasonable arrangements to the affected institutions are made at no cost to the affected institution or as otherwise approved by the Secretary.	Interview with auditees 4/5/2023	There were no religious, educational, community institutions and noise & vibration sensitive businesses in the vicinity of this audit scope (locations).	Not triggered
E35	The Proponent must review alternative methods to rock hammering and blasting for excavation as part of the detailed construction planning with a view to adopting methods that minimise impacts on sensitive receivers. Construction Noise and Vibration Impact Statements must be updated for each location or activity to adopt the least impact alternative in any given location unless it can be demonstrated, to the satisfaction of the AA, why it should not be adopted.	Interview with auditees 4/5/2023	There was no rock hammering and blasting for the locations covered in this audit scope/period, and therefore no impacts on sensitive receivers from such a source of activity. It should also be noted that the construction methodology for Blues point was adjusted to minimize impacts to the heritage bus shelters and other heritage structures.	Not triggered
Standard Construction Hours				
E36	Construction, except as allowed by Condition E48 (excluding cut and cover tunnelling), must only be undertaken during the following standard construction hours: (a) 7:00am to 6:00pm Mondays to Fridays, inclusive; (b) 8:00am to 6:00pm Saturdays; and (c) at no time on Sundays or public holidays.	Systems Connect OOHW Application Register Nov 22 to April 23 Out of Hours Works Applications in folder 04 Noise & Vibration, sub-folder 4.2 OOHW Applications Numbers: OOH-100, OOH-209, OOH-240, OOH-246, OOH-253, OOH-259, OOH-266, OOH-274, OOH-275, OOH-276, OOH-280, OOH-283, OOH-289, OOH-292, OOH-296, OOH-306. Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-017 14/11/2022 by SM re: Vehicle left idling OOHW at Surry Hills bulk power supply. Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-018 29/11/2022 by SM re: Traffic control light vehicle belonging to subcontractor (Quickway) was idling and had its signboard lights flashing while parked. Chatswood Dive, 221110FRAN, 10/22/22, Night works affecting sleep, Complaints Register Chatswood Dive, 230227KAPA, 27/02/2003, Night works taking longer to complete than planned, Complaints Register	Works carried out through the audit period have generally been undertaken during these standard construction hours unless otherwise approved under Out of Hours Applications and approved permits. The auditor did not identify any non-compliances relating to OOH construction related activities within the audit scope/period. However, there were a few complaints that have been properly investigated and managed.	Compliant
Respite for Receivers				
E37	The Proponent must identify all receivers likely to experience internal noise levels greater than Leq(15 minute) 60 dB(A) inclusive of a 5 dB penalty, if rock breaking or any other annoying activity likely to result in regenerated (ground-borne) noise or a	Interview with auditees on 4/5/2023. Construction Noise and Vibration Management Plan – C2B, Line Wide Works Contract Sydney Metro City & Southwest, Project	There were no receivers identified for the Chatswood Dive and SMTF-South at Marrickville that would experience levels of that specified in this condition for this audit period.	Not triggered

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>perceptible level of vibration is planned (including works associated with utility adjustments), between 7am – 8pm at:</p> <p>(a) Crows Nest, Victoria Cross, Blues Point, Barangaroo, Martin Place, Pitt Street, and Central; and</p> <p>(b) Marrickville, Newtown, St Peters, Sydenham and Tempe for works specified in SSI 7400_MOD 4 referenced in Condition A1 (c).</p>	<p>number: C600, Document number: MCSWLWC-SYC-1NL-PM-PLN-000032, Revision date: 30/10/2020, Revision: 1.</p> <p>AA monthly reports detailing communications with Secretary, and AA attendance at monthly meeting with Sydney Metro and DPE.</p> <p>OCCS compliance matrix and contractor CTRs</p> <p>Marrickville Newsletter</p> <p>Marrickville Monthly Notifications – Dive Site and Sydney Metro Trains Facility for the audit period Nov 22 to May 23.</p> <p>Marrickville Newsletter print (Community Letter) 17/01/2023 by SM re: Work at Marrickville Line-wide team completes construction and fit-out of the Sydney Metro Trains Facility South and in the twin tunnels – Newsletter contain telephone number, postal address and email address.</p>	<p>Additionally there were no recorded incidents, non-compliances or complaints that were verified to have exceeded these limits by the AA, ER or contractor in the noise and vibration monitoring and registers.</p> <p>The sensitive receivers and need for respite periods were identified offered for the Marrickville South Train Facility for the period 14-17 April 2023, where OOHW were deemed to have potentially high noise impacts. These respites included respite vouchers and accommodation vouchers.</p> <p>Community updates notifications and emails were also provided for these works.</p>	
E38	<p>The Proponent must consult with all receivers identified in accordance with Condition E37 with the objective of determining appropriate hours of respite so that construction noise (including ground-borne noise), does not exceed internal noise levels of:</p> <p>(a) Leq(15 minute) 60 dB(A) inclusive of a 5 dB penalty if rock breaking or any other annoying activity likely to result in ground-borne noise or a perceptible level of vibration is planned between 7am – 8pm for more than 50 percent of the time; and</p> <p>(b) Leq(15 minute) 55 dB(A) inclusive of a 5 dB penalty if rock breaking or any other annoying activity likely to result in ground-borne noise or a perceptible level of vibration is planned between 7am – 8pm for more than 25 percent of the time, unless an agreement is reached with those receivers. This condition does not apply to noise associated with the cutting surface of a TBM as it passes under receivers.</p> <p>Note This condition requires that noise levels be less than Leq(15 minute) 60 dB(A) for at least 6.5 hours between 7am and 8pm, of which at least 3.25 hours must be below Laeq(15 minute) 55 dB(A). Noise equal to or above Leq(15 minutes) 60 dB(A) is allowed for the remaining 6.5 hours between 7am and 8pm.</p>	<p>Interview with auditees 4/5/2023.</p> <p>Construction Noise and Vibration Management Plan – C2B, Line Wide Works Contract Sydney Metro City & Southwest, Project number: C600, Document number: MCSWLWC-SYC-1NL-PM-PLN-000032, Revision date: 30/10/2020, Revision: 1.</p> <p>OCCS compliance matrix and contractor CTRs</p> <p>Marrickville Newsletter</p> <p>Marrickville Monthly Notifications – Dive Site and Sydney Metro Trains Facility for the audit period Nov 22 to May 23.</p> <p>Marrickville Newsletter print (Community Letter) 17/01/2023 by SM re: Work at Marrickville Line-wide team completes construction and fit-out of the Sydney Metro Trains Facility South and in the twin tunnels – Newsletter contain telephone number, postal address and email address.</p>	<p>As per CoA E37, there were no receivers identified that would experience noise above the levels set in this requirement.</p> <p>Additionally there were no recorded incidents, non-compliances or complaints that were verified to have exceeded these limits by the AA, ER or contractor in the noise and vibration monitoring and registers.</p> <p>None-the-less, sensitive receivers and need for respite periods were identified offered for the Marrickville South Train Facility for the period 14-17 April 2023, where OOHW were deemed to have potentially high noise impacts. These respites included respite vouchers and accommodation vouchers.</p> <p>Community updates notifications and emails were also provided for these works.</p>	Not triggered
E39	<p>The Proponent must consult with proponents of other construction works in the vicinity of the CSSI and take reasonable steps to coordinate works to minimise cumulative impacts of noise and vibration and maximise respite for affected sensitive receivers.</p>	<p>Email on Midyear Shutdown Co-ordination meeting #2, dated 24/06/2022.</p> <p>Email on Shutdown Co-ordination meeting #2, dated 16/09/2022.</p> <p>OOHWA OOH-275 Chatswood Dive Sewer and Water Connection.</p>	<p>The auditee has previously consulted and coordinated with proponents of other works in the vicinity to mitigate cumulative noise impacts.</p> <p>However there have been no other major construction works by other proponents in the vicinity that have triggered this requirement for this audit scope/period.</p>	Not triggered
E40	<p>The Proponent must ensure all works (including utility works associated with the CSSI where undertaken by third parties) are coordinated to provide the required respite periods identified in accordance with the terms of this approval.</p>	<p>OOHWA OOH-275 Chatswood Dive Sewer and Water Connection, 06/02/2023 Rev 02B, 24/02/2023 Rev 03B.</p> <p>Systems Connect, Current Potential High-Risk Works document</p>	<p>The auditee has taken steps to coordinate utility works (sewer and water connection works at Chatswood Dive) by third parties in February 2023 so as to allow for respite as required.</p> <p>Respite triggered for 16 properties.</p> <p>Alternative Accommodation triggered for 2 properties.</p>	Compliant
Mitigation – Non Residential Zones				
E41	<p>The Proponent must ensure that residential receivers, located in non-residential zones, likely to experience an internal noise level exceeding Leq(15 minute) 60 dB(A) between 8pm and 9pm or Leq(15 minute) 45 dB(A) between 9pm and 7am (inclusive of a 5 dB penalty if rock breaking or any other annoying activity likely to result in ground-borne</p>	<p>CNVIS Chatswood Dive dated 8/4/21, approved by AA on 16/4/21.</p> <p>Systems Connect, LWW Noise Monitoring Register 11/22 to 4/23</p>	<p>There were no activities in the audit period that were reported to result in exceedances to this level.</p>	Compliant

