



Independent Audit Report – Audit No 3. SSI-10038

**Sydney Metro West – Stage 1
SSI 10038**

December 2023

Independent Audit No. 3 – Audit Report

Document review and approval

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Inherent Limitations

This Report has been prepared at the request of Sydney Metro, in accordance with the terms of KPMG's engagement contract dated 11th July 2023 (Contract No. SMC-23-0933).

The services provided in connection with this engagement comprise an advisory engagement, which is not subject to assurance or other standards issued by the Australian Auditing and Assurance Standards Board and, consequently no opinions or conclusions intended to convey assurance have been expressed.

Due to the inherent limitations of any internal control structure, it is possible that fraud, error or non-compliance with laws and regulations may occur and not be detected. Further, the internal control structure, within which the control procedures that have been subject to the procedures we performed operate, has not been reviewed in its entirety and, therefore, no opinion or view is expressed as to its effectiveness of the greater internal control structure. The procedures performed were not designed to detect all weaknesses in control procedures as they are not performed continuously throughout the period and the tests performed on the control procedures are on sample basis. Any projection of the evaluation of control procedures to future periods is subject to the risk that the procedures may become inadequate because of changes in conditions, or that the degree of compliance with them may deteriorate.

No warranty of completeness, accuracy or reliability is given in relation to the statements and representations made by, and the information and documentation provided by Sydney Metro and its Delivery Contractors (Acciona Ferrovia Joint Venture and Gamuda Laing O'Rourke) consulted as part of the process.

KPMG has indicated within this Report the sources of the information provided. We have not sought to independently verify those sources unless otherwise noted within the Report.

KPMG is under no obligation in any circumstance to update this Report, in either oral or written form, for events occurring after the Report has been issued in final form.

The findings in this Report have been formed on the above basis.

Third Party Reliance

This Report is solely for the purpose set out in the Independent Audit Program for the NSW Department of Planning and Environment (the Department) and Sydney Metro's information and is not to be used for any other purpose or distributed to any other party without KPMG's prior written consent.

This Report has been prepared at the request of Sydney Metro, in accordance with the terms of KPMG's engagement contract dated 11th July 2023 (Contract No. SMC-23-0933). Other than our responsibility to Sydney Metro and the Department, neither KPMG nor any member or employee of KPMG undertakes responsibility arising in any way from reliance placed by a third party (including, but not limited to, Acciona Ferrovia Joint Venture (AFJV), and Gamuda Australia and Laing O'Rourke Joint Venture (GLC)) on this Report. Any reliance placed is that party's sole responsibility.

Executive Summary

KPMG has been engaged by Sydney Metro as Independent Auditor to conduct an Independent Environmental Audit (Independent Audit No. 3 and the first Independent Audit conducted by KPMG) of Sydney Metro West Stage 1 including:

- Phase B – Central Tunnelling Package (CTP) being delivered by the Acciona Ferrovial Joint Venture (AFJV); and
- Phase F – Western Tunnelling Package (WTP) being delivered by Gamuda Australia and Laing O’Rourke Joint Venture (GLC).

This Independent Audit report has been prepared in line with the requirements set out in the NSW Department of Planning and Environment (DPE or the Department) *Independent Audit Post Approval Requirements Guidelines (2020) (PAR)*, as replicated within Sydney Metro’s *Independent Audit Program Sydney Metro West – Stage 1, SSI 10038*, March 2023 (IAP). Any references to ‘audit’, ‘review’ and ‘verification’ in this report have not been used in the context of its respective meaning under assurance, audit and other standards issued by the Australian Auditing and Assurance Standards Board. As such, no opinions or conclusions intended to convey assurance, or an audit opinion have been expressed in this report.

This Independent Audit sought to assess and provide findings on compliance with State Significant Infrastructure (SSI) 10038 Conditions of Approval and assess the effectiveness of environmental management on the Project.

The audit scope for Independent Audit No. 3 covered a period of approximately 11 months, from 23 September 2022 to 31 August 2023, and was developed through a risk-based methodology and in consultation with the Department and Sydney Metro. The scoping methodology identified 140 conditions of approval (CoAs) to be assessed for Phase B and 152 CoAs to be assessed for Phase F.

For Phase B – CTP site visits were conducted as part of the audit to The Bays and Five Dock. For Phase F – WTP site visits were conducted to Parramatta, Westmead and Clyde.

Table E.1 provides a summary of the findings associated with the Independent Audit.

Table E.1: Compliance Assessment Summary

Phase	Summary
Phase B – Central Tunnelling Package (CTP)	<ul style="list-style-type: none"> 140 CoAs were subject to the audit scope. 121 CoAs were assessed as being complied with across the audit period. 18 non-compliances were self-reported by AFJV and Sydney Metro. These were associated with 20 instances of CoA non-compliance (i.e. in some instances several CoA non-compliances were combined and lodged within a single non-compliance report), covering nine (9) CoAs. Of the 18 self-reported non-compliances, 17 have been closed with one (1) remaining open within the audit period. One (1) non-compliance was identified by during the independent audit against CoA A45. 10 CoAs were not triggered.
Phase F – Western Tunnelling Package (WTP)	<ul style="list-style-type: none"> 152 CoAs were subject to the audit scope. 140 CoAs were assessed as being complied with across the audit period. Eight (8) non-compliances were self-reported by GLC and Sydney Metro. These were associated with 11 instances of CoA non-compliance (i.e. in some instances several CoA non-compliances were combined and lodged within a single non-compliance report), covering eight (8) CoAs. All of the eight (8) self-reported non-compliances have been closed within the audit period. Zero (0) non-compliances were identified by the Independent Auditor during the audit. One (1) improvement observation has been recommended by the Independent Auditor. Four (4) CoAs were not triggered.

1 Introduction

1.1 Background

KPMG has been engaged by Sydney Metro as Independent Auditor to conduct an Independent Environmental Audit (Independent Audit No. 3 and the first Independent Audit conducted by KPMG) of Sydney Metro West Stage 1 including:

- Phase B – Central Tunnelling Package; and
- Phase F – Western Tunnelling Package.

This Independent Audit report has been prepared in line with the requirements set out in the NSW Department of Planning and Environment (DPE or the Department) *Independent Audit Post Approval Requirements Guidelines (2020) (PAR)*, as replicated within Sydney Metro's *Independent Audit Program Sydney Metro West – Stage 1, SSI 10038*, March 2023 (IAP). These requirements apply to all State significant projects where an Independent Audit is required by the conditions of consent. Any references to 'audit' and 'verification' in this report have not been used in the context of its respective meaning under assurance, audit and other standards issued by the Australian Auditing and Assurance Standards Board. As such, no opinions or conclusions intended to convey assurance, or an audit opinion, have been expressed in this report.

This Independent Audit sought to assess and provide findings on compliance with State Significant Infrastructure (SSI) 10038 Conditions of Approval and assess the effectiveness of environmental management on the Project adopting the scope, methodology and reporting requirements outlined in the PAR and applying the strategic and risk-based audit approach described within Sydney Metro's IAP.

The evidence used to test the compliance status with respect to each condition has been documented in Appendix A and non-compliances have been outlined in Section 3.3.

This Independent Audit aligns with the most recent West – Stage 1 Phasing Report (Version 1.5, January 2023), which sets out how the construction of Stage 1 of the project will be phased including details of work and other activities to be carried out in each phase and the general timing of when construction of each phase will commence and finish. The Phasing Report was prepared by Sydney Metro and was structured to address the Phasing Report requirements of the Conditions of Approval (CoA) for the Sydney Metro West Stage 1 Planning Approval (SSI 10038). The Phasing Report has been reviewed and endorsed by the Environmental Representative for Sydney Metro West Stage 1 as meeting the requirements of Condition A11 from SSI 10038. Each delivery contractor and Sydney Metro are responsible for complying with relevant requirements of any planning approvals that apply to the project and an allocation of responsibilities is defined in contracts between Sydney Metro and delivery contractors. The Phases contained within the Phasing Report are based on the individual contracts that comprise the Delivery Strategy. This version (version 1.4) of the Phasing Report specifically addresses the requirements of the planning approval for Phase A, B1, B2, C1, C2, E and F and provides detailed information on the extent to which requirements apply to these Phases.

This Independent Audit Report considers each CoA that relate to the construction activities associated with Phase B and Phase F works outlined in the Phasing Report.

The audit period (23 September 2022 to 31 August 2023) covers works associated with Sydney Metro West Stage 1, which included all major civil construction works including station excavation and tunnelling between Westmead and The Bays. Approval for the Concept and Stage 1 works (the Project) was granted in SSI 10038 by the Minister for Planning and Public Spaces on 11 March 2021, subject to several conditions. The conditions of approval can be publicly accessed on the NSW Government Major Projects Portal.

A summary of the Project works being undertaken during the audit period included:

- Site establishment works for the Central Tunnelling Package Early Works (Phase B), predominately at The Bays worksite.
- Civil construction works between Westmead and Sydney Olympic Park, including station excavation for new metro stations at Westmead, Parramatta and Sydney Olympic Park.
- Shaft excavations for services facilities at Rosehill within the Clyde stabling and maintenance facility construction site.

1.2 Audit Team

In accordance with Schedule 3, condition A40 of SSI 10038 and Section 3.1 of the PAR, Independent Auditors must be suitably qualified, experienced and independent of the Project, and appointed by the Planning Secretary. Approval of the Lead Environmental Auditors was provided by DPE on 10 August 2023 (refer to the Planning Secretary Audit Team Agreement presented in Appendix B) and comprised of the following personnel:

- Gary Selwyn (Lead Environmental Auditor) – BSc (Hons) Biological Sciences, MSc Environmental Sciences, Institute of Environmental Management and Assessment (IEMA_ Principal Environmental Auditor (Certificate No. 0005448); and,
- Eddie Dunn (Lead Environmental Auditor) – BSc (Hons) in Technology & Business Studies, MEnvS (Distinction) Environmental Studies, Chartered Environmentalist (Soc Env), Exemplar Global-Accredited Lead Auditor in EMS (ISO14001:2015) (Certificate No. 210162).

1.3 Audit Objectives

The purpose of this Independent Audit was to obtain an independent and objective assessment of the environmental performance and compliance of Sydney Metro West Stage 1.

Consequently, the objective of this Independent Audit was to satisfy SSI 10038 Schedule 3, condition A39, which states that *Independent Audits of Stage 1 of the Critical State Significant Infrastructure (CSSI) must be conducted and carried out in accordance with the Independent Audit Post Approval Requirements* (PAR granted by NSW Department of Planning and Environment (DPE), 2020).

1.4 Audit Scope

The specific audit scope for Independent Audit No. 3 was developed through a risk-based methodology and consultation with the Department and Sydney Metro. Table 1.1 sets out the scope in terms of the audit period, the auditee/s and the sites to be inspected.

Table 1.1: Audit Scope

Item	Detail
Audit Period:	23 September 2022 to 31 August 2023 (i.e. approximately 11 months).
The Auditees:	Sydney Metro
	Sydney Metro West Stage 1, Phase B – Central Tunnelling Package Delivery Contractor – Acciona Ferrovial Joint Venture (AFJV).
	Sydney Metro West Stage 1, Phase F – Western Tunnelling Package Delivery Contractor – Gamuda Australia and Laing O’Rourke Joint Venture (GLC).
Sites to be inspected:	Sydney Metro West Stage 1, Phase B – Central Tunnelling Package (CTP): <ul style="list-style-type: none"> • The Bays; • Five Dock.
	Sydney Metro West Stage 1, Phase F – Western Tunnelling Package (WTP): <ul style="list-style-type: none"> • Parramatta; • Westmead; • Clyde.

To identify the CoA’s which would be subject to the scope the audit, a risk-based approach was applied, considering the potential impacts identified in Table 28.6 *Environmental Risk Analysis – Stage 1* in the environmental risk analysis presented in Chapter 28 of the Environmental Impact Statement (EIS). This identified the following numbers of potential environmental impacts (i.e., those identified as potentially having a ‘very high’ or ‘high’ unmitigated risk rating based on re-assessed likelihood) that were relevant to the audit scope:

- 22 potential environmental impacts for Phase B; and
- 26 potential environmental impacts for Phase F.

A mapping exercise, which identified the CoA relevant to each potential impact for Stage 1, was then undertaken utilising the potential environmental impacts to identify the CoA to be included within the risk-based scope component of the Independent Audit.

Additional scope items to be included were also identified, and requested, through consultation conducted with the Department and Sydney Metro.

In total, the scoping exercise identified the following numbers of CoAs to be assessed per package:

- Phase B - 140 CoAs to be assessed; and
- Phase F - 152 CoAs to be assessed.

The audit scope was documented within a Scoping Statement, with a final version of the scoping statement submitted to DPE, following consultation, on 25 August 2023 for approval. Refer to Appendix A for full details of the CoAs that were subject to assessment during the Independent Audit.

Further to identification and confirmation of the auditees, CoAs and locations within the scope of the audit, in accordance with Section 7.2.4 of the IAP, the overall scope of the Independent Audit comprised:

- An assessment of compliance with:
 - All conditions of consent applicable to the phase of the development that is being audited using a risk-based audit approach as detailed in Section 2.2.1;
 - All post-approval and compliance documents prepared to satisfy the conditions of consent, including an assessment of the implementation of Environmental Management Plans and Sub-plans; and
 - All environmental licences and approvals applicable to the development excluding environment protection licences issued under the *Protection of the Environment (Operations) Act 1997*.
- Checking the environmental performance of the development, including but not limited to, an assessment of and provision of observations and findings on:
 - Actual impacts compared to predicted impacts documented in the environmental impact assessment;
 - Incidents, non-compliances and complaints that occurred or were made during the audit period;
 - The performance of the development having regard to agency policy and any particular environmental issues identified through consultation carried out when developing the scope of the audit; and
 - Feedback received from the Department, and other agencies and stakeholders, including the community or Community Consultative Committee (if there is one for the Project), on the environmental performance of the project during the audit period.
- The status of implementation of previous Independent Audit findings, recommendations, and actions, if any, arising from Independent Audit No. 2 (undertaken by WolfPeak);
- A high-level assessment and observations on the adequacy of Environmental Management Plans and Sub-plans; and
- Any other matters considered relevant by the auditor or the Department, considering relevant regulatory requirements and legislation, knowledge of the development's past performance and comparison to industry leading practices.



1.5 Audit Period

Independent Audit No. 3, and consequently this Audit Report, covers a period of approximately 11 months, from 23 September 2022 to 31 August 2023 (the 'audit period'), which comprised the period between the previous audit (Audit No. 2) site inspection and the site inspection conducted as part of this audit (Audit No. 3).