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	noise, or a perceptible level of vibration is planned (including works associated with utility adjustments)) must be offered additional mitigation in accordance with the Sydney Metro City and South West Noise and Vibration Strategy referenced in Condition E32.	Northern Connection Noise Respite Vouchers for the period 11/22 to 5/23 SMTF- South respite vouchers for April 2023. Systems Connect OOHW Application Register Nov 22 to April 23. Out of Hours Works Applications in folder 04 Noise & Vibration, sub-folder 4.2 OOHW Applications Numbers: OOH-100, OOH-209, OOH-240, OOH-246, OOH-253, OOH-259, OOH-266, OOH-274, OOH-275, OOH-276, OOH-280, OOH-283, OOH-289, OOH-292, OOH-296, OOH-306.	Project Updates communicated and Notification emails have been regularly issued directly to affected receivers and respite vouchers offered, as per Condition E32.	
Mitigation – Residential receivers in residential zones				
E42	The Proponent must ensure that residential receivers in residential zones likely to experience an internal noise level of Leq(15 minute) 45 dB(A) or greater between 8pm and 7am (inclusive of a 5 dB penalty if rock breaking or any other annoying activity likely to result in ground-borne noise, or a perceptible level of vibration is planned (including works associated with utility adjustments)) must be offered additional mitigation in accordance with the Sydney Metro City and South West Noise and Vibration Strategy referenced in Condition E32.	CNVIS Chatswood Dive dated 8/4/21, approved by AA on 16/4/21. CNVIS SMTF South dated 16/3/21, approved by AA on 24/3/21 Systems Connect, LWW Noise Monitoring Register 11/22 to 4/23 Systems Connect, Vibration Monitoring Register 11/22 to 4/23 Northern Connection Noise Respite Vouchers for the period 11/22 to 5/23	The results from the noise monitoring detailed in the Noise Monitoring Register shows that noise levels were compliant during the audit period. Project Updates communicated and Notification emails have been regularly issued directly to affected receivers and respite vouchers offered, as per Condition E32.	Compliant
Workplace health and safety for nearby workers				
E43	3 At no time can noise generated by construction exceed the National Standard for exposure to noise in the occupational environment of an eight-hour equivalent continuous A-weighted sound pressure level of LAeq,8h, of 85dB(A) for any employee working at a location near the CSSI.	CNVIS Chatswood Dive dated 8/4/21, approved by AA on 16/4/21. Systems Connect, LWW Noise Monitoring Register 11/22 to 4/23 Systems Connect, Vibration Monitoring Register 11/22 to 4/23	The CNVIS did not identify any potential exceedances to the national standards for employees working at a location near Chatswood Dive for this audit period.	Compliant
Variation to Standard Construction Hours				
E44	Notwithstanding Condition E36 construction associated with the CSSI may be undertaken outside the hours specified under those conditions in the following circumstances: (a) for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or (b) where it is required in an emergency to avoid injury or the loss of life, to avoid damage or loss of property or to prevent environmental harm; or (c) where different construction hours are permitted or required under an EPL in force in respect of the construction; or (d) construction that causes LAeq(15 minute) noise levels: i. no more than 5 dB(A) above the rating background level at any residence in accordance with the Interim Construction Noise Guideline (DECC, 2009), and ii. no more than the noise management levels specified in Table 3 of the Interim Construction Noise Guideline (DECC, 2009) at other sensitive land uses, and iii. continuous or impulsive vibration values, measured at the most affected residence are no more than those for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), and	EPL-21423 EPL Monitoring Reports, Nov 22, Dec 22, Jan 23, Feb 23, Mar 23 OOHW Applications Register Nov 22 to Apr 23	All construction outside of standard hours has been subject to OOHW Applications and Permits and the EPL conditions.	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>iv. intermittent vibration values measured at the most affected residence are no more than those for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006); or</p> <p>(e) where a negotiated agreement has been reached with a substantial majority of sensitive receivers who are within the vicinity of and may be potentially affected by the particular construction, and the noise management levels and/or limits for ground-borne noise and vibration (human comfort) cannot be achieved. All agreements must be in writing and a copy forwarded to the Secretary at least one (1) week before the works commencing; or</p> <p>(f) construction approved through an Out of Hours Work Protocol referred to in Condition E47, provided the relevant council, local residents and other affected stakeholders and sensitive receivers are informed of the timing and duration at least five (5) days and no more than 14 days before the commencement of the works.</p> <p>Note: This condition does not apply where an EPL is in force in respect of the construction.</p>			
E45	<p>On becoming aware of the need for emergency construction in accordance with Condition E44(b), the Proponent must notify the AA, the ER and the EPA (if an EPL applies) of the need for those activities or work. The Proponent must also use best endeavours to notify all affected sensitive receivers of the likely impact and duration of those works.</p>	<p>Interview with auditees 4/5/2023</p>	<p>There were no emergency construction works required for the Chatswood Dive or SMTF-South sites covered in this audit scope/period.</p> <p>There were some emergency works carried out to repair a broken Sydney Water potable water pipe at Blues Point.</p> <p>The auditee notified the ER, EPA, Secretary and affected sensitive receivers of the works.</p>	Compliant
E46	<p>Notwithstanding Conditions E44 and E48, rock breaking and other particularly annoying activities for station shaft or cut and cover stations is not permitted outside of standard construction hours, except at Central (excluding Central Walk works at 20-28 Chalmers Street, Surry Hills); or</p> <p>(a) where it is required in an emergency to avoid injury or the loss of life, to avoid damage or loss of property or to prevent environmental harm; or</p> <p>(b) where different construction hours are permitted or required under an EPL in force in respect of the construction; or</p> <p>(c) where an EPL is not required or in force, approved through an Out of Hours Work Protocol developed in accordance with Condition E47; or</p> <p>(d) construction that causes LAeq(15 min) noise levels:</p> <p>i. no more than 5 dB(A) above the rating background level at any residence in accordance with the Interim Construction Noise Guideline (DECC, 2009); and</p> <p>ii. no more than the noise management levels specified in Table 3 of the Interim Construction Noise Guideline (DECC, 2009) at other sensitive land uses; and</p> <p>iii. continuous or impulsive vibration values, measures at the most affected residence are no more than those for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006); and</p> <p>iv. intermittent vibration values measured at the most affected residence are no more than those for human exposure to vibration,</p>	<p>Interview with auditees 4/5/2023</p>	<p>This requirement is not applicable to this Line-wide audit scope</p>	Not triggered