2 Audit Methodology

2.1 Selection and Endorsement of the Audit Team

As per the requirements of DPE, KPMG submitted auditor nominations and credentials to DPE for prior approval of the audit team on 26 July and 3 August 2023 on the proposed lead environmental auditors.

The Team Leader Compliance – Government Projects from the Department, as the nominee of the Planning Secretary, reviewed the information provided against the PAR. The Department advised that the nominees in the 3 August 2023 letter were suitably certified, suitably experienced in state significant infrastructure projects and had supplied declarations of independence.

Consequently, under Condition A40 of SSI-10039, the Planning Secretary approved the following KPMG personnel as lead environmental auditors for Independent Audit No. 3:

- Mr. Gary Selwyn, registered with IEMA as a Principal Environmental Auditor.
- Mr. Edward (Eddie) Dunn, certified with Exemplar Global as a Lead Auditor in environmental management systems.

DPE also acknowledged that the approved auditors would be supported by other KPMG Independent Audit team members.

Approval of the Audit Team was provided by DPE on 10 August 2023. The Planning Secretary Audit Team Agreement is presented in Appendix B.

2.2 Independent Audit Scope Development

To enable the Independent Audit to focus on matters with material risk the audit scope was developed in accordance with the IAP and comprised two main components:

- Risk-based audit scope; and
- Consultation.

The methodology associated with developing these two components is described in further detail below and with the scope ultimately being described within a Scoping Statement.

2.2.1 Defining Audit Scope Based on Risk

The risk-based audit scope component of this Independent Audit was prepared in accordance with Section 7.2.2 *Defining scope based on risk* of Sydney Metro's IAP and defined based on the Project's risks as identified through an assessment of Project activities for the audit period. This assessment involved two (2) risk assessment workshops, which were conducted on the 25 and 28 of July 2023 and were attended by Sydney Metro and the Independent Auditor. These risk assessment workshops:

- Considered, in turn, each of the potential impacts identified in Table 28.6 *Environmental Risk Analysis – Stage 1* in the environmental risk analysis presented in Chapter 28 of the EIS.
- Re-assessed the likelihood of each potential impact, based on actual construction and design work activities for both Phase B and Phase F and their impacts on the environment and community for the audit period (23 September 2022 – 31 August 2023).
- Through application of the reassessed likelihood, identified those potential impacts with a 'very high' or 'high' unmitigated risk rating, which would be considered within the scope of the audit.

In addition, the risk assessment was also informed by:

- The number, nature, source and locations of complaints received as recorded in the Sydney Metro West complaints register.
- The number, nature (including severity), source and locations of incidents as recorded on the Sydney Metro West incidents register.
- High level assessment of the findings from the prior Independent Audit.
- High level assessment of the findings from the Environmental Representative and Acoustic Advisory Monthly Reports.
- Notices from the regulators (DPE and NSW EPA).

A previous mapping exercise, which mapped each CoA to the potential impacts for Stage 1, was then applied to identify which CoA were associated with the in-scope potential impacts for Stage 1 Delivery Phases B and F identified through the risk assessment (i.e. those potential impacts identified as having a 'very high' or 'high' unmitigated risk rating based on reassessed likelihood). These CoA were consequently considered to be within the risk-based scope component of the Independent Audit.

2.2.2 Consultation

In accordance with Section 3.2 of the PAR, following development of the risk-based scope component, consultation was undertaken with the Department on 22 August 2023 to obtain input into the scope of the Independent Audit, identifying other CoAs, site locations and items that the Department would like considered within the scope of the audit.

In addition, Sydney Metro requested an additional four (4) in-scope potential impacts covering aspects including: Groundwater and Ground Movement; Soil and Surface Water Quality; and Sustainability and Climate Change.

During consultation, DPE did not request any additional issues for inclusion within the scope of the audit that were not already captured by Section 3.3 of the PAR.

Refer to Appendix C for consultation records, including comments received from both DPE and Sydney Metro on the Scoping Statement.

2.2.3 Scoping Statement

As described above, following completion of the risk-based audit scoping assessment, a draft Scoping Statement was prepared and submitted to the Department on 16 August 2023 as part of the consultation on the audit scope in accordance with Section 7.2.3 of the IAP. The draft Scoping Statement also included the Sydney Metro request for additional in-scope items. In addition, the draft Scoping Statement was also provided to Sydney Metro for review and comment.

Following submission of the draft Scoping Statement, consultation was undertaken with the Department (refer to Section 2.2.2) to discuss its contents and identify other scope items.

The Scoping Statement was then finalised, with a final version of the statement submitted to the Department on 25 August 2023 for approval.

2.3 Audit Process

The following sections describe the processes that comprised the Independent Audit, with site inspection and personnel interview components completed between 31 August to 6 September 2023.

2.3.1 Audit Preparation

Prior to commencement of the audit, the Independent Auditor prepared an audit plan and work documents (audit checklists and documentation request list), which were distributed to the Project team in preparation for the Independent Audit. Upon receipt of documents from Sydney Metro and its Delivery Contractors, document assessment (refer to Section 2.3.3.3) commenced prior to site visits.

2.3.2 Opening Meeting

An opening meeting was held via MS Teams on 30 August 2023 with the Auditor and Project personnel, including Sydney Metro and its Delivery Contractors. During the opening meeting, the Auditor presented the objectives and scope of the Independent Audit, the resources required and the methodology to be applied.

A register of the opening meeting attendees is provided in Appendix E.

2.3.3 Audit Execution

Five (5) days was allocated for execution of the Independent Audit, with three (3) days provisionally allocated to the risk-based scope of the audit and two (2) days allocated to matters raised by the Department and Sydney Metro.

The audit involved a combination of activities and assessment processes including:

2.3.3.1 Site Inspections

Site inspections were undertaken during the audit to those locations within the audit scope (refer to Section 1.4), to understand the nature of the operations, and the extent to which environmental controls are implemented and managed across the sites. In addition, the audit team used the inspections as an opportunity to engage with relevant site personnel in order to gain an understanding of the day-to-day operations on-site.

Site inspections were conducted on 31 August 2023 and 1 September 2023 as follows:

- **Phase F Western Tunnelling Package – Gamuda Australia and Laing O’Rourke Joint Venture (GLC)**

Site inspections were conducted on 31 August 2023 at the following sites:

- **Clyde MSF** – Major civil construction works are associated with the Clyde MSF site. This

includes shaft excavations for services facilities at Rosehill within the Clyde stabling and maintenance facility construction site. Civil work is also being carried out for a stabling and maintenance facility at Clyde including earthworks and structures for crossings of A'Becketts Creek and Duck Creek.

- **Westmead** – Station excavation for a new station at Westmead. Enabling work commenced at Westmead and the Clyde Maintenance and Stabling Facility (MSF) sites on 8 December 2021, and at Parramatta on 10 December 2021. The works include demolition, utilities and road works to address long lead-time activities and de-risk the Western Tunnelling Package. A total of 34 buildings and a multi-level car park are being demolished at Parramatta and Westmead, with additional industrial buildings and associated structures on the northern and western portions of the Clyde MSF also being demolished. At Westmead, demolition has been completed and below ground services and structures removed to a depth of 1.5m (except at the old Service Station on the corner of Alexandra Avenue and Hassall Street which will remain sealed). The scope of this work was undertaken by the previous contractor prior to GLC gaining access to the site.
- **Parramatta** – Station excavation for a new Parramatta metro station. A number of relevant utilities within the Parramatta site will be removed or adjusted to prepare the site for demolition and subsequent excavation of the station box. This includes the removal and relocation of Telstra and Optus communication assets, cut over, decommissioning and removal of Endeavour Energy substations and associated assets, and commissioning of one switching station. These scopes of work were undertaken prior to GLC gaining access to the site. Road works will also be carried out at the Parramatta work site to preserve public access to buildings and adjacent properties. These road works will involve the construction of two public access roads to service the Smith Street and Church Street properties and another access road within the Sydney Metro West construction site boundary that will connect Macquarie Street to Smith Street.
- **Phase B Central Tunnelling Package – Acciona Ferrovial Joint Venture (AFJV)**

Site inspections were conducted on 1 September 2023 at the following sites:

- **The Bays** – works undertaken includes major civil construction works between Westmead and The Bays. This includes tunnel excavation including tunnel support activities between Westmead and The Bays, station excavation for new metro stations at the Bays and shaft excavation for services facilities.
- **Five Dock** – Station excavation works were occurring for a new metro station at the Five Dock site. Tunnelling is expected to reach Five Dock in late 2023 from the Bays.

The site inspections covered all development areas and environmental aspects that form part of Phase B and Phase F works visited. Sydney Metro provided the audit team with access to all requested areas and activities and the audit team was accompanied by the designated site representatives at all locations.

2.3.3.2 Interviews

Interviews were held with key personnel from the relevant Delivery Contractors. These interviews were focussed on the management of environmental aspects, and, where areas of concern may exist, what proposed means of risk control are undertaken and proposed to account for these concerns. Additionally, the interviews assisted the audit team to understand the nature of the activities undertaken at the sites.

The audit team was granted access to key site personnel in accordance with the specified scope of the Independent Audit. Interviews were conducted and the Audit team obtained access to Sydney Metro, key sub-contractors involved in project delivery and technical specialists responsible for environmental management. All interviews, outside of those undertaken as part of the site visits, were completed via MS Teams across 4 to 6 September 2023. Table 2.1 provides a summary of the personnel interviewed.

Table 2.1: Key Personnel Interviewed

Name	Company	Position	Date of Interview(s)
Matthew Marrinan	Sydney Metro	Senior Environment Manager	Phase B and Phase F – 4 th October 2023
Pamela Tummers	Sydney Metro	Environmental & Sustainability Manager	Phase B and Phase F – 4 th October 2023
John Leroklis	Sydney Metro	Environment Manager	Phase B and Phase F – 4 th October 2023
Andrew Hendy	Sydney Metro	Environment Manager	Phase B and Phase F – 4 th October 2023
Sarah Lepre	Sydney Metro	Environment Manager	Phase B and Phase F – 4 th October 2023
Sean Clarke	Sydney Metro	Business Partner – Traffic and Transport Advisory	Phase B – 5 th October 2023
Berin Gordon	Sydney Metro	Business Partner – Traffic and Transport Advisory	Phase F – 5 th October 2023
Caroline St Clair	Sydney Metro	Communications Manager	Phase B – 6 th October 2023
Alicia Hatton	Sydney Metro	Communications Manager	Phase F – 6 th October 2023
Anthony Coward	Nation Partners	Contamination Advisor	Phase B and Phase F – 5 th October 2023
Georgia Wright	Sydney Metro	Heritage Advisor	Phase B and Phase F – 5 th October 2023
Colin Davison	Sydney Metro	Heritage Advisor	Phase B and Phase F – 5 th October 2023
Michael Woolley	Healthy Buildings International	Environmental Representative (ER)	Phase B and Phase F – 4 th October 2023
Greg Byrnes	Healthy Buildings International	Environmental Representative (ER)	Phase B and Phase F – 4 th October 2023
Candice Somerville	Gamuda Laing O'Rourke (GLC)	Environmental Approvals Manager	Phase F – 4 th October 2023
Kellie Hunt	Gamuda Laing O'Rourke (GLC)	Project Environment Lead	Phase F – 4 th October 2023
David Windnagel	Gamuda Laing O'Rourke (GLC)	Senior Environmental Advisor	Phase F – 4 th October 2023

Name	Company	Position	Date of Interview(s)
Stephanie Mifsud	Gamuda Laing O'Rourke (GLC)	Planning, Environment and Sustainability Manager	Phase F – 4 th October 2023
Jared Lipton	AFJV	Environment Manager	Phase B – 5 th October 2023
Sarah Grobler	AFJV	Environment Manager	Phase B – 5 th October 2023
Dave Anderson	Acoustic Studio	Acoustics Advisor	Phase B and Phase F – 6 th October 2023
Larry Clark	Acoustic Studio	Acoustics Advisor	Phase B and Phase F – 6 th October 2023
Taryn Prouse	Sydney Metro	Sustainability Manager	Phase B and Phase F – 6 th October 2023

2.3.3.3 Document Assessment

Documentation relevant to the audit scope was collected and assessed by the audit team as evidence of compliance with a CoA. This included, but was not limited to, management plans, site induction forms and presentations, emergency response plans, and details of any incidents that have occurred within the audit period. The purpose of the document verification was to provide the auditors with baseline information of the site's operating performance and to enable the audit team to identify non-compliances that may have occurred during regular site operations.

The document assessment process extended beyond the five (5) day audit period and was conducted as documentation was provided by Sydney Metro and its Delivery Contractors for assessment. A list of the primary documents assessed prior to and after the site visits is provided in Appendix G.

The Independent Auditor assessed the documents and provided observations and findings on the post-approval documents, considering whether these documents:

- Were formulated in compliance with the stipulated conditions, as well as any other pertinent environmental licenses and approvals relevant to the Project, with due consideration given to their content adequacy.
- Were implemented in accordance with the specified conditions and any other applicable environmental licenses and approvals for the Project.

The assessment of the adequacy of post-approval documents involved:

- Identifying any instances of non-compliance arising from the document's implementation.
- Identifying potential areas for enhancement or improvement.

2.4 Compliance Evaluation

Considering the evidence gathered during audit execution, the Independent Audit assessed and tested the compliance status of each CoA in the Audit Table, through application of the descriptors from *Table 2* of the PAR, as listed in *Table 2.2*.

Table 2.2: Compliance descriptors from Table 2 of the PAR

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.

Observations and notes were also made in the Audit Table to provide context, identify opportunities for improvement or highlight positive initiatives. Opportunities for improvement against specific CoA's are detailed in Section 3.12.

2.5 Closing Meeting

Two closing meetings were held on the 24 and 25^h October 2023 for Phase B and Phase F, respectively. The audit findings were presented, where factual accuracy of findings was confirmed, preliminary recommendations (as appropriate) made and discussed, and timing for finalisation of the audit report and any post-audit actions confirmed. Where identified, additional documentary evidence was provided by the Delivery Contractors and Sydney Metro to the Independent Auditor following the closing meetings to enable further assessment of compliance.

A register of the closing meeting attendees is provided in Appendix E.

2.6 Completing the Audit

The draft Independent Audit Report was disseminated to Sydney Metro for verification of factual accuracy and to obtain input for addressing any relevant findings. The Auditor maintains the prerogative to establish findings or offer recommendations based on the evidence assessed.

3 Audit Findings

3.1 Approvals and Documents Audited

Details of the primary documents assessed prior to and after the site visit for Sydney Metro West Stage 1, Phase B and Phase F are provided in Appendix G.

3.2 Compliance Assessment Summary

A summary of the assessment of compliance for the Phases of Sydney Metro West Stage 1 subject to the audit is presented in *Table 3.1*. Findings against each CoA subject to the Audit are presented in Appendix A, with detailed findings against the non-compliances identified also provided in Section 3.3.

Table 3.1: Compliance assessment summary

Phase	Summary
Phase B – Central Tunnelling Package (CTP)	<ul style="list-style-type: none"> 140 CoAs were subject to the audit scope. 121 CoAs were assessed as being complied with across the audit period. 18 non-compliances were self-reported by AFJV and Sydney Metro. These were associated with 20 instances of CoA non-compliance (i.e. in some instances several CoA non-compliances were combined and lodged within a single non-compliance report), covering nine (9) CoAs. Of the 18 self-reported non-compliances, 17 have been closed with one (1) remaining open within the audit period. One (1) non-compliance was identified by during the independent audit against CoA A45. 10 CoAs were not triggered.
Phase F – Western Tunnelling Package (WTP)	<ul style="list-style-type: none"> 152 CoAs were subject to the audit scope. 140 CoAs were assessed as being complied with across the audit period. Eight (8) non-compliances were self-reported by GLC and Sydney Metro. These were associated with 11 instances of CoA non-compliance (i.e. in some instances several CoA non-compliances were combined and lodged within a single non-compliance report), covering eight (8) CoAs. All of the eight (8) self-reported non-compliances have been closed within the audit period. Zero (0) non-compliances were identified by the Independent Auditor during the audit. One (1) improvement observation has been recommended by the Independent Auditor. Four (4) CoAs were not triggered.

3.3 Non-compliant Findings, Observations and Recommendations

Table 3.2 presents the non-compliance and observations from IA3 and Table 3.3 details the self-reported non-compliances reported by Sydney Metro, AFJV and GLC during the audit period. A compliance summary is detailed in Section 3.2 above with detailed findings against each CoA presented in Appendix A.

The audit has acknowledged within the findings presented in Appendix A that a select number of documents assessed for compliance against the relevant CoAs were currently in a draft version during the audit period. This has been documented within the auditor findings where applicable.

The testing phase of the Audit provided insight into how the approval requirements are being addressed by the Proponent and enable identification of opportunities for improvement. As part of the audit, an environmental management improvement opportunity was observed as detailed in Table 3.2 below.

Table 3.2: Non-compliant Findings, Observations and Recommendations identified by Independent Auditor during Independent Audit No. 3

Item	CoA	Requirement	Type	Finding/Observation	Recommendation																				
Phase B: Central Tunnelling Package – Acciona Ferrovia Joint Venture (AFJV)																									
10038_IA3_01	A45	The Planning Secretary must be notified in writing via the Major Projects website within seven (7) days after the Proponent becomes aware of any non-compliance with the conditions of this approval.	Non-Compliant	<p>The Construction Environmental Management Plan states the notification requirements between parties (Sydney Metro, AFJV and the Planning Secretary) associated with non-compliances / breaches of environmental requirements when identified during incident investigation, audits or through a complaint investigation. Upon identification of a potential non-compliance, an investigation is initially undertaken by the Delivery Contractor to confirm if the occurrence qualifies as a non-compliance. Once a non-compliance is confirmed as having occurred, the Delivery Contractor notifies Sydney Metro, at which time Sydney Metro advised that the seven (7) day notification period to DPE commences.</p> <p>Review of the Phase B (Central Tunnelling Package) and Phase F (Western Tunnelling Package) Non-Compliances_SAI360 extract report, Environmental Incident and Non-compliance Notification Reports and DPE lodgment confirmation email from Sydney Metro for all non-compliances identified by the Project within the audit period, observed delays exceeding the seven (7) day notification period in notifying DPE of the following three (3) non-compliances identified for Phase B:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Non-compliance Number</th> <th>Date of Non-compliance</th> <th>Date Sydney Metro was notified by AFJV</th> <th>Date lodged per DPE lodgment confirmation</th> <th>Submitted within 7-day notification period</th> </tr> </thead> <tbody> <tr> <td>EVT-0001559</td> <td>19/01/2023</td> <td>08/02/2023</td> <td>22/02/2023</td> <td>No</td> </tr> <tr> <td>EVT-0001562</td> <td>17/02/2023</td> <td>20/02/2023</td> <td>02/03/2023</td> <td>No</td> </tr> <tr> <td>EVT-0001652</td> <td>20/05/2023</td> <td>26/05/2023</td> <td>09/06/2023</td> <td>No</td> </tr> </tbody> </table>	Non-compliance Number	Date of Non-compliance	Date Sydney Metro was notified by AFJV	Date lodged per DPE lodgment confirmation	Submitted within 7-day notification period	EVT-0001559	19/01/2023	08/02/2023	22/02/2023	No	EVT-0001562	17/02/2023	20/02/2023	02/03/2023	No	EVT-0001652	20/05/2023	26/05/2023	09/06/2023	No	<ul style="list-style-type: none"> Review existing processes and communication methods to improve investigation timeframes for any potential non-compliances identified for the project and ensure that DPE is notified within the required seven (7) day period once an occurrence has been confirmed as a non-compliance and Sydney Metro has been informed accordingly. Review the existing non-compliance report (NCR) form to include additional fields to allow for further detail, including: <ul style="list-style-type: none"> The date when Sydney Metro was notified of the non-compliance by AFJV. Status to confirm if the NCR is submitted within the notification deadline.
Non-compliance Number	Date of Non-compliance	Date Sydney Metro was notified by AFJV	Date lodged per DPE lodgment confirmation	Submitted within 7-day notification period																					
EVT-0001559	19/01/2023	08/02/2023	22/02/2023	No																					
EVT-0001562	17/02/2023	20/02/2023	02/03/2023	No																					
EVT-0001652	20/05/2023	26/05/2023	09/06/2023	No																					

Item	CoA	Requirement	Type	Finding/Observation	Recommendation
Phase F: Western Tunnelling Package – Gamuda Laing O’Rourke (GLC)					
10038_IA3_02	D77	An Unexpected Contaminated Land and Asbestos Finds Procedure must be prepared before the commencement of construction and must be followed should unexpected contaminated land or asbestos (or suspected contaminated land or asbestos) be excavated or otherwise discovered during construction.	Observation	<p>A <i>Soil and Water Management Plan (SWMP)</i> has been prepared and is being implemented for the Phase F works. Assessment of the SWMP during the Independent Audit observed that it includes an Unexpected Contaminated Land and Asbestos Finds Procedure as Attachment 4.</p> <p>Based on testing of this documentation, the Auditor notes that the Unexpected Contaminated Land and Asbestos Finds Procedure within the SWMP does not include procedures for notifying regulatory authorities in the event of unexpected finds. Furthermore, it does not prescribe regulatory authority notifications as required by regulatory instruments and guidelines including, for example, in the event of redevelopment of former service station sites and unexpected finds of abandoned underground storage tanks (USTs).</p>	GLC and Sydney Metro consider updating the SWMP to include a defined process for notification of regulatory authorities inclusive of stakeholder touch points from GLC, Sydney Metro, Environmental Representatives (ER) and regulatory authorities.

Table 3.3: Self-Reported Non-Compliant findings for the audit period

Item	CoA	Requirement	Type	Finding/Observation	Status
Phase B: Central Tunnelling Package – Acciona Ferrovia Joint Venture (AFJV)					
10038_IA3_03	A45	The Planning Secretary must be notified in writing via the Major Projects website within seven (7) days after the Proponent becomes aware of any non-compliance with the conditions of this approval	Non-compliant	<p>Non-compliance number: EVT-0001652</p> <p>Date of Non-compliance: 20/05/2023</p> <p>Site: Phase B1: AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p>	Closed
10038_IA3_04	D37	<p>Variation to Work Hours</p> <p>Notwithstanding Conditions D35 and D36 of this schedule work may be undertaken outside the hours specified in the following circumstances:</p> <p>a) Safety and Emergencies, including:</p> <p>I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>II. 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.</p> <p>On becoming aware of the need for emergency work in accordance with (a)(ii) above, the AA, the ER, the Planning Secretary and the EPA must be notified of the reasons for such work. The Proponent must use best endeavours to notify as soon as practicable all noise and/or vibration</p>	Non-compliant	<p>Description of Non-compliance: Following a noise complaint for works a on Saturday morning (complaint ID #4710) an investigation was conducted. It was concluded that spoil haulage activities including loading of a truck were conducted outside the acoustic shed prior to 8am on a Saturday that were not approved under any pathway such as D37(b) Low Noise Impact Works.</p> <p>This non-compliance triggered two CoAs as the NCR was submitted outside the required 7-day period due to extended investigation to confirm what was the noise source of the complaint in accordance with CoA A45.</p> <p>Refer to 10038_IA3_01 in Table 3.2 for further information.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>affected sensitive land user(s) of the likely impact and duration of those work.</p> <p>b) Low noise impact work, including:</p> <p>I. construction that causes LAeq(15 minute) noise levels:</p> <ul style="list-style-type: none"> • no more than 5 dB(A) above the rating background level at any residence in accordance with the ICNG, and • no more than the 'Noise affected' NMLs specified in Table 3 of the ICNG at other sensitive land user(s); and <p>II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or</p> <p>III. construction that causes:</p> <ul style="list-style-type: none"> • continuous or impulsive vibration values, measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), or • intermittent vibration values measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006). <p>c) By Approval, including:</p> <p>where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or</p> <p>II. works which are not subject to an EPL that are approved under an Out-of-Hours Work Protocol as required by Condition D38 of this schedule; or</p> <p>III. negotiated agreements with directly affected residents and sensitive land user(s).</p> <p>d) By Prescribed Activity, including:</p> <p>I. tunnelling (excluding cut and cover tunnelling and surface works) are permitted 24 hours a day, seven days a week; or</p> <p>II. concrete batching at the Clyde construction site is permitted 24 hours a day, seven days a week; or</p> <p>III. delivery of material that is required to be delivered outside of standard construction hours in Condition D35 of this schedule to directly support tunnelling activities, except between the hours 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>IV. haulage of spoil except between the hours of 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than</p>			