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006).			
Out of Hours Work Protocol for works not subject to an EPL				
E47	<p>An Out of Hours Work Protocol for the assessment, management and approval of work outside of standard construction hours, as defined in Condition E36 of this approval, must be prepared in consultation with the EPA and submitted to the Secretary for approval before construction commences for works not subject to an EPL. The protocol must include:</p> <ul style="list-style-type: none"> (a) the identification of low and high risk construction activities; (b) a risk assessment process in which the AA reviews all proposed out of hours activities and identifies their risk levels; (c) a process for the endorsement of out of hours activities by the AA and approval by the ER for construction activities deemed to be of: <ul style="list-style-type: none"> i. low environmental risk; or ii. high risk where all construction works cease by 9pm. <p>All other high risk out of hours construction must be submitted to the Secretary for approval unless otherwise approved through an EPL.</p> <p>The protocol must detail standard assessment, mitigation and notification requirements for high and low risk out of hours works, and detail a standard protocol for referring applications to the Secretary.</p>	<p>Sydney Metro City & Southwest Out of Hours Work Strategy / Protocol, SM ES-PW-317 Sydney Metro Integrated Management System (IMS), Version: 5.3, dated October 2022</p> <p>https://www.sydneymetro.info/sites/default/files/2022-10/CSW-OOHW-Strategy-Protocol-v5.3.pdf</p> <p>Reviewed and endorsed by AA on 11 October 2022.</p> <p>Previous version 'City & Southwest Out of Hours Work Strategy / Protocol', March 2019 approved by the Acoustic Advisor on 1/4/19.</p>	<p>The initial version of the OOH Work Protocol was prepared in consultation with the EPA and submitted to the Secretary for approval on 30 March 2017, prior to the commencement of works on 17 June 2017.</p> <p>The OOHW Protocol / Strategy has since been updated twice and is now entitled Sydney Metro City & Southwest Out of Hours Work Strategy / Protocol, SM ES-PW-317, Rev 5.3, Oct 2022.</p>	Compliant
24 Hour Construction				
E48	<p>Notwithstanding Condition E36 of this approval and subject to Condition E47, the following activities may be undertaken 24 hours per day, seven (7) days per week:</p> <ul style="list-style-type: none"> (a) tunnelling and associated support activities (excluding cut and cover tunnelling, and excluding the installation and decommissioning of the Blues Point acoustic shed except where compliance with Condition E44 is achieved); (b) excavation within an acoustic enclosure (excluding the Blues Point temporary site except where compliance with Condition E44 is achieved); (c) excavation at Central (excluding Central Walk works at 20-28 Chalmers Street, Surry Hills) without an acoustic enclosure; (d) station and tunnel fit out; and (e) haulage and delivery of spoil and materials 	<p>Systems Connect - OOHW applications register, Nov 22 to May 23</p> <p>Sydney Metro City & Southwest Out of Hours Work Strategy / Protocol, SM ES-PW-317 Sydney Metro Integrated Management System (IMS), Version: 5.3, dated October 2022</p> <p>https://www.sydneymetro.info/sites/default/files/2022-10/CSW-OOHW-Strategy-Protocol-v5.3.pdf</p> <p>Reviewed and endorsed by AA on 11 October 2022</p> <p>Project Update 12/2022 by SM - OOHW 14-25/12/2022 (9pm-5am) re: Traffic control and partial lane closures, saw cutting and removal of the road surface, excavation works, water & sewer connection, backfilling, compacting and road resurfacing on Mowbray Road and Hampden Road, Chatswood</p> <p>Project Update 1/2023 by SM - OOHW 13-16/01/2023 (10pm-2am) re: Various works on Brand Street, Artarmon and William Street, Chatswood and also at the Valetta Lane, Wilson Street and Cleland Road gates</p> <p>Project Update 1/2023 by SM - OOHW 10 nights shift from 22/01/2023 (8pm-5am) re: Excavation works, water & sewer connections, backfilling, compacting and resurfacing road on Mowbray Road and Hampden Road, Chatswood</p> <p>Project Update 1/2023 by SM - OOHW 24/7 01/2023 re: Various works on Chatswood Dive site</p>	<p>All works carried out 24 hours per day have been subject to OOHW Applications and Protocol.</p> <p>Additionally, notification emails and newsletters were issued for OOHW to communicate likely impacts and options for respite. Examples have been documented and sighted in the audit evidence.</p> <p>The auditor was unable to identify any 24 hour works that were not subject to an OOHW Application or consistent with the Protocol.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>Project Update 2/2023 by SM - OOHW 29/01/-3/02/2023 (10pm-7am) re: Adjustment and testing to overhead wiring, pulling and terminating cables and completing minor civil works on Nelson Street and Seldon Lane, Chatswood</p> <p>Project Update 2/2023 by SM - OOHW 4-5/02/2023 (6am-6pm) re: Adjustment, pulling and terminating cables and completing minor civil works on rail corridor between Brand Street, Artarmon and William Street, Chatswood and also at the Valetta Lane and Wilson Street gates</p> <p>Project Update 3/2023 by SM - OOHW 25-26/03/2023 (6am-6pm) re: Minor civil works and fencing completion works on rail corridor between Mowbray Road and William Street, Chatswood and also at the Wilson Street gates</p> <p>Project Update 3/2023 by SM - OOHW (9:30-5am) Mon-Sat working no more than two consecutive nights (9:30pm-5am) re: Water connection and upgrade work on Mowbray Rd</p> <p>Project Update 4/2023 by SM - OOHW 24/7 3/2023 re: Various works on Chatswood Dive Site</p> <p>Project Update 4/2023 by SM - OOHW 10-14/4/2023 (10pm-7am) re: Adjustment, pulling and terminating cables and completing minor civil works on rail corridor between Nelson Avenue and Seldon Lane, Chatswood</p> <p>Project Update 4/2023 by SM - OOHW 10-14/4/2023 (9:30pm-5am) re: Water connection and upgrade on Mowbray Road, Artarmon</p> <p>Project Update 4/2023 by SM - OOHW 24/7 4/2023 re: Various works on Chatswood Dive site</p>		
E48.1	Notwithstanding E48(a), the Proponent must use best endeavours to schedule annoying activities, including steel hammering and movement of the self-propelled modular trailer, at the Blues Point temporary site between 7am and 8pm.	Interview with auditees 4/5/2023	This work is no longer applicable to this audit scope/period.	Not triggered
E48.2	Heavy vehicles deliveries to the Blues Point temporary site are only permitted between 7 am and 10 pm except where permitted otherwise through an EPL or where oversized vehicle movement is directed by NSW Police and/or Transport for NSW at other times.	Interview with auditees 4/5/2023	Heavy vehicle activities at the Blues Point site was not in this audit scope/period.	Not triggered
E49	All acoustic sheds must be erected as soon as site establishment works at the facilities are completed and before undertaking any works or activities which are required to be conducted within the sheds.	Interview with auditees 4/5/2023	There were no acoustic shed requirements for this Line-wide audit scope/period.	Not triggered
Blasting Management				
E50	A Blast Management Strategy must be prepared and include: <ul style="list-style-type: none"> (a) sequencing and review of trial blasting to inform blasting; (b) regularity of blasting; (c) intensity of blasting; (d) periods of relief; and (e) blasting program. 	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
E51	The Blast Management Strategy must be endorsed by a suitably qualified and experienced person and reviewed by an independent specialist.	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered
E52	<p>The Blast Management Strategy must be prepared so that all blasting and associated activities are carried out so as not to generate unacceptable noise and vibration impacts or pose a significant risk to sensitive receivers. The Blast Management Strategy must be prepared in accordance with relevant guidelines including the principles outlined in Hazardous Industry Planning Advisory Paper No 6: Hazard Analysis (Department of Planning, January 2011) and Assessment Guideline: Multi-Level Risk Assessment (Department of Planning and Infrastructure, May 2011) for the handling and storage of hazardous materials and include:</p> <ul style="list-style-type: none"> (a) details of blasting to be performed, including location, timing, method and justification of the need to blast; (b) identification of all potentially affected noise and vibration sensitive sites including heritage buildings and utilities; (c) establishment of appropriate criteria for blast overpressure and ground vibration levels at each category of noise sensitive site; (d) details of the storage and handling arrangements for explosive materials and the proposed transport of those materials to the construction site; (e) identification of hazardous situations that may arise from the storage and handling of explosives, the blasting process and recovery of the blast site after detonation of the explosives; (f) determination of potential noise and vibration and risk impacts from blasting and appropriate best management practices; and (g) community consultation procedures. 	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered
E53	The Blast Management Strategy must be submitted to the Secretary one (1) month before blasting commences, or as agreed by the Secretary. The Blast Management Strategy as submitted to the Secretary, must be implemented for all blasting activities	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered
E54	<p>Blasting associated with the CSSI must not exceed the following criteria, measured at the most affected residence or other sensitive receiver as specified below:</p> <ul style="list-style-type: none"> (a) airblast overpressure (dB(Lin Peak)) 125 dBL; and (b) vibration (PPV): <ul style="list-style-type: none"> i. 25 mm/s generally; or ii. 7.5mm/s for heritage structures except where detailed investigation of the construction of the building determines that increasing the screening criterion to 25 mm/s is acceptable. The investigation must be undertaken by a suitably qualified structural engineer with experience assessing heritage structures that is approved by the Secretary. Any decision to adopt the higher vibration criterion must be supported by evidence to demonstrate the higher criterion is appropriate. 	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered
E55	Blasting must be limited to a single detonation in any one day, and a maximum of six per week, at each station location, or any other frequency agreed by the Secretary. Note: for the purpose of this Condition, a single detonation may involve a number of individual blasts fired in quick succession in a discrete area.	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
E56	Blasting associated with the project must be undertaken at a time to have the least impact on the nearby sensitive receivers determined in consultation with those receivers. All sensitive receivers affected by any blast must be advised fortnightly of the proposed blasting schedule. The Secretary must also be advised of the advance blasting schedule for any location.	Interview with auditees 4/5/2023	There was no blasting activity to be considered for this Line-wide audit scope/period.	Not triggered
SM C&SW Line Wide SSI 8256				
i. Community Engagement				
Communication Strategy				
B1	A Community Communication Strategy must be prepared to provide mechanisms to facilitate communication between the Proponent, the relevant council(s) and the community (including 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.	<p>Letter 09/06/2017 DPE-SM re: SM C&SW Chatswood to Sydenham SSI 15_7400 approval of the Overarching and Early Works Communication Strategy, v7.2.</p> <p>DPE delegated authority for Sydney Metro (SM Director Project Communications) to approve contractor CCS in 2019.</p> <p>Overarching CCS updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>Community Communications Strategy Subplan, Campsie/Canterbury Bulk Power Supply, Sydney Metro City and Southwest - Line Wide Work, Revision date: 22/04/2020, Revision: C01.01</p> <p>Copy of all Project Communications Procedures relating to the CCS provided to auditor.</p>	<p>A Sydney Metro and Systems Connect CCS has been prepared and approved and are being implemented in accordance with this requirement.</p> <p>The OCCS is being properly implemented through the development of the contractor CCS and evidence of its implementation and various communications activities are provided on the Sydney Metro website.</p> <p>These activities include: community/stakeholder notifications, communication of OOHW, project updates for each location including planned OOHW, engagement and consultation with local businesses, updating of stakeholder database, implementation of signage and hoarding information, and a community complaints management system and register.</p>	Compliant
B2	<p>The Community Communication Strategy must:</p> <p>(a) identify people and organisations to be consulted during the design and Work phases;</p> <p>(b) identify community demographics and approaches to address the needs of LOTE and CALD and vulnerable communities;</p> <p>(c) set out procedures and mechanisms for the regular distribution of accessible information, including to LOTE and CALD communities, about or relevant to the CSSI. The information to be distributed must include information regarding current site Construction activities, schedules and milestones at each Construction site;</p> <p>(d) provide for the formation of issue or location-based community forums that focus on key environmental management issues of concern to the relevant communities; and</p> <p>(e) establish place managers for each construction site to engage with the local community; and</p> <p>(f) set out procedures and mechanisms:</p> <p>(i) through which the community can discuss or provide feedback to the Proponent;</p> <p>(ii) through which the Proponent will respond to enquiries or feedback from the community; and</p>	<p>Overarching CCS (OCCS) updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>Systems Connect - CSW Community Engagement Strategy (CCS-LW), Rev. 02 (23/3/22)</p> <p>Community Communications Strategy Subplan, Campsie/Canterbury Bulk Power Supply, Sydney Metro City and Southwest - Line Wide Work, Revision date: 22/04/2020, Revision: C01.01.</p> <p>OCCS compliance matrix and contractor CTRs</p> <p>Marrickville Newsletter</p> <p>Marrickville Monthly Notifications – Dive Site and Sydney Metro Trains Facility for the audit period Nov 22 to May 23.</p> <p>Marrickville Newsletter print (Community Letter) 17/01/2023 by SM re: Work at Marrickville Line-wide team completes construction and fit-out of the Sydney Metro Trains Facility South and in the twin tunnels – Newsletter contain telephone number, postal address and email address.</p> <p>Campsie substation design consultation, June 2020.</p>	<p>The CCS has addressed all of the requirements (a-g) and has been approved by the Department and endorsed by the ER at the project startup phase and subsequently in its last revision.</p> <p>The CCS is being actively implemented and evidence has been provided that shows how the requirements in B2 are being addressed.</p> <p>A compliance matrix is included in the OCCS identifying how each requirement is being met.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	(iii) to resolve any issues and mediate any disputes that may arise in relation to construction of the CSSI.	<p>Campsie substation fact sheet, June 2020.</p> <p>Canterbury substation design consultation, June 2020.</p> <p>Canterbury substation fact sheet, June 2020.</p> <p>Community Newsletters (provided in evidence folder (01 Community and Stakeholder Engagement' and 'Additional Evidence')</p> <p>Project Update Notifications (provided in evidence folder (01 Community and Stakeholder Engagement' and 'Additional Evidence')</p> <p>Regular EDM emails for target and affected community groups/sensitive receivers</p> <p>Notification – Campsie December 2022 by SM re: Plan Work for Dec 2022</p> <p>Notification – Campsie February 2023 by SM re: Plan Work for Feb 2023</p> <p>Notification – Campsie March 2023 by SM re: Plan Work for Mar 2023</p> <p>Notification – Canterbury December 2022 – January 2023 by SM re: Plan Work for Dec 2022 & Jan 2023</p> <p>Notification – Canterbury February 2023 by SM re: Plan Work for Feb 2023</p> <p>Notification – Canterbury March 2023 by SM re: Plan Work for Mar 2023</p> <p>Notification – Campsie December 2022 by SM re: OOHW 1&31/12/2022 (6pm-7am) various works</p> <p>Notification – Campsie February 2023 by SM re: OOHW 1&4/02/2023 (6pm-7am) Installation of signal equipment and cable pulling, various site investigations and surveys, delivery of plant and material and concrete works.</p> <p>Notification – Campsie February 2023 by SM re: OOHW 3-5/02/2023 (6pm-7am) various works</p> <p>Notification – Canterbury December 2022 – January 2023 by SM re: OOHW 1/12/2022 & 31/01/2023 (6pm-7am) various works</p> <p>Notification – Canterbury February 2023 by SM re: OOHW 1/02/2023 & 4/03/2023 (6pm-7am) Removal and reinstallation of anti-climb protection, roofing works, steel works, Installation of signal equipment and cable pulling, various site investigations and surveys and delivery of plant and materials</p> <p>Notification – Canterbury February 2023 by SM re: OOHW 3&5/02/2023 (6pm-7am) Removal and reinstallation of anti-climb protection, roofing works, steel works, Installation of signal equipment and cable pulling, various site investigations and surveys and delivery of plant and materials etc.</p> <p>Notification – Canterbury March 2023 by SM re: OOHW 1-31/03/2023 (6pm-7am) Roofing works, steel works, Concrete works, installation of signal equipment and cable pulling, various</p>		