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>directly from Parramatta Road; or</p> <p>V. work within an acoustic shed where there is no exceedance of noise levels under low noise impact work circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary.</p> <p>Note: Tunnelling does not include station box excavation.</p>			
10038_IA3_05	C1	<p>Construction Environmental Management Plans (CEMPs) and CEMP Sub-plans must be prepared in accordance with the Construction Environmental Management Framework (CEMF) included in the documents listed in Condition A1 of this schedule to detail how the performance outcomes, commitments and mitigation measures specified in the documents listed in Condition A1 of this schedule will be implemented and achieved during construction</p>	Non-compliant	<p>Non-compliance number: EVT-0001559</p> <p>Date of Non-compliance: 19/01/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: During the ER inspection undertaken on Thursday the 19th of Jan, it was noted that percussion drilling was being undertaken during the hour of respite period. In accordance with the project Noise and Vibration management plan (NVMP), specifically Management Measure MMNV19 in Table 9-1, which states that "high noise-generating activities...will be carried out in blocks that do not exceed three hours each, with a</p> <p>To determine if percussion drilling during the respite period exceeds the daytime NML of 75dB as outlined in the ICNG, a trial was undertaken on the 02/02/2023 at 08:00am. To ensure a similar scenario was replicated, it was agreed with the other works would commence 10 minutes later at 8:10am, providing a 10-minute window to undertake attended noise monitoring at the closest receiver located at Loftus Street, for the duration of percussion drilling. Having undertaken the attended noise monitoring it was confirmed that the noise levels were below the daytime NML, with the monitoring demonstrating 60.2dB at the closest receiver as outlined in appendix A, which was sent to the AA, ER and Metro on the 03/02/2023 for information and clarification on the position that percussion drilling does not exceed day the day time NML. Due to this noise result, AFJV has demonstrated compliance with D36 showing that the impact does not exceed the high noise threshold.</p> <p>Condition of Approval D36 requires respite for Highly Noise Intensive Work (only) if it results in an exceedance of the applicable NML (whereas MMNV19 does not include reference to an NML).</p>	Closed
10038_IA3_06	C10	<p>Construction must not commence until the CEMP and all CEMP Sub-plans have been approved by the Planning Secretary or endorsed by the ER (whichever is applicable), unless otherwise agreed by the Planning Secretary. The CEMP and CEMP Sub-plans, as approved by the Planning Secretary or endorsed by the ER (whichever is applicable), including any minor amendments approved by the ER, must be implemented for the duration of construction. Where construction of Stage 1 of the CSSI is phased, construction of a phase must not commence until the CEMP and CEMP Sub-plans for that phase have been approved by the Planning Secretary or endorsed by the ER upon nomination by the Planning Secretary (whichever is applicable).</p>	Non-compliant	<p>Non-compliance number: EVT-0001734</p> <p>Date of Non-compliance: 14/08/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: On the night of Monday 31 July 2023 oversized plant were delivered to the North Strathfield site under out of hours work permit 133. The out of hours work (OOHW) was justified under condition of approval D37. The delivery was included in the CTP OOHW register and calendar. Community notification had been issued to the nearby sensitive receivers regarding the work. During assessment of the previous OOHW permits on</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
				<p>14 August 2023, AFJV discovered the work was carried out under OOHW permit 133 which had expired and did not reflect the task undertaken on the night. The expiry date in the OOHW register was incorrect for OOHW permit 133 which lead to work being planned under this permit.</p> <p>This non-compliance relates to out of hours work being undertaken without the required OOHW permit in place as per the CTP Noise and Vibration Management Plan. A complaint was received by a resident on Queens Road who did not receive notification due to them moving into the property on the weekend prior to the work.</p> <p>The AFJV community team has responded to the resident to their satisfaction. The missed notification is not considered a non-compliance due to the notifications being distributed and this resident was not a tenant at time of the distribution.</p>	
10038_IA3_07	D37	<p>Variation to Work Hours</p> <p>Notwithstanding Conditions D35 and D36 of this schedule work may be undertaken outside the hours specified in the following circumstances:</p> <p>a) Safety and Emergencies, including:</p> <p>I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>II. 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.</p> <p>On becoming aware of the need for emergency work in accordance with (a)(ii) above, the AA, the ER, the Planning Secretary and the EPA must be notified of the reasons for such work. The Proponent must use best endeavours to notify as soon as practicable all noise and/or vibration affected sensitive land user(s) of the likely impact and duration of those work.</p> <p>b) Low noise impact work, including:</p> <p>I. construction that causes LAeq(15 minute) noise levels:</p>	Non-compliant	<p>Non-compliance number: EVT-0001562</p> <p>Date of Non-compliance: 17/02/2023</p> <p>Site: Phase B1 - AFJV - The Bays</p> <p>Non-Compliance type: Management Systems</p> <p>Description of Non-compliance: A road plate in place for the Tunnel Boring Machine had a bolt loose requiring the road plate to be urgently secured for the ongoing safety of road users.</p> <p>Traffic control was established at 8:30pm, with workers securing the plate with 3 additional bolts using a rattle gun. Works were completed by 10:00pm.</p> <p>As the works were short in nature and completed prior to 10:00pm, the site team did not identify the need to implement any corrective actions.</p>	Closed
10038_IA3_08		<p>• no more than 5 dB(A) above the rating background level at any residence in accordance with the ICNG, and</p> <p>• no more than the 'Noise affected' NMLs specified in Table 3 of the ICNG at other sensitive land user(s); and</p> <p>II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or</p> <p>III. construction that causes:</p> <p>• continuous or impulsive vibration values, measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), or</p> <p>• intermittent vibration values measured at the most affected residence</p>	Non-compliant	<p>Non-compliance number: EVT-0001619</p> <p>Date of Non-compliance: 18/05/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: A trial of the ventilation fans placed at the bottom of the shaft excavation was conducted to determine the noise levels. Noise monitoring was conducted to determine the noise levels of the fans. It was found that despite the silencers, the noise caused by the fans was above NML and being operated at night for the trial. The trial was conducted to obtain noise monitoring at a time when background levels were representative of night time impacts.</p> <p>The environmental manager and project manager were notified via email with the results.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		are no more than the preferred values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006). c) By Approval, including:		The environmental manager advised the site team to discontinue use of the fans until further mitigation was installed and shown to be compliant on 7/06/23.	
10038_IA3_09		where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or II. works which are not subject to an EPL that are approved under an Out-of-Hours Work Protocol as required by Condition D38 of this schedule; or III. negotiated agreements with directly affected residents and sensitive land user(s). d) By Prescribed Activity, including: I. tunnelling (excluding cut and cover tunnelling and surface works) are permitted 24 hours a day, seven days a week; or II. concrete batching at the Clyde construction site is permitted 24 hours a day, seven days a week; or III. delivery of material that is required to be delivered outside of standard construction hours in Condition D35 of this schedule to directly support tunnelling activities, except between the hours 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or IV. haulage of spoil except between the hours of 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or V. work within an acoustic shed where there is no exceedance of noise levels under low noise impact work circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary. Note: Tunnelling does not include station box excavation	Non-compliant	Non-compliance number: EVT-0001653 Date of Non-compliance: 6/06/2023 Site: Phase B1 - AFJV - Five Dock Non-Compliance type: Noise and Vibration Description of Non-compliance: AFJV received an email from the Acoustics Advisor at 4:24pm on Friday afternoon 19 May and described his observations as 'potential' non-compliance. AFJV required time to investigate the allegation which was discussed at the enviro meeting 22/5/23 with Metro, the AA and the ER. After reviewing the available information AFJV moved forward with an NCR as Tuesday 23 May. During the night shift on the 18th of May, the night shift supervisor moved an excavator to allow for a safer tipping of the excavated material. During the excavator movement, a safety hazard regarding the stability of the stockpile was identified and resulted in the excavator reshaping the stockpile to remove the risk. The reshaping of the stockpile was over a duration of 30-40 minutes around 10:30pm. Contact was made with the night shift supervisor, and he was informed the activity of the excavator outside the acoustic shed was in breach the night works requirements. Works where immediately ceased after the excavator was removed from the haulage path and the stockpile area was made safe.	Closed
10038_IA3_10	D43	Detailed Noise and Vibration Impact Statements (DNVIS) must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified in Conditions D39 and D40 of this schedule at any residence outside construction hours identified in Condition D35 of this schedule, or where receivers will be highly noise affected. The DNVIS must include specific mitigation measures identified through consultation with affected sensitive land user(s) and the mitigation measures must be implemented for the duration of the works. A copy of the DNVIS must be provided to the AA and ER before the commencement of the associated	Non-compliant	Non-compliance number: EVT-0001599 Date of Non-compliance: 20/02/2023 Site: Phase B1 - AFJV - Five Dock Non-Compliance type: Management Systems Description of Non-compliance: The Environmental Impact Statement for Stage 1 of SMW assessed the impacts of a 20-week period where the station box for the Five Dock station would be excavated without an acoustic shed in place. The assessment covered three specific	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		works. The Planning Secretary and the EPA may request a copy(is) of the DNVIS.		<p>work scenarios being mucking out, excavation through soft soil and rock, and excavation through rock using a rock breaker over a total period of 20 weeks.</p> <p>Condition D43 of approval SSI 10038 requires that a Detail Noise and Vibration Impact Statement (DNVIS) be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified within the conditions of approval at any residence where works are to be completed outside construction hours, or where receivers will be highly noise affected.</p> <p>A DNVIS for Five Dock was approved by the Acoustic Advisor (AA) on 4 July 2022 (Revision 5). The DNVIS modelled impacts associated with excavation of the station box at Five Dock within an acoustic shed. This version did not contemplate any impacts associated with the station box excavation without the acoustic shed in place.</p> <p>On approximately 20 Feb 2023, AFJV commenced initial shaft excavation without a shed in place but did not update the DNVIS to reflect that this activity had commenced. As such, this meant the DNVIS did not include modelling to assess the activity of station box excavation without a shed in place, being an activity that may exceed the NML. Additionally, a version of the DNVIS covering this scenario was not provided to the AA and ER before it commenced.</p> <p>Despite that the modelling in the DNVIS omitted scenarios where the shed is not in place, AFJV have applied management measures to control and mitigate the noise and vibration impacts of excavation activities that are considered appropriate for the impacts that occur without the shed since the commencement of the activity.</p> <p>The measures involve providing 1 hour of respite for every continuous 3 hours of activity over the NML and other mitigation strategies defined in Table 7-1 of the DNVIS. Furthermore, section 7.1.3 identifies the maximum required additional mitigation measures for the community for works carried out during daytime hours, which were also applied throughout the excavation activities.</p>	
10038_IA3_11			Non-compliant	<p>Non-compliance number: EVT-0001655</p> <p>Date of Non-compliance: 13/06/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: Review of the Burwood North DNVIS Rev 8 identified that impacts from excavation works in the eastern station box being carried out during standard construction hours without an acoustic lid were not specifically assessed in the DNVIS. A typing error in the document indicated that the eastern shaft daytime impacts were modelled without the mitigation of the acoustic lid in place. Further investigation of the document with the noise consultant confirmed this section assessed the southern shaft as opposed to how the section was labelled.</p> <p>Noise modelling for an addendum to DNVIS Rev 8 showed that no additional impact to the surrounding community during standard construction hours occurred from the works when compared to what was assessed in DNVIS Rev 8</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
10038_IA3_12	D80	Access to all utilities and properties must be maintained during works, unless otherwise agreed with the relevant utility owner, landowner or occupier.	Non-compliant	<p>Non-compliance number: EVT-0001656</p> <p>Date of Non-compliance: 16/06/2023</p>	Closed
10038_IA3_13	D90	<p>Construction Parking and Access Management</p> <p>Vehicles associated with the project workforce (including light vehicles and Heavy Vehicles) must be managed to:</p> <p>a) minimise parking on public roads;</p> <p>b) minimise idling and queueing on state and regional roads;</p> <p>c) not carry out marshalling of construction vehicles near sensitive land user(s);</p> <p>d) not block or disrupt access across pedestrian or shared user paths at any time unless alternate access is provided; and</p> <p>e) ensure spoil haulage vehicles adhere to the nominated haulage routes identified in the CTMPs.</p>	Non-compliant	<p>Site: Phase B1 - AFJV - Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 16 June 2023, a community complaint was received alleging trucks were parking illegally on Great North Road near Longview Street. The complainant said they had observed a truck stopping in a bus stop zone and other locations. The complainant did not have a record of registration numbers, company name/s of number of trucks.</p> <p>The claims were investigated and it was observed that trucks associated with haulage at the Five Dock construction site had stopped on the side of Great North Road after turning off Parramatta Road. Some trucks were observed to have stopped in front of driveways for a short duration. Great North Road is part of the approved haul route in the Five Dock Construction Traffic Management Plan.</p>	Closed
10038_IA3_14	D90	<p>Construction Parking and Access Management</p> <p>Vehicles associated with the project workforce (including light vehicles and Heavy Vehicles) must be managed to:</p> <p>a) minimise parking on public roads;</p> <p>b) minimise idling and queueing on state and regional roads;</p> <p>c) not carry out marshalling of construction vehicles near sensitive land user(s);</p> <p>d) not block or disrupt access across pedestrian or shared user paths at any time unless alternate access is provided; and</p> <p>e) ensure spoil haulage vehicles adhere to the nominated haulage routes identified in the CTMPs.</p>	Non-compliant	<p>Non-compliance number: EVT-0001732</p> <p>Date of Non-compliance: 23/08/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 22 August 2023, a verbal complaint was received by the AFJV employee. The resident said they had lodged a complaint via email to Sydney Metro West on 5 August 2023. AFJV employee raised this complaint internally and it was identified that the complaint hadn't been communicated by Metro to AFJV and subsequently requested a copy of the emailed complaint from Sydney Metro on the 22 August 2023.</p> <p>The non-conformance is that Lansdowne Street and Broughton Street are not part of the approved haul route in the Burwood North Construction Traffic Management Plan.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
10038_IA3_15			Non-compliant	<p>Non-compliance number: EVT-0001733</p> <p>Date of Non-compliance: 18/08/2023</p> <p>Site: Phase B1 - AFJV - Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Five Dock Construction Traffic Management Plan (CTMP) Rev 8 was the approved revision of the CTMP for Five Dock during May 2023. This version of the CTMP permitted 12 heavy vehicle movements (six (6) trucks) per hour at Five Dock west site between 7am and 10am (AM peak hour); and 4pm and 6pm (PM peak hour).</p> <p>On 3-5, 8-9, 15-16, 22-24, 26 and 30 May 2023 truck movements at Five Dock West exceeded the CTMP numbers during peak hours in the approved CTMP. The maximum exceedance of trucks per hour was eight (8) trucks during a single hour period during peak hours.</p>	Open
10038_IA3_16			Non-compliant	<p>Non-compliance number: EVT-0001731</p> <p>Date of Non-compliance: 10/08/2023</p> <p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 10 August 2023 at 11:50am a truck was sighted travelling southward on Park Road, Five Dock. This was witnessed during an ER inspection and the traffic warden also identified the driver on an unapproved haul route. This section of Park Road is not part of the approved haul route in the Five Dock Construction Traffic Management Plan.</p>	Closed
10038_IA3_17			Non-compliant	<p>Non-compliance number: EVT-0001681</p> <p>Date of Non-compliance: 21/07/2023</p> <p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Three spoil haulage trucks from FDK (truck contractor) were identified off the approved haul route. One used the incorrect haul route travelling down Harris St and two trucks were observed to be parked on First Ave.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
10038_IA3_18			Non-compliant	<p>Non-compliance number: EVT-0001657</p> <p>Date of Non-compliance: 23/06/2023</p> <p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 23 June 2023 at 11:38am a community complaint was received alleging trucks were parking on First Avenue, Five Dock, outside Domremy College. A photograph provided via email showed three parked trucks.</p> <p>This section of First Avenue is not part of the approved haul route in the Five Dock Construction Traffic Management Plan.</p>	Closed
10038_IA3_19			Non-Compliant	<p>Non-compliance number: EVT-0001581</p> <p>Date of Non-compliance: 23/03/2023</p> <p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: A truck driver from Mulgoa parked/ marshalled in front of resident’s home along First Avenue which is an un-approved haul route. The resident informed the AFJV community team at 7:11am.</p> <p>Mulgoa stated that the driver misread the start time and decided to park on a local road.</p> <p>On 23 March 2023 the Driver from Mulgoa was informed to not marshal or park in residential areas, and to time their entry to site to avoid unnecessary looping and parking/ marshalling. Additionally, a copy of the VMPS’s for FDK West and East was sent to Mulgoa on 23 March 2023 as a reminder, which detailed the approved haulage routes.</p>	Closed
10038_IA3_20			Non-compliant	<p>Non-compliance number: EVT-0001561</p> <p>Date of Non-compliance: 17/02/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Spoil haulage trucks booked for spoil disposal from Burwood North and South used a haul route that was not approved for project haulage.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
10038_IA3_21	D25	<p>Excavation and Archaeology</p> <p>Before the commencement of any excavation at Parramatta and The Bays metro station construction sites, a revised Archaeological Research Design and Excavation Methodology(s) must be prepared in accordance with Heritage Council of NSW guidelines and with reference to the detailed design of Stage 1 construction of the CSSI to guide archaeological excavation. The revised Archaeological Research Design and Excavation Methodology(s) must be prepared by the Excavation Director (approved under Condition D27 below) and must include:</p> <p>a) site specific research for the Parramatta and The Bays metro station construction sites which is conducted by a professional historian to clearly articulate the historical development of the allotments to assist with the reassessment of potential and significance;</p> <p>b) comparative analysis from archaeological investigations in Parramatta (including theses, publications and grey literature reports);</p> <p>c) preparation of research questions based on the additional site- specific research required by this condition, and relevant research agendas from previously excavated early historical occupation in Parramatta including recovered artefact assemblages; and</p> <p>d) a reconsideration of archaeological methods to manage the sites based on this additional assessment.</p> <p>The revised Archaeological Research Design and Excavation Methodology(s) must apply to both Parramatta and The Bays metro station construction sites and be prepared in consultation with Heritage NSW and Place Management NSW (in respect of The Bays) and submitted to the Planning Secretary for approval.</p> <p>The revised Archaeological Research Design and Excavation Methodology(s) must be implemented throughout the archaeological excavation programs.</p> <p>Note: Nothing in these conditions prevents the Archaeological Research Design and Excavation Methodology to be separate procedures.</p>	Non-compliant	<p>Non-compliance number: EVT-0001671</p> <p>Date of Non-compliance: 29/06/2023</p> <p>Site: Phase B1 - AFJV – The Bays</p> <p>Non-Compliance type: Heritage</p> <p>Description of Non-compliance: Site establishment works at the Bays site for the ETP works under Stage 2 of Sydney Metro West has penetrated areas of archaeological potential as described in the Bays Archaeological Research Design and Excavation Methodology (ARDEM) (Artefact 2021) produced in accordance with Condition D25 of SSI - 10038.</p> <p>While the CTP works under Stage 1 of Sydney Metro West has involved the implementation of the ARDEM in these areas, the only area of potential which has been given Heritage clearance by the Excavation Director is the station box footprint. Other areas such as the roundhouse and the reclamation fill were subject to archaeological excavation activities, however these activities were not extensive enough to provide clearance.</p> <p>A portion of the Bays site containing uncleared areas of archaeological potential was handed to the ETP contractor between 12/05/23 and 10/06/23, after which JCG commenced site establishment works. However, Sydney Metro had not made it clear to JCG that these areas of potential remained onsite and therefore JCG did not identify that the Bays ARDEM was required to be implemented. As a result, limited shallow excavation has occurred within areas of archaeological potential at the Bays site prior to the development of Work Method Statements in accordance with Section 7.2 of the Bays Archaeological Research Design and Excavation Methodology (ARDEM) (Artefact 2021).</p> <p>JCG has implemented their Unexpected Finds Procedure for all excavation activities, and in only one instance was Heritage uncovered as shown in the accompanying Unexpected Heritage Find Recording Form on 30/06/23.</p>	Closed
10038_IA3_22	D91	<p>A Construction Parking and Access Strategy must be prepared to identify and mitigate impacts resulting from on- and off-street parking changes during construction. The Construction Parking and Access Strategy must include, but not necessarily be limited to:</p> <p>a) achieving the requirements of Condition D90 above;</p> <p>b) confirmation and timing of the removal of on- and off-street parking associated with construction of Stage 1 of the CSSI;</p> <p>c) parking surveys of all parking spaces to be removed or occupied by the project workforce to determine current demand during peak, off-peak, school drop off and pickup, weekend periods and during special events;</p>	Non-compliant	<p>Non-compliance number: EVT-0001525</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Project Wide</p> <p>Non-Compliance type: Heritage</p> <p>Description of Non-compliance: Six monthly CPAS monitoring report was not submitted on time.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>d) consultation with affected stakeholders utilising existing on- and off-street parking stock which will be impacted as a result of construction;</p> <p>e) assessment of the impacts to on- and off-street parking stock taking into consideration, occupation by the project workforce, outcomes of consultation with affected stakeholders and considering the impacts of special events;</p> <p>f) identification of reasonable and practicable mitigation measures to manage impacts to stakeholders as a result of on- and off- street parking changes including, but not necessarily limited to, staged removal and replacement of parking, provision of alternative parking arrangements, managed staff parking arrangements and working with relevant council(s) to introduce parking restrictions adjacent to work sites and compounds or appropriate residential parking schemes;</p> <p>g) where residential parking schemes already exist, off-road parking facilities must be provided for the project workforce;</p> <p>h) mechanisms for monitoring, over appropriate intervals (not less than 6 months), to determine the effectiveness of implemented mitigation measures;</p> <p>i) details of shuttle bus service(s) to transport the project workforce to construction sites from public transport hubs and off-site car parking facilities (where these are provided) and between construction sites;</p> <p>j) provision of contingency measures should the results of mitigation or monitoring indicate implemented measures are ineffective; and</p> <p>k) provision of reporting of monitoring results to the Planning Secretary and Relevant Council(s) at six (6) monthly intervals.</p>			
Phase F: Western Tunnelling Package – Gamuda Laing O’Rourke (GLC)					
10038_IA3_23	D118	<p>Unless an EPL is in force in respect to Stage 1 of the CSSI and that licence specifies alternative criteria, discharges from wastewater treatment plants to surface waters must not exceed:</p> <p>a) the Australian and New Zealand Guidelines for Fresh and Marine Water Quality 2018 (ANZG (2018)) default guideline values for toxicants at the 95 per cent species protection level;</p> <p>b) for physical and chemical stressors, the guideline values set out in Tables 3.3.2 and 3.3.3 of the Australian and New Zealand Guidelines for Fresh and Marine Water Quality 2000 (ANZECC/ARMCANZ); and</p> <p>c) for bio accumulative and persistent toxicants, the ANZG (2018) guidelines values at a minimum of 99 per cent species protection level.</p> <p>Where the ANZG (2018) does not provide a default guideline value for a particular pollutant, the approaches set out in the ANZG (2018) for deriving guideline values, using interim guideline values and/or using other lines of</p>	Non-compliant	<p>Non-compliance number: EVT-0001686</p> <p>Date of Non-compliance: 31/07/2023</p> <p>Site: Phase F - Gamuda - Clyde MSF</p> <p>Non-Compliance type: Soil and Water</p> <p>Description of Non-compliance: Although an EPL is in force on the project and recycled water complied with the Point 4 discharge criteria, it was not released at the Point 4 discharge point. Therefore, the water would have to comply with D118, specifically D118(a) which references the ANZG (2018) criteria. The release of water did comply with D118(a) however at high pressure onto embankment caused sediment to be brought into solution and therefore the water that the environment received would not likely comply with ANZG (2018) turbidity criteria.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		evidence such as international scientific literature or water quality guidelines from other countries, must be used.			
10038_IA3_24	D43	Detailed Noise and Vibration Impact Statements (DNVIS) must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified in Conditions D39 and D40 of this schedule at any residence outside construction hours identified in Condition D35 of this schedule, or where receivers will be highly noise affected. The DNVIS must include specific mitigation measures identified through consultation with affected sensitive land user(s) and the mitigation measures must be implemented for the duration of the works. A copy of the DNVIS must be provided to the AA and ER before the commencement of the associated works. The Planning Secretary and the EPA may request a copy(is) of the DNVIS.	Non-compliant	<p>Non-compliance number: EVT-0001664</p> <p>Date of Non-compliance: 04/07/2023</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Community, Stakeholder and Business</p> <p>Description of Non-compliance: During the evening of Tuesday 3rd July 2023, construction works were being completed outside of standard construction hours to facilitate tunnel support activities and the installation of cladding on the acoustic shed.</p> <p>To support these works, an activity-specific Detailed Noise and Vibration Statement (DNVIS) was prepared and endorsed by the Project's independent Acoustic Advisor (AA). This DNVIS was prepared in accordance with the Project's Noise and Vibration Management Plan and Minister's Conditions of Approval (MCoAs) D43.</p> <p>At ~9:30am on Wednesday 4th July 2023, the Community Hotline received a complaint for noise from works being completed at the Westmead site in the evening-time period (i.e. 6:00pm – 10:00pm) on Tuesday 3rd July 2023. On investigation of this complaint it was confirmed that the complainant was not eligible for an offer of respite for the works undertaken</p> <p>However, in review the list of respite offers made, it was identified that there was a discrepancy in offers of respite made against the list of respite offers provided to the AA as part of his review of the DNVIS.</p> <p>It has been concluded that this is a non-compliance with MCoA D43 (Detailed Noise & Vibration Impact Statements).</p> <p>As noted above, while the non-compliance was identified through the investigation of a complaint, the complaint has not resulted from this non-compliance as the complainant was not eligible for a respite offer given the predicted impact for these works did not exceed 10db during the evening period.</p> <p>No environmental harm was generated as a result of this non-compliance.</p>	Closed
10038_IA3_25	A1	The Proponent must carry out Stage 1 of the CSSI in accordance with the conditions of this approval and generally in accordance with the: (a) Sydney Metro West – Westmead to The Bays and Sydney CBD Environmental Impact Statement dated 15 April 2020. (b) Sydney Metro West – Westmead to The Bays and Sydney CBD Submissions Report dated 20 November 2020.	Non-compliant	<p>Non-compliance number: EVT-0001552</p> <p>Date of Non-compliance: 20/02/2023</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Noise and Vibration</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>(c) Sydney Metro West – Westmead to The Bays and Sydney CBD Amendment Report dated 20 November 2020.</p> <p>(d) Sydney Metro West – Westmead to The Bays and Sydney CBD Modification Request Letter dated 21 June 2021.</p> <p>(e) Sydney Metro West – Clyde stabling and maintenance facility Modification Report dated November 2021; and</p> <p>(f) Sydney Metro West – Concept and Stage 1 – Modification 2 Clyde stabling and maintenance facility (SSI-10038-Mod-2): Response to submissions dated 21 March 2022; and</p> <p>(g) Sydney Metro West – Concept and Stage 1 – Modification 3 Administrative Mod dated May 2022.</p>		<p>Description of Non-compliance: During the evening of the 20th February 2023, the GLC Senior Environment Advisor was advised that a concrete pour, supporting capping beam works, continued outside of standard construction hours.</p> <p>The concreting activities were being undertaken without an approved out of hours permit. This is a non-compliance with Section 6.4.3 of the Project’s Noise and Vibration Management Plan and therefore also under Ministers Conditions of Approval (MCoA) D35 and D37(c)(i).</p> <p>Works included:</p> <p>(a) Arrival on-site and discharge from one (1) concrete agitator via concrete pump into sections of the capping beam; and</p> <p>(b) Washout of the one (1) concrete agitator into the designated concrete washout prior to leaving site by 6:50pm.</p>	
10038_IA3_26	D35	<p>Construction Hours Work must only be undertaken during the following hours:</p> <p>a) 7:00am to 6:00pm Mondays to Fridays, inclusive;</p> <p>b) 8:00am to 6:00pm Saturdays; and</p> <p>c) at no time on Sundays or public holidays.</p>	Non-compliant	<p>GLC Environment Advisor was monitoring the works at the time of the event and works were audible at the closest receiver.</p> <p>No environmental harm or complaints were generated as a result of this non-compliance.</p>	Closed
10038_IA3_27	D37	<p>Variation to Work Hours Notwithstanding Conditions D35 and D36 of this schedule work may be undertaken outside the hours specified in the following circumstances:</p> <p>a) Safety and Emergencies, including:</p> <p>I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>II. 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.</p> <p>On becoming aware of the need for emergency work in accordance with (a)(ii) above, the AA, the ER, the Planning Secretary and the EPA must be notified of the reasons for such work. The Proponent must use best endeavours to notify as soon as practicable all noise and/or vibration affected sensitive land user(s) of the likely impact and duration of those work.</p> <p>b) Low noise impact work, including:</p> <p>I. construction that causes LAeq(15 minute) noise levels:</p> <ul style="list-style-type: none"> • no more than 5 dB(A) above the rating background level at any residence in accordance with the ICNG, and • no more than the ‘Noise affected’ NMLs specified in Table 3 of the ICNG at other sensitive land user(s); and 	Non-compliant		Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or</p> <p>III. construction that causes:</p> <ul style="list-style-type: none"> • continuous or impulsive vibration values, measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), or • intermittent vibration values measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006). <p>c) By Approval, including:</p> <p>where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or</p> <p>II. works which are not subject to an EPL that are approved under an Out-of-Hours Work Protocol as required by Condition D38 of this schedule; or</p> <p>III. negotiated agreements with directly affected residents and sensitive land user(s).</p> <p>d) By Prescribed Activity, including:</p> <p>I. tunnelling (excluding cut and cover tunnelling and surface works) are permitted 24 hours a day, seven days a week; or</p> <p>II. concrete batching at the Clyde construction site is permitted 24 hours a day, seven days a week; or</p> <p>III. delivery of material that is required to be delivered outside of standard construction hours in Condition D35 of this schedule to directly support tunnelling activities, except between the hours 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>IV. haulage of spoil except between the hours of 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>V. work within an acoustic shed where there is no exceedance of noise levels under low noise impact work circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary.</p> <p>Note: Tunnelling does not include station box excavation</p>			