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		site investigations and surveys and delivery of plant and materials etc.		
B3	The Community Communication Strategy must be submitted to the Planning Secretary for approval no later than one (1) month before commencement of any Work.	<p>Sydney Metro letter of submission of CCS dated 16/3/17.</p> <p>DPE letter of approval dated 09/06/2017 DPE-SM re: SM C&SW Chatswood to Sydenham SSI 15_7400, approval of the Overarching and Early Works Communication Strategy.</p> <p>ER endorsement the Overarching CCS on 16 March 2017.</p> <p>DPE approval of delegated authority for Sydney Metro (SM Director Project Communications) to approve contractor CCS in 2019.</p> <p>Overarching CCS updated and approved (Rev 7.2, dated 18 May 2022) with ER endorsement.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p>	The CCS was submitted to the Secretary prior to 1 month of commencement of work and approved on 9/6/17.	Compliant
B4	Work for the purposes of the CSSI must not commence until the Community Communication Strategy has been approved by the Planning Secretary.	<p>DPE letter of approval dated 09/06/2017 DPE-SM re: SM C&SW Chatswood to Sydenham SSI 15_7400, approval of the Overarching and Early Works Communication Strategy.</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p>	<p>Southwest Metro Early Works construction activities commenced 1 Aug 2019.</p> <p>All works were commenced following the approval of the CCS on 9/6/17/</p>	Compliant
Complaint Management System				
B5	A Complaints Management System must be prepared and implemented before the commencement of Work and maintained for the duration of Construction and for a minimum for 12 months following completion of Construction of the CSSI.	<p>Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>CS1.1 – Complaint Management Procedure (Sydney Metro) – ‘Project Communications Procedure – Complaint Reporting, Consultation Manager (Place Manager and Contractor Teams)’.</p> <p>CMS submitted to Secretary on 28/3/17, works commenced on 17/06/17.</p> <p>CMS reviewed and updated/finalized on 18/5/22.</p> <p>Sydney Metro Complaints Register details provided to the auditor for the audit period 1/11/22 to 11/5/23.</p> <p>Systems Connect Complaints Reporting Register (8/11/2022 – 16/04/2023)</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Construction-Complaints-Management-System.pdf</p>	The SSI-7400 CMS was updated to address Sydenham to Bankstown scope and finalised on 22 Jul 2019. No non-compliances have been raised against the CMS during the reporting period	Compliant
B6	<p>The following information must be available to facilitate community enquiries and manage complaints one (1) month before the commencement of Work and for 12 months following the completion of Construction:</p> <p>(a) a 24- hour telephone number for the registration of complaints and enquiries about the CSSI;</p> <p>(b) a postal address to which written complaints and enquires may be sent;</p>	<p>Sydney Metro website – https://www.sydneymetro.info/</p> <p>‘Get in Touch’ page/link details:</p> <p>(a) 24 hour phone line and details of complaint management system and making a complaint section</p> <p>(b) details of postal address</p> <p>(c) details of email</p>	<p>Details of requirements a-c for SM CSW are available on the Sydney Metro website.</p> <p>Place based community managers have been appointed by Sydney Metro for Line-wide and are available to meet community members upon request.</p> <p>Email provided information which the community can see.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	(c) an email address to which electronic complaints and enquiries may be transmitted; and (d) a mediation system for complaints unable to be resolved.	(d) details of a place based community manager/s confirmed. a) Telephone number: 1800 171 386 b) Postal address: Sydney Metro City & Southwest, PO Box K659, Haymarket, NSW 1240. c) Email address is sydneymetro@transport.nsw.gov.au d) Refer to B10	Records of communication / interaction with the community are maintained by the Consultation Manager.	
B7	The telephone number, postal address, website URL and email address required under Condition B6 of this approval must be published in a newspaper circulating in the relevant local area and on site hoarding at each Construction site before the commencement of construction and published in the same way again before the commencement of operation. This information must also be provided on the website required under Condition B14 of this approval.	Newspaper advertisements with B9 details in week commencing 6/3/2017 (evidence folder 01 – Community Communications) Includes the following - 1800 171 386 24-hour community information line. sydneymetro@transport.nsw.gov.au (link sends e-mail with a response during business hours only) Sydney Metro City & Southwest, PO Box K659, Haymarket, NSW 1240. Details in B9 on site hoardings.	The details required in B9 have been provided in newspaper advertisements, community notices and on-site hoarding since the commencement of works. The above details were published in the Canterbury Bankstown Express and Inner West Courier on 30 July 2019 and are included on site hoarding at each construction site and checked by the ER as part of their site inspections.	Compliant
B8	A Complaints Register must be maintained recording information on all complaints received about the CSSI during the carrying out of any Work 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) means by which the complaint was addressed and whether resolution was reached, with or without mediation.	Sydney Metro – Complaints Register – Appendix 1 of CCR dated October 22 to May 23. Systems Connect - Complaints Reporting Register (8/11/2022 – 16/04/2023) Complaints Management System (CMS), v6.2 submitted to Secretary on 28 March 2017.	The Complaints Register details the number of complaints received, number of people affected, the nature of the complaint and means by which it has been addressed. The Complaint Register is being maintained recording details of all complaints received for the sites within this audit scope. The SSI-7400 CMS was updated to address Sydenham to Bankstown scope and finalized on 22 Jul 2019.	Compliant
B9	The Complaints Register must be provided to the Planning Secretary upon request, within the timeframe stated in the request.	Request by Secretary on 10 August 2017 for Complaints Register and fortnightly submission. Daily complaints submission to Secretary since January 2018. Monthly spreadsheet of Complaints to DPIE Compliance Team since June 2019. Weekly and monthly complaints register issued to DPE via portal from Q4 2021.	The Complaints Register is being provided to the Secretary / DPE as requested and in the timeframe requested. Sydney Metro issues a daily complaint report each day to wider Sydney Metro staff, ER and DPIE. Sydney Metro also send DPE weekly and monthly updates via the Portal.	Compliant
B10	A Community Complaints Mediator that is independent of the design and construction personnel must be nominated by the Proponent, approved by the Planning Secretary and engaged during Work associated with the CSSI. The request nominating the Community Complaints Mediator must be submitted to the Planning Secretary for approval within one (1) month of the date of this approval.	Sydney Metro engagement letter for Christine Marsden of Quatro Group as Community Complaints Mediator (CCM). Sydney Metro request for approval of Chistine Marsden as CCM submitted to DPE on 28 March 2017. DPE approval of Community Complaints Mediator on 13 April 2017. CCM, Dr Rosemary Howell, replaced Christine Marsden in November 2020. Dr Rosemary Howell (newly appointed CCM) approval by DPE on 10 November 2020. Letter 03/11/2020 SM-DPE re: Sydney Metro City & Southwest SSI 7400 – Change of Community Complaints Mediator - Dr. Rosemary Howell of Strategic Action Pty Ltd	A Community Complaints Mediator has been engaged and is approved by DPE. There have been no complaints escalated to the CCM by Sydney Metro or the Contractor for the sites within this audit scope/period.	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
B11	<p>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 and executed through the Complaints Management System identified in Condition B5 may ask the Community Complaints Mediator to review the Proponent's response.</p> <p>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.</p>	<p>Section 5.2 – 'Role of Community Complaints Mediator', Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>Auditor requested details of any complaints referred to CCM in the audit interview.</p>	<p>There have been no complaints have been referred by Sydney Metro / Systems Connect to the CCM for the site in this audit scope/period nor for the Line-wide works.</p> <p>Observation</p> <p>This condition implies that there is provision or a mechanism or process for a member of the public (complainant) to request the help/support of a CCM in the review and resolution of a complaint. However, the option and process for a complainant to make such a request is not clearly stated nor explained in the Complaint Management System on the website nor in any community communications made available to the auditor.</p> <p>The auditor believes that some of the triggers/thresholds for escalating complaints to the CCM may have been met, but notes that to date no complaints have been referred to the CCM by the Director Project Communications or a member of the public (complainant) for support/resolution.</p> <p>The auditor recommends that the option and request/application process for a member of the public to seek the help/support of the CCM be clearly communicated on the Sydney Metro website and in the relevant complaint management system/procedures and community communications forums.</p>	<p>Not triggered</p> <p>Observation</p>
B12	<p>The Community Complaints Mediator will:</p> <p>(a) review disputes between the project and members of the public if the procedures and mechanisms under Condition B5 or Condition B2(f)(iii) do not satisfactorily address the complainants concerns; and</p> <p>(b) make recommendations to the Proponent to satisfactorily address complaints, resolve disputes or mitigate against the occurrence of future complaints or disputes.</p>	<p>Section 5.2 – 'Role of Community Complaints Mediator', Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>Auditor requested details of any complaints referred to CCM in audit interview.</p>	<p>There were no complaints referred to the Community Complaint Mediator.</p> <p>Observation: As per B11.</p> <p>Auditor recommendations as per B11.</p>	<p>Not triggered</p> <p>Observation</p>
B13	<p>The Community Complaints Mediator will not act before the Complaints Management System required by Condition B5, including any internal escalation process, has been executed for a complaint and will not consider issues such as property acquisition, where other dispute processes are provided for in this approval or clear government policy and resolution processes are available, or matters which are not within the scope of the CSSI.</p>	<p>Section 5.2 – 'Role of Community Complaints Mediator', Construction Complaints Management System – Sydney Metro City & Southwest – Sydney Metro website, Rev 7.2 (18/5/22).</p> <p>Auditor requested details of any complaints referred to CCM in audit interview.</p>	<p>There were no complaints referred to the Community Complaint Mediator.</p> <p>Observation: As per B11.</p> <p>Auditor recommendations as per B11.</p>	<p>Not triggered</p> <p>Observation</p>
Provision of Electronic Information				
B14	<p>A website or webpage providing information in relation to the CSSI must be established before commencement of Work and maintained for the duration of Construction, and for a minimum of 12 months following the completion of Construction. Up-to-date information (excluding confidential, private and/or commercial information or other documents as agreed to by the Planning Secretary) must be published before the relevant Work commencing and maintained on the website or dedicated pages including:</p> <p>(a) information on the current implementation status of the CSSI;</p> <p>(b) the telephone number, postal address and email address required under Condition B6;</p>	<p>https://www.sydneymetro.info/citysouthwest/environment-planning</p> <p>https://www.sydneymetro.info/sites/default/files/2022-05/CSW-Overarching-Community-Communications-Strategy.pdf</p> <p>(a) Section entitled 'Compliance Documentation' under heading 'Planning & Compliance' and section entitled 'Planning Modifications' provided under https://www.sydneymetro.info/citysouthwest/environment-planning</p> <p>Web pages 'Project and Progress' and 'Construction Stations and Sites' provide updates on works.</p>	<p>A website has been established before commencement of work and is being maintained.</p> <p>The website does provide up to date information to address requirements a-</p> <p>Sydney Metro documents can be found: https://www.sydneymetro.info/documents and also the Contractor's website under Environmental Documents.</p> <p>Information relating to the current implementation status of the CSSI (B15 (a)) are provided in https://www.sydneymetro.info/citysouthwest/environment-planning and sections entitled 'Compliance Documentation'</p>	<p>Compliant</p> <p>Observation</p>