Item	CoA	Requirement	Type	Finding/Observation	Status
10038_IA3_28	A1	<p>The Proponent must carry out Stage 1 of the CSSI in accordance with the conditions of this approval and generally in accordance with the:</p> <p>(a) Sydney Metro West – Westmead to The Bays and Sydney CBD Environmental Impact Statement dated 15 April 2020.</p> <p>(b) Sydney Metro West – Westmead to The Bays and Sydney CBD Submissions Report dated 20 November 2020.</p> <p>(c) Sydney Metro West – Westmead to The Bays and Sydney CBD Amendment Report dated 20 November 2020.</p> <p>(d) Sydney Metro West – Westmead to The Bays and Sydney CBD Modification Request Letter dated 21 June 2021.</p> <p>(e) Sydney Metro West – Clyde stabling and maintenance facility Modification Report dated November 2021; and</p> <p>(f) Sydney Metro West – Concept and Stage 1 – Modification 2 Clyde stabling and maintenance facility (SSI-10038-Mod-2): Response to submissions dated 21 March 2022; and</p> <p>(g) Sydney Metro West – Concept and Stage 1 – Modification 3 Administrative Mod dated May 2022.</p>	Non-compliant	<p>Non-compliance number: EVT-0001543</p> <p>Date of Non-compliance: 08/02/2023</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Heritage</p> <p>Description of Non-compliance: High Voltage (HV) activities undertaken were inconsistent with approved environmental control map (ECM) which is a non-compliance with Section 8.4 of the Project CEMP. High voltage (HV) utilities works were being undertaken during nightshift on Tuesday 07/02/23 along Park Parade, Westmead.</p> <p>While completing the HV works along Park Parade, a GLC contractor has placed spoil material from the cable trench activities onto the surface of the adjacent park area. When demobilising from the area at end of shift, the spoil material has been recovered, potentially disturbing a small section of the surface in the park area.</p> <p>On Wednesday 08/02/23, while conducting a site inspection, the senior environment advisor discovered that the works had encroached onto Parramatta Park. Parramatta Park is a known heritage area and the senior environment advisor reported that the works conducted the previous night had the potential to impact heritage items/objects within the park.</p> <p>GLC engaged a heritage specialist to investigate the potential heritage impact to Parramatta Park. It was determined that as a result of the localised nature of the disturbance that harm to aboriginal objects was unlikely and no material impact to the State significance of the Parramatta Park and Old Government House listing, as defined by the Materials Threshold Policy.</p>	Closed
10038_IA3_29	D35	<p>Construction Hours Work must only be undertaken during the following hours:</p> <p>a) 7:00am to 6:00pm Mondays to Fridays, inclusive;</p> <p>b) 8:00am to 6:00pm Saturdays; and</p> <p>c) at no time on Sundays or public holidays.</p>	Non-compliant	<p>Non-compliance number: EVT-0001529</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Noise and Vibration</p>	Closed
10038_IA3_30	D37	<p>Variation to Work Hours Notwithstanding Conditions D35 and D36 of this schedule work may be undertaken outside the hours specified in the following circumstances:</p> <p>a) Safety and Emergencies, including:</p> <p>I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>II. 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.</p> <p>On becoming aware of the need for emergency work in accordance with</p>	Non-compliant	<p>Description of Non-compliance: Late in the evening of the 18th January the GLC Senior Environment Advisor was advised that a concrete pour, supporting bored piling works, continued outside of standard construction hours. The concreting activities were being undertaken without an approved out of hours permit. This is a non-compliance with Section 6.4.3 of the Project's Noise and Vibration Management Plan and therefore also under Ministers Conditions of Approval (MCoA) D35, D37(c)(i).</p> <p>Works included:</p> <p>(a) Discharge of concrete from one (1) concrete agitator via tremie pipes into Pile P9 on Piling Pad 9; and</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>(a)(ii) above, the AA, the ER, the Planning Secretary and the EPA must be notified of the reasons for such work. The Proponent must use best endeavours to notify as soon as practicable all noise and/or vibration affected sensitive land user(s) of the likely impact and duration of those work.</p> <p>b) Low noise impact work, including:</p> <p>I. construction that causes LAeq(15 minute) noise levels:</p> <ul style="list-style-type: none"> • no more than 5 dB(A) above the rating background level at any residence in accordance with the ICNG, and • no more than the 'Noise affected' NMLs specified in Table 3 of the ICNG at other sensitive land user(s); and <p>II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or</p> <p>III. construction that causes:</p> <ul style="list-style-type: none"> • continuous or impulsive vibration values, measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), or • intermittent vibration values measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006). <p>c) By Approval, including:</p> <p>where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or</p> <p>II. works which are not subject to an EPL that are approved under an Out-of-Hours Work Protocol as required by Condition D38 of this schedule; or</p> <p>III. negotiated agreements with directly affected residents and sensitive land user(s).</p> <p>d) By Prescribed Activity, including:</p> <p>I. tunnelling (excluding cut and cover tunnelling and surface works) are permitted 24 hours a day, seven days a week; or</p> <p>II. concrete batching at the Clyde construction site is permitted 24 hours a day, seven days a week; or</p> <p>III. delivery of material that is required to be delivered outside of standard construction hours in Condition D35 of this schedule to directly support tunnelling activities, except between the hours 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p>		<p>(b) Consequent washout of the one (1) concrete agitator into the designated concrete washout on Piling Pad 2 prior to it leaving site by 6:40pm.</p> <p>Following the event, the GLC Environment Advisor modelled the concrete activities predicting there would be no exceedance to the Noise Management Level (MNL) with mitigation measures in place (i.e. hoarding). As such, no environmental harm or complaints were generated as a result of this non-compliance.</p>	