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	<p>(c) a copy of the documents listed in Condition A1 and Condition A2 of this approval and any documentation relating to any modifications made to the CSSI or the terms of this approval;</p> <p>(d) a copy of this approval in its original form, a current consolidated copy of this approval (that is, including any approved modifications to its terms), and copies of any approval granted by the Minister to a modification of the terms of this approval;</p> <p>(e) a copy of EPL required and obtained in relation to the CSSI;</p> <p>(f) a current copy of each document required under the terms of this approval, which must be published before the commencement of any relevant activity to which they relate or before their implementation, as the case may be; and</p> <p>(g) a copy of the compliance reports required under Condition A29, and Condition A32 of this approval.</p> <p>Note: Where a document referred to in (f) above is superseded, or the management of activities covered by a document referred to in (f) above have been subsumed into another document, the current applicable and, where required, approved document must be available on the website/webpage. Any superseded document must be available in an archived section or similar of the website/webpage.</p>	<p>(d) Copy of EPL https://www.sydneymetro.info/sustainability/environmental-management - link to NSW EPA website.</p> <p>(e) link to EPA website</p> <p>(f) Sydney Metro and Systems Connect websites – Sustainability and Planning / Environmental Management</p> <p>(g) Sydney Metro website</p>	<p>under heading 'Planning & Compliance' and section entitled 'Planning Modifications'.</p> <p>Details of construction works and progress are provided under webpages 'Project and Progress' and 'Construction Stations and Sites' provide updates on works.</p> <p>Details for the approvals B15 (b-c) are contained under a link entitled 'Chatswood to Sydenham Environmental Impact Statement (EIS) and 'NSW Department of Planning and Environment website' link for Sydenham to Bankstown.</p> <p>Planning modifications are detailed in links under the Planning Modifications headings.</p> <p>A copy of the EPL for SSI7400 is not immediately available on the website but through a link to the EPA website where it needs to be searched/located.</p> <p>Copies of the documents required under the approval are provided under 'Compliance Documentation' under section 'Planning & Compliance' of the 'Sustainability & Planning' page and 'Document Library' link of the website.</p> <p>A copy of the CEMF is provided under the Environmental Management section under the Sustainability & Planning page of the website.</p> <p>Non-compliance: The requirements documents were difficult to find on the Sydney Metro website and in some cases they could not be found and the information had to be sourced via the Contractor's website.</p> <p>Ensure relevant sections on the website clearly describe and are entitled 'approvals' and that the links provided are clearly and consistently named as 'approvals' instead of 'EIS' for Chatswood to Sydenham and 'NSW DPE' for Sydenham to Bankstown and that all relevant documents are uploaded within the timeframes stipulated under this condition.</p>	
ii. Incident and Non-Compliances				
A32	<p>The Compliance Monitoring and Reporting Program in the form required under Condition A29 of this approval must be implemented for the duration of Construction and for a minimum of one (1) year following commencement of Operation, or for a longer period as determined by the Planning Secretary based on the outcomes of independent audits, Environmental Representative Reports and regular compliance reviews submitted through Compliance Reports. If staged Operation is proposed, or Operation is commenced of part of the CSSI, the Compliance Monitoring and Reporting Program must be implemented for the relevant period of each stage or part of the CSSI.</p>	<p>Sydney Metro – City South West Compliance Monitoring/Tracking and Reporting Program Report, Rev 4, 19/12/22.</p> <p>Updated CMTRP report Q3/Q4 2022.</p> <p>https://www.sydneymetro.info/media/document/32471</p> <p>Environmental Incident and Noncompliance Reporting Procedure, SM-17-00000096, Version: 5.1, 18 February 2019</p> <p>Spill Management Procedure SM C&SW Line Works Rev 3, 12/08/2022 by Sydney Metro</p> <p>Systems Connect – Manage and Report SHE Incidents Procedure</p> <p>Systems Connect – Spill Management Procedure</p> <p>Systems Connect – SCLWW Environmental Incident and Non-compliance Register</p>	<p>The Compliance Tracking Program v2.5 required under A28 is being implemented as required.</p> <p>There were no incidents or non-compliances for the Canterbury and Campsie Traction Substations for the audit report period.</p> <p>There was 1 incident of a hydraulic oil leak at the Cooks Road Joint Bay at Canterbury-Campsie.</p> <p>Incident and Compliance reports have been submitted as required under the procedure for the above incident and have been closed out in accordance with the incident management procedure.</p>	Compliant

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		<p>Manage and Report Safe, Health and Environment (SHE) Incidents MSID-2-288 Rev 24 11/04/2022 by SC</p> <p>Spill Management Procedure SM C&SW Line Works Rev 3, 12/08/2022 by SM</p> <p>Environmental Incident and Non-compliance Reporting Procedure SM-170000096 Rev 5.1 18/02/2019 by SM</p> <p>Manage and Report Safe, Health and Environment (SHE) Incidents MSID-2-288 Rev 24 11/04/2022 by SC</p> <p>Environmental Incidents and Non-Compliance Registers (11/24/2022-2/16/2023) by SC – 3 reported incidents (Broken water pipe @ Blues Point,</p> <p>(hydraulic oil leak @ SMTF South and Canterbury-Campsie)</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-052 16/02/2023 by SM re: Campsie BPS hydraulic oil leak</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-051 3/03/2023 by SM re: Excavator trailer hydraulic oil leak Sydenham Station</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-052 16/02/2023 by SM re: Campsie BPS hydraulic oil leak</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-017 14/11/2022 by SM re: Vehicle left idling OOHW at Surry Hills bulk power supply</p> <p>Toolbox Talk Record Form 15/11/2022 Quickway re: Vehicle left idling OOHW at Surry Hills bulk power supply</p> <p>Daily Pre-start Briefing 16/11/2022 by SC re: Discussed Vehicle left idling and require no personal vehicles to be parked I or around the site compound</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report NCR-018 29/11/2022 by SM re: Traffic control light vehicle belonging to subcontractor (Quickway) was idling and had its signboard lights flashing while parked adjacent to the site compound in Belmore Street Surry Hills outside of standard construction hour.</p> <p>Non-Conformance Report 29/11/2022 Quickway re: Traffic control light vehicle was idling and had its signboard lights flashing OOHW</p> <p>Sign on- Expected Behaviours December 2022 by SM – Sighted signed form.</p>		
Incident Notification and Reporting				
A36	The Department must be notified in writing to compliance@planning.nsw.gov.au immediately after the Proponent becomes aware of an incident. The notification must identify the CSSI (including the application number and the name of the CSSI if it has one), and set out the location and nature of the incident	Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-052 16/02/2023 by SM re: Campsie BPS hydraulic oil leak	<p>There were no incidents recorded or reported for the sites covered in this audit scope/period.</p> <p>The incidents that did occur in the vicinity of the Canterbury and Campsie Traction Substation were not related to the traction substation works but rather other nearby station works.</p>	Not triggered

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		<p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-051 3/03/2023 by SM re: Excavator trailer hydraulic oil leak Sydenham Station</p> <p>Integrated Management System (IMS) – Environmental Incident & Non-compliance Notification Report INC-052 16/02/2023 by SM re: Campsie BPS hydraulic oil leak</p>		
A37	Subsequent notification must be given, and reports submitted in accordance with the requirements set out in Appendix A	Interview with auditees 4/5/2023	There were no notifiable incidents during for the audit period.	Not triggered
iii. Spoil, Unexpected Finds and Waste Classification				
Contaminated Sites				
E39	An Unexpected Contaminated Land and Asbestos Finds Procedure must be prepared and must be followed should unexpected contaminated land or asbestos be excavated or otherwise discovered during Construction.	<p>Systems Connect – Unexpected Finds Soil Contamination and Asbestos Procedure.</p> <p>Systems Connect – Unexpected finds record register.</p>	An Unexpected Contaminated Land and Asbestos procedure has been developed and is being implemented and all unexpected finds tracked and reported in a register.	Compliant
E40	The Unexpected Contaminated Land and Asbestos Finds Procedure must be implemented throughout Construction.	<p>Systems Connect – Unexpected finds record register.</p> <p>Unexpected finds reports for contamination/asbestos include the following:</p> <p>UF-040 – Northern Connection – ACM 11/11/22</p> <p>UF-042 – Chatswood ACM – 7/3/23</p>	<p>The Unexpected Contaminated Land and Asbestos procedure is being implemented and all unexpected finds tracked and reported in a register.</p> <p>Individual unexpected finds reports are provided detailing the nature of the find and the actions taken.</p>	Compliant
Waste				
E73	<p>Any items or infrastructure that are salvageable must be identified in the relevant CEMP Sub- plan (Condition C3).</p> <p>Note: reuse of items may include signal boxes, indicators, ballast or other rail infrastructure. These items should be offered to Sydney Trains or reuse.</p>	<p>Systems Connect – Waste, Recycling and Spoil Management Plan C2B, Line-wide Works, Rev. 2, dated 23//4/21.</p> <p>Waste Registers Nov 22 to Apr 23</p>	There were no salvageable waste items or infrastructure identified for the South West Corridor works as these works predominantly involve the construction of new infrastructure associated with traction substations, pad mounts and cabling rather than demolition of existing rail infrastructure.	Not triggered
E74	The importation of waste and the storage, treatment, processing, reprocessing or disposal of such waste must comply with the Protection of the Environment Operations Act 1997, under the Protection of the Environment Operations (Waste) Regulation 2014, and orders or exemptions made under the regulation.	<p>Systems Connect – Waste, Recycling and Spoil Management Plan C2B, Line-wide Works, Rev. 2, dated 23//4/21.</p> <p>Section 6.6.1 ‘Storage, Transportation and Disposal’ of WRSMP.</p> <p>Bingo Monthly Waste Register 1-30 November 2022 by Systems Connect</p> <p>Bingo Monthly Waste Register 12/2022-04/2023 by Systems Connect</p> <p>Consolidated Synergy waste Reporting Register 11/2022-04/2023 by Systems Connect</p> <p>Waste Recycling and Spoil Record SMFT-South 20/10/2022-04/20/2023 by Systems Connect</p>	There was no evidence of any waste being imported or stored on any of the sites audited within this audit scope/period.	Compliant
E75	Waste must only be exported to a site licensed by the EPA for the storage, treatment, processing, reprocessing or disposal of the subject waste, or in accordance with a Resource Recovery Exemption or Order issued under the Protection of the Environment	<p>Appendix C3 - Systems Connect – Waste, Recycling and Spoil Management Plan C2B, Line-wide Works, Rev. 2, dated 23//4/21.</p> <p>Systems Connect - Spoil Tracking Registers Nov 22 to 4/23</p>	The auditor has reviewed all the disposal sites in the Waste and Spoil Tracking Registers and all disposal sites are licensed by the EPA with details of their relevant EPLs provided.	Compliant

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	Operations (Waste) Regulation 2014, or to any other place that can lawfully accept such waste.	Bingo Monthly Waste Register 1-30 November 2022 by Systems Connect Bingo Monthly Waste Register 12/2022-04/2023 by Systems Connect.		
E76	All waste must be classified in accordance with the EPA's Waste Classification Guidelines, with appropriate records and disposal dockets retained for audit purposes.	Systems Connect - CSW Waste, Recycling and Spoil Management Plan C2b, Line-wide works, Rev. 02 (23/04/21) Systems Connect - Section 6 'Waste and Spoil Classification' of Waste Recycling and Spoil Management Plan. Systems Connect - Waste Classification Reports, Nov 22 to Apr 23 Copy of waste management extract and responsibilities from the Bingo waste disposal contract. Bingo monthly waste registers Nov 22 to Mar 23 Bingo Monthly Waste Report Nov 22 to May 23 Consolidated Synergy Waste Report Register Nov 22 to Apr 23 Spoil Tracking Registers, Nov 22 to Apr 23	A review of the waste management contract and waste classification reports show that waste generation is being classified and dockets are retained. Additionally, the audit inspection found that waste segregation is being implemented by the contractor on site.	Compliant
iv. Noise and Vibration				
Land Use Survey				
E18	A detailed land use survey must be undertaken to confirm sensitive receivers (including critical working areas such as operating theatres and precision laboratories) potentially exposed to Construction noise and vibration, Construction ground-borne noise and Operational noise. The survey may be undertaken on a progressive basis but must be undertaken in any one area before the commencement of Work which generate Construction or Operational noise, vibration or ground-borne noise in that area. The results of the survey must be included in the Construction Noise and Vibration Impact Statement(s) or Operational Noise and Vibration Review, where relevant.	Systems Connect, CNVM Subplan – C2B – Chatswood to Bankstown Systems Connect - Construction Noise and Vibration Impact Statements (CNVIS) for: South West Corridor Works dated 4/12/20.	Detailed land use surveys to confirm sensitive receivers were conducted as part of the CNVM and CNVIS for all the sites audited in this scope/period.	Compliant
Work Hours				
E19	Work must only be undertaken during the following Construction hours: (a) 7:00am to 6:00pm Mondays to Fridays, inclusive; (b) 8:00am to 6:00pm Saturdays; and (c) at no time on Sundays or public holidays.	Section 4.2 'Construction Hours' of CNVMP, C2B, Rev. 1, 30/10/20. SEPs OOHW Applications: <ul style="list-style-type: none">• OOH-295• OOH-297• OOH-302	All works at the sites inspected under this audit scope have been carried out during standard construction hours, unless otherwise they were carried out under an approved OOHW permit. The auditor has not identified any non-compliances, incidents or complaints that related to work that was carried out at these sites that was not subject to an OOHW Application.	Compliant
Variation to Works Hours				
E20	Notwithstanding Conditions E19 and E24 Work may be undertaken outside the hours specified in the following circumstances:	Section 4.2 'Construction Hours' of CNVMP, C2B, Rev. 1, 30/10/20. OOHW Applications:	All OOHW were subject to OOHW Applications and Permits and in accordance with OOHW Protocol for the sites audited.	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>(a) for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>(b) where it is required in an emergency to avoid injury or the loss of life, to avoid damage or loss of property or to prevent environmental harm; or</p> <p>(c) where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or</p> <p>(d) Work approved under an Out-of-Hours Work Protocol for Work not subject to an EPL as required by Condition E25; or</p> <p>(e) construction that causes LAeq(15 minute) noise levels</p> <p style="padding-left: 20px;">(i) no more than 5 dB(A) above the rating background level at any residence in accordance with the Interim Construction Noise Guideline (DECC, 2009), and</p> <p style="padding-left: 20px;">(ii) no more than the 'Noise affected' noise management levels specified in Table 3 of the Interim Construction Noise Guideline (DECC, 2009) at other sensitive land uses, and</p> <p style="padding-left: 20px;">(iii) continuous or impulsive vibration values, measured at the most affected residence are no more than the maximum values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), and</p> <p style="padding-left: 20px;">(iv) intermittent vibration values measured at the most affected residence are no more than the maximum values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006).</p> <p>(f) where a negotiated agreement has been reached with a substantial majority of sensitive receivers who are within the vicinity of and may be potential affected by the particular Construction, and the noise management levels and/or limit for ground-borne noise and vibration (human comfort) cannot be achieved. All agreements must be in writing and a copy forwarded to the Planning Secretary at least one (1) week before the commencement of activities.</p> <p>Note: Section 5.24(1)(e) of the EP&A Act requires that an EPL be substantially consistent with this approval.</p>	<ul style="list-style-type: none"> • OOH-295 • OOH-297 • OOH-302 <p>OOHW Applications Section 2 – Justification.</p>	<p>The auditor has not identified any non-compliances, incidents or complaints that related to work that was carried out at these sites that was not subject to an OOHW Application.</p>	
E21	<p>On becoming aware of the need for emergency Work in accordance with Condition E20(b), the Proponent must notify the ER and the EPA (if a EPL applies) of the need for that Work. The Proponent must use best endeavours to notify all noise and/or vibration affected sensitive receivers of the likely impact and duration of those works.</p>	<p>Interview with auditees 4/5/2023</p>	<p>There were no emergency works reported for the audit period.</p>	Compliant
Out-of-Hours Work Scheduling and Respite				
E22	<p>Out-of-Hours Work that are regulated by an EPL as per Condition E20(c) or through the Out-of- Hours Work Protocol as per Condition E25 include:</p> <p style="padding-left: 20px;">(a) Work which could result in a high risk to construction personnel or public safety, based on a risk assessment carried out in accordance with AS/NZS ISO 31000:2009 "Risk Management – Principles and Guidelines"; or</p> <p style="padding-left: 20px;">(b) where the relevant road authority has advised the Proponent in writing that carrying out the activities could result in a high risk to road network operational performance; or</p>	<p>Systems Connect - Construction Noise and Vibration Impact Statements (CNVIS) for:</p> <p>SMTF South dated 16/3/21, approved by AA on 24/3/21</p> <p>SMTF South & Southern Dive dated 9/6/21</p> <p>South West Corridor Works dated 4/12/20.</p> <p>OOHW Applications relevant to Marrickville Train Facility Site and Canterbury and Campsie Traction Substation Sites within the audit period 1/11/22 to 30/4/23:</p>	<p>The OOHW at the Marrickville Train Facility and Canterbury and Campsie Traction Substation have been covered by the OOHW Applications and justified in section 2 of the Applications and have been consistent with the OOHW Protocol.</p> <p>Additionally, the community has been notified of OOHW that could result in possible disruption/disturbance.</p> <p>The Auditor has not been able to identify OOHW that have not been subject to OOHW Applications and that are inconsistent with the protocol.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>(c) where the relevant utility service operator has advised the Proponent in writing that carrying out the activities could result in a high risk to the operation and integrity of the utility network; or</p> <p>(d) where the Transport for NSW Transport Management Centre (or other road authority) has advised the Proponent in writing that a road occupancy licence is required and will not be issued for the activities during the hours specified in Conditions E19 and E20; or</p> <p>(e) where Sydney Trains (or other rail authority) has advised the Proponent in writing that a Rail Possession is required.</p> <p>Note: Other Out-of-Hours Work can be undertaken with the approval of an EPL, or through the project's Out-of-Hours Work Protocol for Work not subject to an EPL</p>	<p>100 SMCSWLWC-SYC-SFC-EM-PMT-007474 SMTF-S - Deliveries and Access 08 C2S</p> <p>209 SMCSWLWC-SYC-SFC-EM-PMT-012114 SMTF-S Low Noise Weekend Activities</p> <p>246 SMCSWLWC-SYC-SFC-EM-PMT-013668 SMTF-S Generator Operation for Commissioning Activities</p> <p>276 SMCSWLWC-SYC-SFC-EM-PMT-014904 SMTF-S Fire Pipe Profiling Works 1 C2S</p> <p>285 SMCSWLWC-SYC-TCR-EM-PMT-015268 Canterbury structural steel and HV cable jointing, Southwest TSS - Canterbury, Campsie, Punchbowl</p> <p>289 SMCSWLWC-SYC-SFC-EM-PMT-015267 SMTF-S Rail Grinding</p> <p>292 SMCSWLWC-SYC-SFC-EM-PMT-015381 SMTF-S OHW Stanchion Structure Recovery</p> <p>295 SMCSWLWC-SYC-WEC-EM-PMT-015851 Southwest TSS tiling and sealing WE42-WE43 A S2B, Southwest TSS - Canterbury, Campsie, Punchbowl</p> <p>297 SMCSWLWC-SYC-WEC-EM-PMT-015906 Dulwich Hill TSS and Campsie TSS +ve structures, Southwest TSS - Canterbury, Campsie, Punchbowl</p> <p>302 SMCSWLWC-SYC-WEC-EM-PMT-015908 Southwest TSS Structural Steel Install C S2B, Southwest TSS - Canterbury, Campsie, Punchbowl.</p>		
E23	<p>In order to undertake Out-of-Hours Work, the Proponent must identify appropriate respite periods for the Out-of-Hours Work in consultation with the community at each affected location on a regular basis. This consultation must include (but not be limited to) providing the community with:</p> <p>(a) a schedule of likely Out-of-Hours Work for a period no less than two (2) months;</p> <p>(b) the potential work, location and duration;</p> <p>(c) the noise characteristics and likely noise levels of the Work; and</p> <p>(d) likely mitigation and management measures</p>	<p>Systems Connect - CSW Community Engagement Strategy (CCS-LW), Rev. 02 (23/3/22)</p> <p>Section 4.7 – 'Implementation of Respite'</p> <p>Community Update notifications (evidence folder 01 – Community Communication)</p> <p>Systems Connect OOHW Applications Register Nov 22 to Apr 23</p> <p>Notification – Campsie December 2022 by SM re: OOHW 1&31/12/2022 (6pm-7am) various works</p> <p>Notification – Campsie February 2023 by SM re: OOHW 1&4/02/2023 (6pm-7am) Installation of signal equipment and cable pulling, various site investigations and surveys, delivery of plant and material and concrete works.</p> <p>Notification – Campsie February 2023 by SM re: OOHW 3-5/02/2023 (6pm-7am) various works</p> <p>Notification – Canterbury December 2022 – January 2023 by SM re: OOHW 1/12/2022 & 31/01/2023 (6pm-7am) various works</p> <p>Notification – Canterbury February 2023 by SM re: OOHW 1/02/2023 & 4/03/2023 (6pm-7am) Removal and reinstallation of anti-climb protection, roofing works, steel works, Installation of signal equipment and cable pulling, various site investigations and surveys and delivery of plant and materials</p>	<p>There were no triggers for respite periods for the OOHA works for this audit period.</p> <p>Community updates notifications and emails were provided for OOHW.</p> <p>There were no other works in this audit scope/period at the Canterbury and Campsie Traction Substation sites that triggered this requirement.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
		<p>Notification – Canterbury February 2023 by SM re: OOHW 3&5/02/2023 (6pm-7am) Removal and reinstallation of anti-climb protection, roofing works, steel works, Installation of signal equipment and cable pulling, various site investigations and surveys and delivery of plant and materials etc.</p> <p>Notification – Canterbury March 2023 by SM re: OOHW 1-31/03/2023 (6pm-7am) Roofing works, steel works, Concrete works, installation of signal equipment and cable pulling, various site investigations and surveys and delivery of plant and materials etc.</p> <p>Notification – Campsie March 2023 by SM re: OOHW 1&31/03/2023 (6pm-7am) various works</p>		
Highly Noise Intensive Works				
E24	<p>Except as permitted by an EPL, highly noise intensive Work that result in an exceedance of the applicable Noise Management Level at the same receiver must only be undertaken:</p> <ul style="list-style-type: none"> (a) between the hours of 8:00 am to 6:00 pm Monday to Friday; (b) between the hours of 8:00 am to 1:00 pm Saturday; and (c) in continuous blocks not exceeding three (3) hours each with a minimum respite from those activities and Works of not less than one (1) hour between each block. <p>For the purposes of this condition, 'continuously' includes any period during which there is less than one (1) hour respite between ceasing and recommencing any of the work that are subject of this condition.</p>	<p>Systems Connect - Construction Noise and Vibration Impact Statements (CNVIS) for:</p> <p>SMTF South dated 16/3/21, approved by AA on 24/3/21</p> <p>SMTF South & Southern Dive dated 9/6/21</p> <p>South West Corridor Works dated 4/12/20.</p> <p>SEPs</p>	There were no highly noisy activities identified for the sites audited for this audit period.	Compliant
Out-of-Hours Work Protocol – Works not subject to an EPL				
E25	<p>An Out-of-Hours Work Protocol must be prepared to identify a process for the consideration, management and approval of Work which are outside the hours defined in Condition E19, and that are not subject to an EPL. The Protocol must be approved by the Planning Secretary before commencement of the Work. The Protocol must:</p> <ul style="list-style-type: none"> (a) provide a process for the consideration of Out-of-Hours Work against the relevant noise and vibration criteria, including the determination of low and high-risk activities; (b) provide a process for the identification of mitigation measures for residual impacts, including respite periods in consultation with the community at each affected location, consistent with the requirements of Condition E23; (c) identify procedures to facilitate the coordination of Out-of-Hours Work approved by an EPL to ensure appropriate respite is provided; (d) identify an approval process that considers the risk of activities, proposed mitigation, management, and coordination, including where: <ul style="list-style-type: none"> (i) low risk activities and high risk activities that cease by 9pm can be approved by the ER, and (ii) all other high risk activities that are approved by the Planning Secretary; and 	<p>Sydney Metro City & Southwest Out of Hours Work Strategy / Protocol, SM ES-PW-317 Sydney Metro Integrated Management System (IMS), Version: 5.3, dated October 2022</p> <p>https://www.sydneymetro.info/sites/default/files/2022-10/CSW-OOHW-Strategy-Protocol-v5.3.pdf</p> <p>Reviewed and endorsed by AA on 11 October 2022.</p> <p>Previous version 'City & Southwest Out of Hours Work Strategy / Protocol', March 2019 approved by the Acoustic Advisor on 1/4/19.</p> <p>Letter from Sydney Metro to DPE entitled "Sydney Metro City & Southwest SSI_8256 - Condition A11: appointments and applications of documents consistent with SSI_7400", dated 21 December 2018.</p>	<p>An OOHW Protocol has been prepared in accordance with this requirement and is being implemented.</p> <p>The letter from Sydney Metro to DPE on 21/12/18 states that the OOHW Protocol for SSI-7400 will be applied to SSI-8256.</p> <p>The initial version of the OOH Work Protocol was prepared in consultation with the EPA and submitted to the Secretary for approval on 30 March 2017, prior to the commencement of works on 17 June 2017.</p> <p>The OOHW Protocol / Strategy has since been updated twice and is now entitled Sydney Metro City & Southwest Out of Hours Work Strategy / Protocol, SM ES-PW-317, Rev 5.3, Oct 2022.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	(e) identify Planning Secretary, EPA and community notification arrangements for approved Out- of-Hours Works, which maybe detailed in the Community Communication Strategy.			
Out-of-Hours Work – Utility Coordination and Respite				
E26	<p>Work undertaken for the delivery of the CSSI, including those undertaken by third parties (such as utility relocations), must be coordinated to ensure respite periods are provided. The Proponent must:</p> <p>(a) reschedule any works to provide respite to impacted noise sensitive receivers so that the respite is achieved in accordance with Condition E23; or</p> <p>(b) consider the provision of alternative respite or mitigation to impacted noise sensitive receivers; and</p> <p>(c) provide documentary evidence to the ER in support of any decision made by the Proponent in relation to respite or mitigation.</p>	<p>Emails from Systems Connect dated on possession Coordination Meetings between Sydney Metro, Systems Connect and other Southwest Contractors</p> <p>Midyear Shutdown Co-ordination meeting #2, Fri 24/06/2022.</p> <p>Canterbury Station OOHW 8 & 9 December 2022, email and coordination with HSE dated 23 Nov 22.</p> <p>Systems Connect presentation on Linewide Contractor Southwest Corridor Possession Works, WE13 – WE15 prepared for Christmas period on 24/11/22.</p> <p>OOHW Applications Section 8 for consideration of cumulative impacts and coordination of respite eg OOH-302.</p>	The auditee has coordinated with other third parties on the delivery of construction works and respite so as to mitigate noise impacts.	Compliant
Construction Noise and Vibration - General				
E27	Construction Noise and Vibration Impact Statements must be prepared for Construction sites before Construction noise and vibration impacts commence and include specific mitigation measures identified through consultation with affected sensitive receivers. The Statements must augment the Construction Noise and Vibration Management Sub-plan and must be implemented for the duration of Work. The Statements must be informed by a suite of potential management/mitigation options provided in the Construction Noise and Vibration Sub-plan.	<p>CNVIS for SW Corridor Works dated 4/12/20.</p> <ul style="list-style-type: none"> - Section 5.5.1 Consultation with affected receivers - Section 5.5 Noise mitigation and management - Section 6.3 Vibration mitigation measures <p>CNVMP Section 7 Noise & Vibration Management</p>	<p>The CNVIS for the South West corridor has been prepared prior to construction works in March 2021 and is being implemented.</p> <p>The CNVIS detail mitigations options which are also outlined in the CNVMP.</p>	Compliant
E28	Noise generating Work in the vicinity of potentially-affected community, religious, or educational institutions resulting in noise levels above the noise management levels must not be timetabled within sensitive periods, unless other reasonable arrangements with the affected institutions are made at no cost to the affected institution or as otherwise approved by the Planning Secretary.	Interview with auditees 3/5/2023	None of the sites and works audited are in the vicinity of community, religious or educational institutions.	Not triggered
E29	<p>Mitigation measures must be implemented with the aim of achieving the following Construction noise management levels and vibration criteria:</p> <p>(a) Construction 'Noise affected' noise management levels established using the Interim Construction Noise Guideline (DECC, 2009);</p> <p>(b) vibration criteria established using the Assessing vibration: a technical guideline (DEC, 2006) (for human exposure);</p> <p>(c) BS 7385 Part 2-1993 "Evaluation and measurement for vibration in buildings Part 2" as they are "applicable to Australian conditions"; and</p> <p>(d) the vibration limits set out in the German Standard DIN 4150-3: Structural Vibration- effects of vibration on structures (for structural damage).</p> <p>Note: The Interim Construction Noise Guideline identifies 'particularly annoying' activities that require the addition of 5 dB(A) to the predicted level before comparing to the construction Noise Management Level</p>	<p>Systems Connect - Construction Noise and Vibration Impact Statements (CNVIS) for:</p> <p>South West Corridor Works dated 4/12/20.</p> <p>AA monthly reports and ER Reports for Nov 22 to Apr 23.</p>	<p>Section 4 of the CNVIS for the Southwest Corridor Works details the Construction Noise & Vibration Objectives, and mitigation measures to be implemented.</p> <p>The implementation of these mitigation measures has been regularly reviewed by the AA and ER and covered in Section 5 of the OOHW Applications and SEPs, as well as monthly AA and ER Reports.</p> <p>Additional Environmental Site Inspections have been regularly conducted to monitor compliance and +5 dB correction has been applied to high noise impact activities in Gatewave noise modelling e.g.O OHW Application OOH-289.</p> <p>Additionally, a +5 dB correction is being applied to noise monitoring results e.g. 20230416 OHW Installation Marrickville.</p> <p>There have been no recorded non-compliances, incidents or complaints that have been reported to have exceeded noise and vibration limits for the sites audited in this audit period.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
E30	The Proponent must seek the advice of a heritage specialist on methods and locations for installing equipment used for vibration, movement and noise monitoring at heritage-listed structures.	Interview with auditees 4/5/2023	There is no noise or vibration monitoring of heritage listed structures required for this CCSI	Not triggered
Noise Mitigation - Operational Noise Mitigation Measures				
E31	<p>The Proponent must prepare an Operational Noise and Vibration Review (ONVR) to confirm noise and vibration control measures that would be implemented for the Operation of the CSSI. The ONVR must be prepared as part of the iterative design development and in consultation with the Planning Secretary, relevant council(s), other relevant stakeholders and must:</p> <ul style="list-style-type: none"> (a) identify appropriate Operational noise and vibration objectives and levels for surrounding development, including existing sensitive receivers; (b) confirm the Operational noise predictions based on the expected final design. Confirmation must be based on an appropriately calibrated noise model (which has incorporated data obtained from noise monitoring). (c) examine all noise and vibration mitigation measures, with a focus on source control and design; (d) identify specific physical and other mitigation measures for controlling noise and vibration at the source and at the receiver (if relevant) including location, type and timing of mitigation measures; (e) where noise and vibration objectives cannot be achieved, the ONVR must present an analysis of all noise and vibration mitigation measures and the 'best practice' achievable noise and vibration outcome for each activity; (f) fully describe the design, assumptions, calculation process, mitigation strategy, and other relevant factors; and (g) include a consultation strategy to seek feedback from directly affected landowners on the noise and vibration mitigation measures being offered. <p>The ONVR must be verified by a suitably qualified and experienced noise and vibration expert.</p> <p>The ONVR must be undertaken at the Proponent's expense and submitted to the Planning Secretary for approval before the implementation of mitigation measures.</p> <p>The Proponent must implement the identified noise and vibration control measures and make the ONVR publicly available.</p>	<p>https://www.sydneymetro.info/sites/default/files/2022-10/Sydenham-Bankstown-Operational-Noise-Vibration-Review.pdf</p> <p>Sydney Metro Operational Noise and Vibration Review, Rev. C, dated 29/7/22.</p> <p>DPE approval letter of ONVR dated 13/10/22.</p>	<p>An ONVR has been completed by Sydney Metro and submitted and approved by DPE on 13/10/22.</p> <p>DPE acknowledges in a letter that the review was conducted in consultation with DPE, relevant councils and other stakeholders.</p>	Compliant
E32	<p>Operational noise mitigation measures as identified in Condition E31 that will not be physically affected by Construction, must commence implementation within six (6) months of the commencement of Construction in the vicinity of the impacted receiver(s) to minimise Construction noise impacts, and detailed in an updated Noise and Vibration CEMP Sub-plan for the CSSI.</p> <p>Note: For the purpose of Conditions E32 and E33, operational noise mitigation measures refer to at property or other identified non-source controls, the detail of which would broadly be included in the Noise and Vibration CEMP Sub-plan. When detail on the specific mitigation measures is known and before the implementation of the mitigation measures, the CEMP sub-plan must be updated</p>	Interview with auditees 4/5/2023	Operation of the CSSI has not yet commenced.	Not triggered
E33	Where implementation of Operational noise mitigation measures will be physically affected by Construction such that they cannot commence implementation within six (6) months of the commencement of Construction in accordance with Condition E32, the Proponent must submit to the Secretary a report providing justification as to why, along	Interview with auditees 4/5/2023	Operation of the CSSI has not yet commenced.	Not triggered