Item	CoA	Requirement	Type	Finding/Observation	Status
		<p>IV. haulage of spoil except between the hours of 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>V. work within an acoustic shed where there is no exceedance of noise levels under low noise impact work circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary.</p> <p>Note: Tunnelling does not include station box excavation.</p>			
10038_IA3_31	A31	<p>The Proponent must provide the ER with all documentation requested by the ER in order for the ER to perform their functions specified in Condition A30 of this schedule (including preparation of the ER monthly report), as well as:</p> <ul style="list-style-type: none"> the Complaints Register (to be provided on a weekly basis or as requested); and a copy of any assessment carried out by the Proponent of whether proposed work is consistent with the approval (which must be provided to the ER before the commencement of the subject work). 	Non-compliant	<p>Non-compliance number: EVT-0001575</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Phase F - Gamuda – Westmead, Rosehill, Clyde</p> <p>Non-Compliance type: Management Systems</p> <p>Description of Non-compliance: Works commenced on the Westmead box, geotechnical boreholes in Parramatta Park, NDD for town drain and mangrove pruning prior to copies of the relevant consistency assessments or environmental reviews being provided to the Environmental Representative as is required by MCoA A31 (b).</p>	Closed
10038_IA3_32	B1	<p>Community Communication</p> <p>The Overarching Community Communication Strategy as provided in the documents listed in Condition A1 of this schedule must be implemented for the duration of the work.</p>	Non-compliant	<p>Non-compliance number: EVT-0001701</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Community, Stakeholder and Business</p> <p>Description of Non-compliance: A Westmead resident called the project 1800 number (1800 612 173) to register a noise complaint at 1:46 am on 16 November 2022. At 1:50am the call centre called the GLC hotline number to advise of the complaint but received no response.</p> <p>The call centre continued to call the GLC hotline number until a response was received. The GLC representative responded to the call centre at 4:02am and received a text message confirming the resident's details and reason for the complaint at this time.</p> <p>The GLC representative had inadvertently toggled the hotline phone on to silent mode the previous day without realising and therefore was unaware of the attempted calls being made by the call centre.</p> <p>The GLC representative called the resident at 4:05am with no response. This attempted contact with the complainant occurred two hours and 15 minutes after the initial phone call from the call centre to notify GLC of the complaint. This timeframe is a non-compliance with the 2-hour verbal response time stipulated in the Overarching Community Communication Strategy required under Ministers Condition of Approval B1.</p>	Closed

Item	CoA	Requirement	Type	Finding/Observation	Status
				<p>GLC contacted the resident at 8:50am to acknowledge the complaint and advised that provided information relating to their complaint, monitoring undertaken and mitigation in place. The resident appreciated the information and did not raise any concern about the delay in responding to the complaint.</p> <p>In response to this occurrence, GLC will recommend that Sydney Metro provide the call centre with an alternative GLC contact number as an escalation point in the event they receive no response from the primary GLC hotline number.</p>	
10038_IA3_33	A47		Non-compliant	<p>Non-compliance number: EVT-0001495</p> <p>Date of Non-compliance: 09/11/2022</p> <p>Site: Phase F - Gamuda - Rosehill</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Trucks used for spoil haulage did not have identification according to condition A47.</p>	Closed

3.4 Notices, Orders, Penalty Notices and Prosecutions

Based on the complaints management documentation assessed by the Independent Audit team, as per CoA B5, no formal notices, orders, penalty notices or prosecutions associated with SSI 10038 were issued by the Department or from other regulators (NSW EPA) during the audit period.

3.5 Previous Audit Recommendations

Appendix H presents the non-compliances and observations arising from the second Independent Audit, which was conducted by WolfPeak. Actions to close all findings have been undertaken by Sydney Metro. Sydney Metro's actions in responding to the previous findings, which remained unresolved at the time of finalisation of the preceding Audit Report, were as follows:

- 10038_IA2_02 – Sydney Metro has updated the Phasing Report to include the conditions added to SSI 10038 through modifications. The Phasing report was updated and transmitted through the Portal by January 2023.
- 10038_IA2_04 – Sydney Metro has commenced issuing documentation sent through the Portal to the ER to increase their visibility of the process.
- 10038_IA2_06 – Sydney Metro has considered the letter dated 27/09/2022 from the Department and is reviewing its approach with the contractors to identify documentation that can be uploaded onto the Project websites. This review considered the viability of redacting documents to make them suitable for upload in accordance with condition B11 of SSI 10038.

3.6 Environmental Management Plans, Sub-Plans and Compliance Documents

In accordance with the audit scope, when assessing post-approval documents such as the Construction Environmental Management Plan and Sub-plans, the Independent Audit tested whether these documents align with the CoAs applicable to construction activities, and also whether the documentation has been implemented in accordance with the CoAs for the construction activities.

The audit team also assessed the documents based on whether any non-compliances, associated with implementation of the documents, were identified and whether there were opportunities for improvement.

Refer to Section 3.3 for details of the non-compliances and improvement opportunities identified during the audit.

3.7 Other Relevant Matters

Other than the issues summarised in Sections 3.2 and detailed in Section 3.3, the Independent Audit did not identify any other relevant matters. In addition, other than the issues described in Section 2.2.2, no other matters considered relevant were expressed by the Department.

3.8 Complaints Management

As per the conditions set out in CoA B6, Sydney Metro is required to provide the following to satisfy the requirements of CoA B3, facilitate community enquiries and manage complaints before the commencement of work and for 12 months following the completion of construction:

- a postal address to which written complaints and enquires may be sent;
- 24-hour telephone number for the registration of complaints and enquiries about the CSSI;
- an email address to which electronic complaints and enquiries may be transmitted; and
- a mediation system for complaints unable to be resolved. This information must be accessible to all in the community regardless of age, ethnicity, disability or literacy level.

In addition, as required by CoA B4, Sydney Metro must maintain a Complaints Register to record information on all complaints received with respect to the CSSI during the carrying out of any work and for a minimum of 12 months following the completion of construction. CoA B8 requires the following information to be recorded within the compliance register:

1. Number of complaints received.
2. Date and time of the complaint.
3. Number of people in the household affected in relation to a complaint, if relevant.
4. Method by which the complaint was made.
5. Any personal details of the complainant which were provided by the complainant, or, if no such details were provided, a note to that effect.
6. Issue of the complaint.
7. Means by which the complaint was addressed and whether resolution was reached, with or without mediation.
8. If no action was taken the reason(s) why no action was taken.

The Independent Audit observed no issues and did not have any findings on the complaints management documentation provided by Sydney Metro for the audit with respect to the applicable complaints management CoAs (refer to Appendix A for detailed findings).

The following sections summarise the complaints received by Sydney Metro and how Sydney Metro's communications team is engaging with the community through phone calls, website updates and addressing concerns.

3.8.1 Phase B – Complaints Received

Assessment of the Phase B Complaint Register identified that during the audit period, a total of 211 complaints associated with Phase B were received.

These stakeholder complaints were received through a diverse range of communication channels, with 31% being received via phone calls using the 1800 info line, 30% via email to the community inbox, and 29% via standard email (refer to Figure 4). The correspondence received reflected a variety of topics, including noise and vibration complaints during out-of-hour works (19%), traffic and parking (16%), noise during standard hours (12%), air quality (7%), general consultation (7%) and other reasons (39%) (refer to Figure 5).

The number of people impacted by the complaint received varied (refer to Figure 6), with 53% of complaints affecting one person, 34% impacting three people, and 16% affecting two individuals. Classifications of the complaints received (refer to Figure 7), indicated that 71% of the complaints were associated with unavoidable works, while 31% stemmed from avoidable activities. Notably, 13% were unrelated to the project, and 1% remained under investigation.

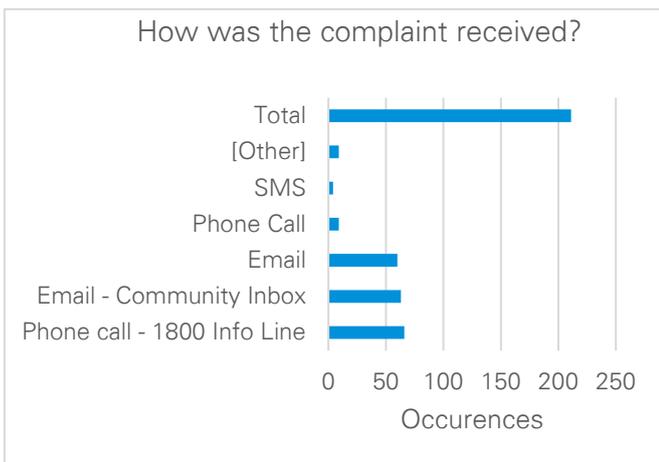


Figure 4: How the complaints were received by Sydney Metro

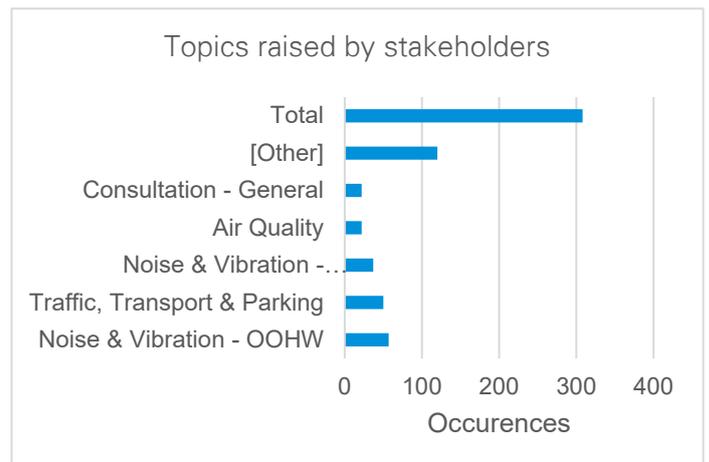


Figure 5: Topics raised by stakeholders

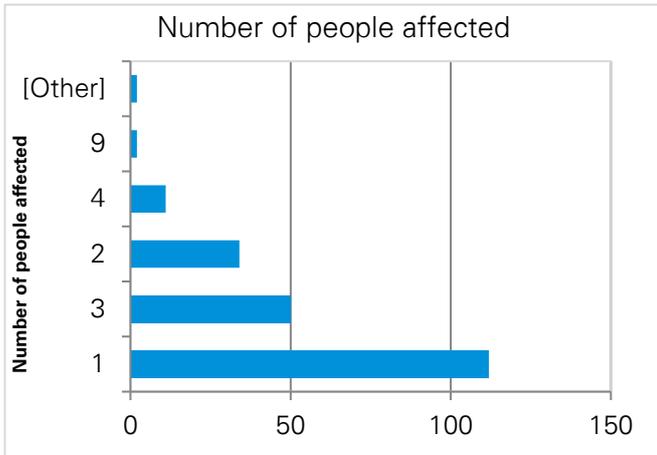


Figure 6: Number of people affected by the complaint

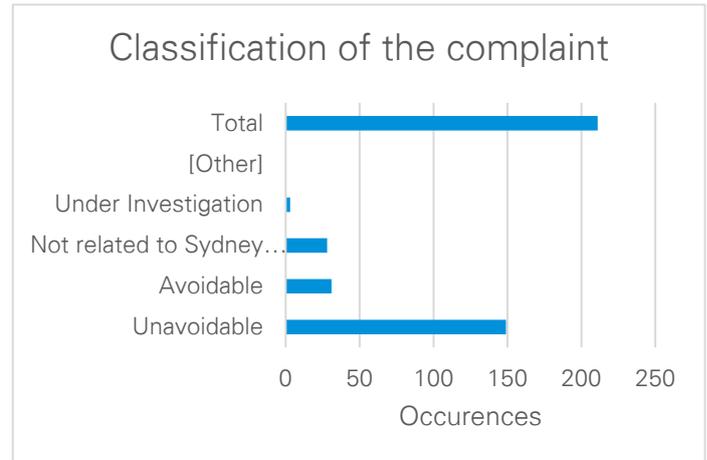


Figure 7: Classification of the complaint

3.8.2 Phase F – Complaints Received

Assessment of the Phase F Complaint Register identified that during the audit period a total of 69 complaints associated with Phase F were received.

These stakeholder complaints were received through a diverse range of communication channels, with 54% being received via phone call using the 1800 info line, 19% via email and 19% via the standard email (refer to Figure 8). The correspondence received reflected a variety of topics, including noise during standard hours (24%), noise and vibration complaints from out-of-hour works (14%), traffic and parking (14%), worker behaviour (11%), property damage and prevention (10%) and other reasons (27%) (refer to Figure 9).

The number of people impacted by the complaint received varied, with 87% of complaints affecting 1 person, 7% affecting two persons, 4% affecting three people and 3% affecting 4 or more people (refer to Figure 10). Classifications of the complaints received (refer to Figure 11), indicated that 68% of issues were due to unavoidable works, while 15% stemmed from avoidable activities. Notably, 17% were unrelated to the project. No complaints remained under investigation.