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
	<p>with details of temporary measures that would be implemented to reduce construction noise impacts, until such time that the Operational noise mitigation measures identified in Condition E31 are implemented. The report must be submitted to the ER for review. When the ER is satisfied that the justification and alternative measures are appropriate to address construction noise impacts, and within six (6) months of the commencement of Construction which would affect the identified sensitive receivers, the report must be submitted to the Planning Secretary for information.</p>			
E34	<p>Within 12 months of the commencement of Operation of the CSSI, the Proponent must undertake monitoring of Operational noise to compare actual noise performance of the CSSI against the noise performance predicted in the review of noise mitigation measures required by Condition E31. The Proponent must prepare an Operational Noise Compliance Report to document this monitoring. The Report must include, but not necessarily be limited to:</p> <ul style="list-style-type: none"> (a) noise monitoring to assess compliance with the Operational noise levels predicted in the review of Operational noise mitigation measures required under Condition E31; (b) a review of the Operational noise levels in terms of criteria and noise goals established in the NSW Rail Infrastructure Noise Guideline 2013; (c) methodology, location and frequency of noise monitoring undertaken, including monitoring sites at which CSSI noise levels are ascertained, with specific reference to locations indicative of impacts on receivers; (d) details of any complaints and enquiries received in relation to Operational noise generated by the CSSI between the date of commencement of Operation and the date the report was prepared; (e) any required recalibrations of the noise model taking into consideration factors such as noise monitoring; (f) an assessment of the performance and effectiveness of applied noise mitigation measures together with a review and if necessary, reassessment of mitigation measures; and (g) identification of additional measures to those identified in the review of noise mitigation measures required by Condition E31, that are to be implemented with the objective of meeting the criteria outlined in the NSW Rail Infrastructure Noise Guideline 2013 and Noise Policy for Industry (EPA, 2017), when these measures are to be implemented and how their effectiveness is to be measured and reported to the Planning Secretary and the EPA. <p>The Operational Noise Compliance Report must be submitted to the Planning Secretary and the EPA within 60 days of completing the Operational noise monitoring and made publicly available</p>	Interview with auditees 4/5/2023	Operation of the CSSI has not yet commenced	Not triggered
Socio-Economic, Land use and Property				
E35	<p>The Proponent must establish an Independent Property Assessment Panel before Construction commences. The Panel will be responsible for the resolution of property damage disputes. Either the affected property owner or the Proponent may refer unresolved disputes arising from potential and/or actual property impacts to the Panel for resolution. All costs incurred in establishing and implementing the Panel must be borne by the Proponent.</p>	<p>8256-E35-E3 – Attachment 2, Terms of Reference, Oct, IPIAP</p> <p>8256-E33 – Independent Property Impact Assessment Panel (IPIAP) Meeting No. 42, Final</p> <p>IPIAP Agenda 41, 42, 43, 44</p>	<p>An IPIAP has been set up and the Secretary informed of the panel members on 21 April 2017. The panel reviews construction activities and status updates, monitoring results and any property claims (excluding disputes).</p> <p>The IPIAP has been meeting since 16/3/22 and the last meeting for the audit period was on 23 November 22.</p> <p>There have been no disputes referred to the panel during 2022.</p>	Compliant

Unique ID	Compliance Requirement	Evidence Collected	Findings & Recommendations	Compliance Status
E36	The Proponent must determine viable alternative accommodation options for community facilities/groups (including the Canterbury Theatre Guild) where facilities used by group(s) are not available to them during Construction in consultation with the relevant council(s), community groups and key stakeholders.	Interview with auditees 4/5/2023	There were no community facilities or groups affected during this audit period.	Not triggered

APPENDIX B – SITE INSPECTION PHOTOS

Chatwood Dive



Plate 1 – Dive site service building – civil and M&E works and concrete breaking



Plate 2 – Dive site service building – civil and M&E works



Plate 3 – Excavation and plumbing works



Plate 4 – Excavated material for re-use on-site or offset disposal



Plate 5 – Temporary detention basin



Plate 6 – Lower site boundary fence



Plate 7 – Gaps below lower boundary fence with no sediment control – potential for sediment to erode / track offsite onto road during heavy rain



Plate 8 – Work area with exposed earth/soil and source of dust during windy conditions at the time of the audit inspection







<p>Plate 9 – External fuelling bowser without filling station bunding below the bowser</p>	<p>Plate 10 – Fuel storage container with signs of spill outside the container</p>
	
<p>Plate 11 – Stockpiled DGB material – to be confirmed for EPA approval</p>	<p>Plate 12 – Dried solids from WTP slurry to be disposed offsite at licensed facility</p>
	
<p>Plate 12 – Bunded chemical container storage area</p>	<p>Plate 13 – Waste recycling bins</p>



Plate 14 – Waste bins and earth stockpiles



Plate 15 – Spill kits



Plate 16 – Chemical storage container



Plate 17 – Environmental site management plan / poster

Marrickville Dive



Plate 19 – Southern Dive site entrance area



Plate 20 – Landscaped remediation site on north-western side



Plate 21 – Landscaped area with boundary sediment fence and control



Plate 22 – Freshly sealed access road with curb and gutter drainage







<p>Plate 23 – Freshed sealed access road without curb and gutter drainage</p>	<p>Plate 22 – Landscaping and paving being finalised</p>
	
<p>Plate 23 – Existing WTP</p>	<p>Plate 24 – New WTP yet to be commissioned</p>
	
<p>Plate 25 – Waste recycling bins – old signal boxes placed in recycling bin</p>	<p>Plate 26 – Pipe from tunnels collected for recycling</p>



Plate 27 – Unbunded chemical container



Plate 28 – fuel can found without proper storage



Plate 29 – Stockpile area



Plate 30 – Segregated stockpiles awaiting classification and transfer offsite



<p>Plate 31 – Stockpiles on north-west of site</p>	<p>Plate 32 – Stormwater runoff and detention on north-west of site</p>
	
<p>Plate 33 – Damaged coils and sediment fence on Sydney Steel Road</p>	<p>Plate 33 – Damaged sediment fence on site boundary on Sydney Steel Road</p>
	
<p>Plate 34 – Site entrance on Sydney Steel Road Gate S2</p>	<p>Plate 35 – damaged sediment fence at entrance to site on Gate S2</p>



Plate 36 – Water cart in use for dust suppression on hardstand area near old WTP



Plate 37 – Wash bay at Gate S2



Plate 38 – fuel storage container and filling station with signs of spills outside the container

Canterbury Traction Substation



Plate 39 – Landscaping area in public domain



Plate 40 – Landscaping material stored on site



Plate 41 – Sediment control for access road to be sealed



Plate 42 – Interface between internal access road and external public road





<p>Plate 43 – Sediment control and stabilisation and grassing of slopes</p>	<p>Plate 44 – Newly stabilised and grassed areas</p>
	
<p>Plate 45 – Traction substation structure – external face</p>	<p>Plate 46 – Waste collection bin</p>
<p>Campsie Traction Substation</p>	
	
<p>Plate 47 – Unexpected finds location and exclusion fencing and signage - asbestos</p>	<p>Plate 48 – Waste collection bins on site</p>



Plate 49 – Landscaping and public domain works



Plate 50 – Boundary fencing



Plate 51 – Stockpiled material awaiting classification and transfer offsite



Plate 52 – Erosion control in public domain works area



Plate 53 – Bounday fencing and hardstand work area



Plate 54 – Nearby residential sensitive receivers



Plate 55 – Erosion control public domain works



Plate 56 – Traction substation

APPENDIX C – POST AUDIT PHOTOS

These photos have been provided by the auditee, following the audit.



Plate 1 – Dust suppression of stockpiles post audit inspection at Chatswood Dive



Plate 2 – Water spraying for dust suppression on hardstand and stockpiles post audit inspection at Chatswood Dive



Plate 3 – Example use of sweeper and water cart for dust suppression at Chatswood Dive



Plate 4 – Example of use of water cart and sweeper for dust suppression at Chatswood Dive



Plate 5 – Example of water spraying for dust suppression at Chatswood Dive



Plate 6 – Evidence of dust suppression by water spraying post the audit inspection at Chatswood Dive



Plate 7 - Chemical containers placed in designated bunded area at Marrickville Dive



Plate 8 - Chemical containers placed in designated bunded area at Marrickville Dive



Plate 9 - Fuel jerry can store in bunded container post audit inspection



Plate 10 - Coir log and sediment fencing re-established on Sydney Steel Road boundary



Plate 11 – Sediment fence repaired at end of Sydney Steel Road adjacent Gate S2 post audit inspection

APPENDIX D – AUDITOR DECLARATION


Project Name:	Sydney Metro City & Southwest – Line Wide
Consent Number:	SSI 7400 & SSI 8256
Description of Project:	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
Project Address:	Multiple properties and land comprised in the Inner West and Canterbury Bankstown Council areas
Proponent:	Sydney Metro Authority
Title of Audit	Independent Audit No. 1 – Audit Report
Date:	29 May 2023

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; and
- 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 Proposed Auditor:	Ibrahim Awad
Signature:	
Qualification:	Bachelor of Science (Env) - Macquarie University Master of Engineering Science (Civil & Env) – Scholarship, Uni of Melb. Master of Environmental Law – University of Sydney Certified Lead Auditor & OHS Auditor, Exemplar Global Certificate 110720
Company:	Seventh Sense Sustainability Consultants Pty Ltd