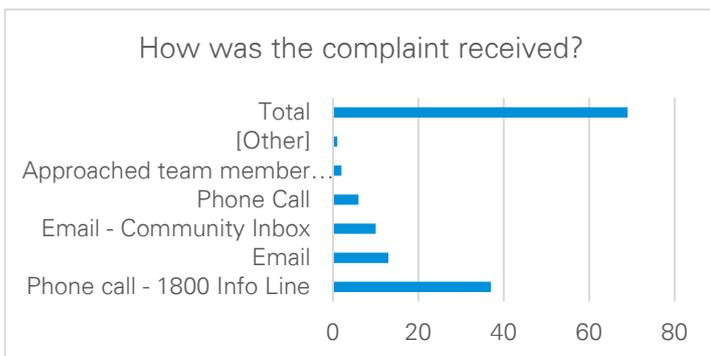


Figure 8. How the complaints were received by Sydney Metro

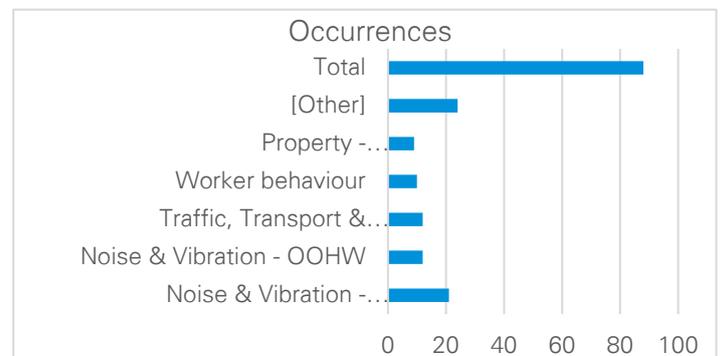


Figure 9. Topics raised by stakeholders

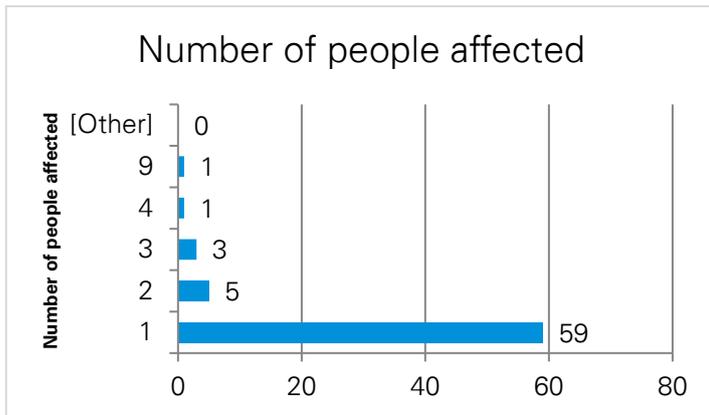


Figure 10. Number of people affected by the complaint

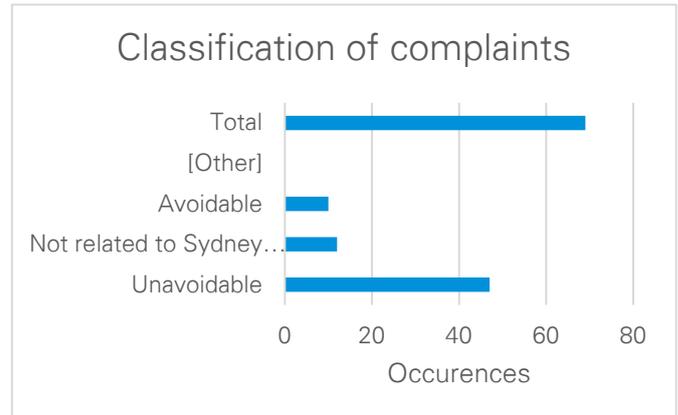


Figure 11. Classification of the Complaint

3.9 Incidents

Based on the documents assessed during the audit period, for both Phase B (Central Tunneling Package) and Phase F (Western Tunnelling Package), the auditor has not identified any incidents which meet the definition of “incident” under SSI 10038 that would need to be reported. Therefore, CoA A43 and A44 have not been triggered.

3.10 Actual versus Predicted Environmental Impacts

As required by the PAR guidelines, this section provides a qualitative assessment of actual impacts associated with the Sydney Metro West Stage 1 construction activities, based on Independent Audit findings which have observed non-compliances, and the relevant predicted impacts documented in the Environmental Impact Statement (EIS).

The Independent Auditor acknowledges that Independent Audit Post Approval Requirements (DPE 2020), Section 3.3(c) states that assessment of compliance with EPLs is excluded from the scope of the IEA. As such, any EPL-related documentation has not been considered in the assessment of this CoA. Notwithstanding, the Independent Auditor did assess monitoring data for off-site discharges, including from licensed wastewater discharge points and in this context did identify a number of exceedances of water quality limits, and has considered these with respect to actual versus predicted environmental impacts. We further note that the wastewater treatment infrastructure is in a period of commissioning and therefore current discharge limits may be revised by the EPA

Predicted outcomes associated with the construction of the Project are described in Chapters 8 and 10-26 of the Sydney Metro West Environmental Impact Statement (EIS) – Westmead to The Bays and Sydney CBD, 15 April 2020. The EIS includes a range of studies and predictions that rely on observation, measurement and modelling of the existing environmental and potential outcomes arising from the Project.

Wastewater arising during the construction of Stage 1, as presented in the EIS, are generated from sources including water used in the tunnel boring machine process, groundwater ingress, rainfall run-

off into tunnel portals, machinery wash down run-off, and dust suppression water. The Delivery Contractors for both Phase B and Phase F operate wastewater treatment plants respectively to treat the wastewater prior to discharge to surrounding surface water bodies. The Phase B and Phase F Delivery Contractors hold Environmental Protection Licences (EPLs) which cover these wastewater discharges.

The EPLs have been developed based on the outcomes of a Water Pollution Impact Assessment as required by CoA D119. The Water Pollution Impact Assessments across Phase B and Phase F have been prepared through consideration of the existing water quality of the receiving waters, and these assessments have guided the criteria contained within the EPLs to prevent water quality impacts. In addition, the IEA notes that Chapter 19 (Soils and surface water quality – Stage 1) of the EIS predicts that the impacts on the water quality of catchments would be negligible given the discharges from the wastewater treatment plants would be monitored to ensure compliance with any discharge criteria within the EPL.

The Independent Audit observed across Phase B and Phase F that several parameters within the discharges arising from the wastewater treatment plants had exceeded the current EPL criteria (noting these criteria may be subject to change) as shown in *Table 3.4*.

Table 3.4: EPL wastewater discharge exceedances

Parameter	Unit	Discharge Concentration	EPL Discharge Criteria	Water Quality Criteria ¹	Sample IDs (Discharge Date)	Receiving watercourse	Sydney Metro West Stage 1 Phase
pH Units	pH Units	4 - 9.2	6.5 - 8.5	7.0-8.5	SOP-WTP (17/04/2023), C-WTP (10/07/2023 and 26/07/2023), BWD-WTP (08/08/2023)	White Bay (SOP-WTP, C-WTP) St Luke's Park Canal (BWD-WTP)	Phase B – CTP
Turbidity / TSS (Lab)	mg/L	20	15	0.5 – 10	TBY-C-WTP (01/05/2023)	White Bay	Phase B – CTP
Turbidity / TSS (Probe) (correlation)	NTU	37	18	0.5 – 10	C-WTP (10/07/2023)	White Bay	Phase B – CTP
Zinc	mg/L	13	12	8	Point 2 (Rosehill WTP Discharge and monitoring) (March 2023)	Duck River	Phase F – WTP

¹ ANZECC / ARMCANZ (2000) and ANZG (2018) default guidelines for 95 per cent species protection (Aquatic Ecosystem (Estuaries))

The monitoring data for physical parameters of pH Units, Turbidity / TSS (Lab), Turbidity / TSS (Probe) (correlation) and zinc indicated marginal exceedances of the current EPL discharge criteria (i.e. before

EPA review of the current EPL limits against the performance of the WTP(s)) on seven (7) occasions over the 12-month monitoring period as outlined in *Table 3.4*.

Given the pre-construction (baseline) water quality conditions associated with the receiving watercourses, which were characterised by elevated nutrient concentrations and high turbidity due to the heavily urbanised surrounding area, and that the exceedances observed during the Independent Audit were marginal and occurred across a limited number (i.e. seven (7)) events during the audit period, any off-site impacts on the water quality of the receiving watercourses resulting from these exceedances are likely to be low, aligning with the anticipated negligible impacts described in the EIS. This assessment is based on the marginal wastewater discharge exceedances and taking into account the volumetric flows of the discharges and dispersion patterns associated with the receiving water bodies.

Furthermore, wastewater discharge monitoring data presented in the bi-annual construction monitoring reports for both Phase B and Phase F from July 2022 to January 2023, which were observed during the Independent Audit, indicated no degradation of the surrounding receiving surface waterways due to construction activities.

3.11 Audit Evidence

Independent Audit findings were based on verifiable evidence collected during audit execution which included:

- Relevant records, documents and reports (refer to Appendix A and Appendix I).
- Interviews of relevant site personnel (refer to Section 2.3.3.2 and Appendix A).
- Photographs (refer to Appendix D).
- Figures and plans (refer to Appendix A and Appendix G).
- Site inspections of relevant locations, activities and processes (refer to Appendix A).

3.12 Key Strengths - Environmental Management and Performance

The following strengths were demonstrated by Sydney Metro, AFJV and GLC in managing compliance against the CoAs for the audit period:

- Compliance records were well-maintained and readily accessible during the site inspection and interviews with key Project personnel.
- Commitment to environmental and sustainability initiatives was demonstrated, particularly in tree preservation and heritage building conservation.

- Active engagement with the community appears to be undertaken through methods such as website updates, pop-up shops, distributing letters, door-to-door visits, direct calls, and promptly addressing community concerns and complaints.

During the site inspections, the following mitigation measures were observed:

- A site notice was prominently displayed at the site entrance.
- Hoarding and boundary screening were installed around the site perimeter.
- Measures for protecting trees and establishing concrete barriers around environmental no-go zones were in place.
- Street sweepers, fog cannons, and water management were operational to control dust and material tracking.
- Erosion and sediment controls were set up with pre-start boards at both the AFJV and the GLC compounds.
- A heritage protection zone was effectively established.
- Spill kits were provided and those inspected appeared to be fully stocked.
- Water carts were consistently deployed at each site.
- Noise and vibration monitoring occurred during out-of-hours work and in situations involving high noise levels.
- Stickers bearing the SSI label were fixed to spoil haulage trucks.
- Noise blankets were utilised as needed.

Appendix A – Independent Audit Table, providing audit findings against each in-scope CoA

Phase B - Central Tunnelling Package – Acciona Ferrovia Joint Venture (AFJV)

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
A16	<p>Ancillary Facilities Ancillary facilities that are not identified by description and location in the documents listed in Condition A1 of this schedule can only be established and used in each case if:</p> <p>a) they are located within or immediately adjacent to the Construction Boundary; and</p> <p>b) they are not located next to sensitive land user(s) (including where an access road is between the facility and the receiver), unless the landowner and occupier have given written acceptance to the carrying out of the relevant facility in the proposed location; and</p> <p>c) they have no impacts on Heritage items (including areas of archaeological sensitivity), threatened species, populations or ecological communities beyond the impacts approved under the conditions of this approval; and</p> <p>d) the establishment and use of the facility can be carried out and managed within the outcomes set out in the conditions of this approval, including in relation to environmental, social and economic impacts.</p> <p>Note: This condition does not apply to any ancillary facilities or work that are exempt or complying development, established before the commencement of construction under this approval or minor ancillary facilities established under Condition A21 of this schedule.</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Noise and Vibration Management Plan Revision 8 (Issued 28 July 2022)</p> <p>Heritage Management Plan Revision 4 (Issued 29 July 2022)</p>	<p>Ancillary facility CoAs were assessed through interviews with the Environmental Representative (ER) on the 4th September 2023, and testing of the Construction Environmental Management Plan (CEMP) and supporting plans.</p> <p>Note: This finding also applies to condition A17, A21 and A22</p>	Compliant	
A17	<p>Site Establishment Management Plan Before establishment of any ancillary facility (excluding exempt or complying development, minor ancillary facilities determined by the ER to have minimal environmental impact and those established under Condition A21 of this schedule, and those considered in an approved CEMP), the Proponent must prepare a Site Establishment Management Plan which outlines the environmental management practices and procedures to be implemented for the establishment of the ancillary facilities. The Site Establishment Management Plan must be prepared in consultation with the Relevant Council(s) and relevant government agencies. The Site Establishment Management Plan must include:</p> <p>a) a description of activities to be undertaken during establishment of the ancillary facility (including scheduling and duration of work to be undertaken at the site);</p> <p>b) figures illustrating the proposed operational site layout and the location of the closest sensitive land user(s);</p> <p>c) a program for ongoing analysis of the key environmental risks arising from the site establishment activities described in subsection (a) of this condition, including an initial risk assessment undertaken before the commencement of site establishment work;</p> <p>d) details of how the site establishment activities described in subsection (a) of this condition will be carried out to:</p> <p>I. meet the performance outcomes stated in the documents listed in Condition A1 of this schedule, and</p> <p>II. manage the risks identified in the risk analysis undertaken in subsection (c) of this condition; and</p> <p>e) a program for monitoring the performance outcomes, including a program for construction noise monitoring, where appropriate or required. Nothing in this condition prevents the Proponent from preparing individual Site Establishment Management Plans for each ancillary facility.</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Noise and Vibration Management Plan Revision 8 (Issued 28 July 2022)</p> <p>Visual Amenity Management Plan Revision 4 (Issued 9 November 2023)</p> <p>Heritage Management Plan Revision 4 (Issued 29 July 2022)</p>	<p>A Site Establishment Management Plan was not required for Phase B due to Condition A21 item B pathway being triggered.</p> <p>Interviews with Sydney Metro and the ER assessment assessed that the minor ancillary facilities had minimal environmental impact with respect to waste management and flooding, and had no impacts on biodiversity, soil and water, and Heritage items beyond those already approved under other conditions of the approval. Site visits undertaken at The Bays and Five Dock observed minimal impact of ancillary facilities due to existing environment of the surrounding area being extensively developed.</p>	Not triggered	
A20	<p>Use of Ancillary Facilities The use of an ancillary facility for construction must not commence until the CEMP required by Condition C1 of this schedule, relevant CEMP Sub-plans required by Condition C5 of this schedule and relevant Construction Monitoring Programs required by Condition C14 of this schedule have been approved by the Planning Secretary or endorsed by the ER (whichever is applicable). Note: This condition does not apply to Condition A21 of this schedule or</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Noise and Vibration Management Plan Revision 8 (Issued 28 July 2022)</p> <p>Visual Amenity Management Plan Revision 4 (Issued 9 November 2023)</p>	<p>Assessment of the Construction Environmental Management Plan, and supporting plans, observed that the use of ancillary facilities for construction commenced post endorsement of these documents by the ER.</p> <p>See detailed findings for conditions A16 above.</p>	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
	where the use of an ancillary facility is Low Impact Work or for Low Impact Work.				
A21	<p>Minor Ancillary Facilities Lunch sheds, office sheds, portable toilet facilities, and the like, can be established and used where they have been assessed in the documents listed in Condition A1 of this schedule or satisfy the following criteria:</p> <p>a) are located within or adjacent to the Construction Boundary; and</p> <p>b) have been assessed by the ER to have:</p> <p>I. minimal amenity impacts to surrounding residences and businesses, after consideration of matters such as compliance with the ICNG, traffic and access impacts, dust and odour impacts, and visual (including light spill) impacts, and</p> <p>II. minimal environmental impact with respect to waste management and flooding, and</p> <p>III. no impacts on biodiversity, soil and water, and Heritage items beyond those already approved under other conditions of this approval.</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Noise and Vibration Management Plan Revision 8 (Issued 28 July 2022)</p> <p>Visual Amenity Management Plan Revision 4 (Issued 9 November 2023)</p>	<p>Assessment of the Construction Environmental Management Plan, and supporting plans, and interviews with Sydney Metro and the ER observed that minor ancillary facility requirements aligned with CoA A21.</p> <p>See detailed findings for conditions A16 above.</p>	Compliant	
A22	<p>Boundary Screening Boundary screening must be erected around ancillary facilities that are adjacent to sensitive land user(s) for the duration that the ancillary facility is in use unless otherwise agreed with relevant affected residents, business operators or landowners.</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Visual Amenity Management Plan Revision 4 (Issued 9 November 2023)</p>	<p>Assessment of the Construction Environmental Management Plan (CEMP) and the Visual Amenity Management Plan observed that they include controls to meet the requirements of CoA A22 and A23.</p> <p>During site inspections at The Bays and Five Dock, the audit team observed boundary screening around ancillary facilities which aligned with Section 7.2 of the Visual Amenity Plan, which states "Boundary screening will be installed within construction sites adjoining or adjacent to sensitive land users in accordance with CoA A22 and A23.</p> <p>This finding also applies to condition A16, A17 and A23.</p>	Compliant	
A23	Boundary screening required under Condition A22 of this schedule must minimise visual impacts on adjacent sensitive land user(s).	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Visual Amenity Management Plan Revision 4 (Issued 9 November 2023)</p>	See findings for condition A22 above.	Compliant	
A43	The Planning Secretary must be notified via phone or in writing via the Major Projects website immediately after the Proponent becomes aware of an incident. Any notification via phone must be followed up by a notification in writing via the Major Projects website within 24 hours of the initial phone call. The written 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 general nature of the incident.	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Environmental Incident and Non-compliance Notification Report (Incident - "Damaged Valve on Pipe" dated 19 January 2022)</p> <p>DPE lodgement confirmation for "follow up incident notification" (21 January 2022)</p>	<p>The CEMP includes incident management notification processes aligned with CoA A43. The Environmental Incident and Non-compliance Notification Report as per section 3.8 Incident Notification Management states "The Project Director or the Environment Manager would notify the Sydney Metro Environmental Manager and the ER of incidents (and the AA with regards to any noise or vibration related incidents) as soon as practicable in the event of a notifiable incident, to enable Sydney Metro to make immediate notification to the Planning Secretary under CoA A43.</p> <p>During site interviews, the auditors were advised that the AFJV Environment Manager would notify the EPA, and other relevant regulatory authorities in the event of incident. The Environment Manager would provide written notification to Sydney Metro within 24 hours of the initial incident notification. Sydney Metro would notify the Planning Secretary in accordance with CoA A43, which requires notification to the Planning Secretary in writing within 24 hours of the initial phone call.</p> <p>Site interviews and testing of incident data extracted from SAI360, observed that no environmental incidents, associated with Phase B, appeared to have occurred during the audit period.</p> <p>This finding also applies to condition A44.</p>	Compliant	
A44	Subsequent notification must be given and reports submitted in accordance with the requirements set out in Appendix A.	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Interview with Sydney Metro Environmental Advisors (4 September 2023)</p> <p>Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)</p> <p>Environmental Incident and Non-compliance Notification Report (Incident - "Damaged Valve on Pipe" dated 19 January 2022)</p> <p>DPE lodgement confirmation for "follow up incident notification" (31 January 2022)</p>	Refer to finding associated with condition A44.	Compliant	
A45	The Planning Secretary must be notified in writing via the Major Projects website within seven (7) days after the Proponent becomes aware of any non-compliance with the conditions of this approval.	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>All CTP+WTP Non-Compliances_SAI360 extract report</p> <p>Environmental Incident and Non-compliance</p>	The Construction Environmental Management Plan states the notification requirements between parties (Sydney Metro, AFJV and the Planning Secretary) associated with non-compliances / breaches of environmental requirements when identified during incident investigation, audits or through a complaint investigation. Upon identification of a potential non-compliance, an investigation is initially undertaken by the Delivery Contractor to confirm if the occurrence qualifies as a non-compliance. Once a non-compliance is confirmed as having occurred, the Delivery Contractor notifies Sydney Metro, at which time Sydney Metro advised that the seven (7) day notification period to DPE commences.	Non-Compliant	10038_IA3_01 10038_IA3_03

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#																				
		<p>Notification Report for all NCR within the audit period</p> <p>DPE lodgement confirmation email for all NCR within the audit period</p>	<p>Assessment of the Phase B (Central Tunnelling Package) and Phase F (Western Tunnelling Package) Non-Compliances_SAI360 extract report, Environmental Incident and Non-compliance Notification Reports and DPE lodgement confirmation email from Sydney Metro for all non-compliances identified by the Project within the audit period, observed delays exceeding the seven (7) day notification period in notifying DPE of the following three (3) non-compliances identified for Phase B</p> <table border="1" style="margin: 10px auto;"> <thead> <tr> <th>Non-compliance Number</th> <th>Date of Non-compliance</th> <th>Date Sydney Metro was notified by AFJV</th> <th>Date lodged per DPE lodgment confirmation</th> <th>Submitted within 7-day notification period</th> </tr> </thead> <tbody> <tr> <td>EVT-0001559</td> <td>19/01/2023</td> <td>08/02/2023</td> <td>22/02/2023</td> <td>No</td> </tr> <tr> <td>EVT-0001562</td> <td>17/02/2023</td> <td>20/02/2023</td> <td>02/03/2023</td> <td>No</td> </tr> <tr> <td>EVT-0001652</td> <td>20/05/2023</td> <td>26/05/2023</td> <td>09/06/2023</td> <td>No</td> </tr> </tbody> </table> <p>Self-Reported Non-Compliance</p> <p>Non-compliance number: EVT-0001652</p> <p>Date of Non-compliance: 20/05/2023</p> <p>Site: Phase B1: AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: Following a noise complaint for works on a Saturday morning (complaint ID #4710) an investigation was conducted. It was concluded that spoil haulage activities including loading of a truck were conducted outside the acoustic shed prior to 8am on a Saturday that were not approved under any pathway such as D37(b) Low Noise Impact Works.</p> <p>This non-compliance triggered two CoAs as the NCR was submitted outside the required 7-day period due to extended investigation to confirm what was the noise source of the complaint in accordance with CoA A45.</p>	Non-compliance Number	Date of Non-compliance	Date Sydney Metro was notified by AFJV	Date lodged per DPE lodgment confirmation	Submitted within 7-day notification period	EVT-0001559	19/01/2023	08/02/2023	22/02/2023	No	EVT-0001562	17/02/2023	20/02/2023	02/03/2023	No	EVT-0001652	20/05/2023	26/05/2023	09/06/2023	No		
Non-compliance Number	Date of Non-compliance	Date Sydney Metro was notified by AFJV	Date lodged per DPE lodgment confirmation	Submitted within 7-day notification period																					
EVT-0001559	19/01/2023	08/02/2023	22/02/2023	No																					
EVT-0001562	17/02/2023	20/02/2023	02/03/2023	No																					
EVT-0001652	20/05/2023	26/05/2023	09/06/2023	No																					
A46	A non-compliance notification must identify the CSSI (including the application number for it), set out the condition of approval that the development is non-compliant with, the way in which it does not comply and the reasons for the non-compliance (if known) and what actions have been, or will be undertaken to address the non-compliance. Note: A non-compliance which has been notified as an incident does not need to also be notified as a non-compliance.	CEMP, Revision 6. (Issued 23 December 2022) DPE lodgement confirmation email for all NCR within the audit period	A non-compliance notification assessed during the Independent Audit identified the CSSI including the application number, set out the condition of approval that the development is non-compliant with, the way in which it does not comply and the reasons for the non-compliance and what actions have been, or will be undertaken to address the non-compliance.	Compliant																					
A47	All Heavy Vehicles used for spoil haulage must be clearly marked on the sides and rear with the project name and application number to enable immediate identification by a person viewing the Heavy Vehicle standing 20 metres away.	Spoil Management Plan, Revision 6. (Issued 28 July 2022)	The auditors observed during site inspections that heavy vehicles were clearly marked with project name project name and application number to enable immediate identification as detailed in the Spoil Management Plan. Refer to Appendix E – Site Inspection Photographs.	Compliant																					
A48	The CSSI name, application number, telephone number, postal address and email address required under Condition B3 of this schedule must be available on-site boundary fencing / hoarding at each ancillary facility before the commencement of construction. This information must also be provided on the website required under Condition B11 of this schedule.	CEMP, Revision 6. (Issued 23 December 2022) Visual Amenity Management Plan Revision 4 (Issued 9 November 2023)	<p>Site visits undertaken by the auditors visually observed boundary fencing signage as per Section 3.7.4 of the CEMP which states "The following information will be available to facilitate community enquiries (in accordance with CoA B3) throughout the delivery of the CTP:</p> <ul style="list-style-type: none"> - A 24-hour telephone line - A postal address - An email address - A community complaints mediation system <p>Details of this information will be available on the Sydney Metro webpage required in accordance with CoA B11 as well as on site hoarding at construction sites, in accordance with CoA A48".</p> <p>This finding also applies to condition B3.</p> <p>Refer to Appendix E – Site Inspection Photographs.</p>	Compliant																					
B1	Community Communication The Overarching Community Communication Strategy as provided in the documents listed in Condition A1 of this schedule must be implemented for the duration of the work.	CEMP, Revision 6. (Issued 23 December 2022) AF JV Community Communication Strategy (CCS), (Issued June 2023) Sydney Metro Overarching Community Communications Strategy (OCCS), Revision 7.2 (Issued 3 August 2022)	<p>Section 3.7.3 of the CEMP notes "A Community Communication Strategy (CCS) has been developed for the CTP in accordance with the Sydney Metro Overarching Community Communications Strategy (OCCS). The Community Communications Strategy identifies internal and external communication processes, communication tools and are specific to areas within the CTP work site".</p> <p>The AFJV CCS was observed to provide an integrated approach incorporating the Sydney Metro project communication and engagement objectives listed in the OCCS and is underpinned by the Sydney Metro and AFJV plans, policies and values.</p> <p>Assessment of the CEMP, the AFJV Community CCS and the OCCS identified no non-compliances with the community information, consultation and involvement processes and tool as required by CoA B1.</p>	Compliant																					

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
B2	A Complaints Management System must be prepared and implemented before the commencement of any work and maintained for the duration of construction and for a minimum for 12 months following completion of construction of Stage 1 of the CSSI.	CEMP, Revision 6. (Issued 23 December 2022) AF JV Community Communication Strategy (CCS), (Issued June 2023) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022) Interview with Environmental Representative (4 September 2023) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	The Sydney Metro Construction Complaints Management System was observed to form part of the Sydney Metro Communication and Engagement Management System and outlines the procedure for managing complaints across Sydney Metro West, Sydney International Speedway (construction related complaints) and Sydney Metro Central Sydney Airport. This includes: - Receiving complaints - Classifying complaints - Responding to complaints - Escalation - Mediation - Recording complaints - Reporting Assessment of the CEMP, AFJV CCS and the Sydney Metro Construction Complaints Management System, identified no non-compliances with respect to the preparation of a Construction Complaints Management System under CoA B2. This finding also applies to condition B3.	Compliant	
B3	The following information must be available to facilitate community enquiries and manage complaints before the commencement of work and for 12 months following the completion of construction: 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 enquiries may be sent; c) an email address to which electronic complaints and enquiries may be transmitted; and d) a mediation system for complaints unable to be resolved. This information must be accessible to all in the community regardless of age, ethnicity, disability or literacy level.	CEMP, Revision 6. (Issued 23 December 2022) AF JV Community Communication Strategy (CCS), (Issued June 2023) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)	The following details were observed to facilitate community enquiries and manage complaints across CTP: Phone: 1800 612 173 (community information line open 24 hours) Email: sydneymetrowest@transport.nsw.gov.au https://www.sydneymetro.info/west/project-overview https://www.sydneymetro.info/website-accessibility The Sydney Metro Construction Complaints Management System was observed to contain a detailed complaint escalation procedure which includes complaint escalation and independent mediation to help facilitate communication between parties in conflict to help them reach a voluntary and mutually agreeable outcome to a dispute. In addition, Section 4.5.1 of the AFJV CCS was observed to state "where further escalation is required, it will comply with the Sydney Metro Construction Complaints Management System which may include involvement of the Environmental Representative and/or referral to the Community Complaints Mediator".	Compliant	
B4	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) date and time of the complaint; c) number of people in the household affected in relation to a complaint, if relevant; d) method by which the complaint was made; e) any personal details of the complainant which were provided by the complainant or, if no such details were provided, a note to that effect; f) issue of the complaint; g) means by which the complaint was addressed and whether resolution was reached, with or without mediation; and h) if no action was taken, the reason(s) why no action was taken.	CEMP, Revision 6. (Issued 23 December 2022) AF JV Community Communication Strategy (CCS), (Issued June 2023) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022) Sydney Metro West – Complaints Register (Provided 04 October 2023)	Section 3.7.5 of the CEMP was observed to state that "The Complaints Register will be provided to the Planning Secretary by Sydney Metro upon request in accordance with CoA B6", this is supported by Section 4.5 of the AFJV CCS. The Sydney Metro Construction Complaints Management System states "In accordance with project planning approvals, all complaints are recorded within a complaint register. For the purposes of Sydney Metro, complaints are recorded on the Consultation Manager database. The Complaints Register will be provided to the Secretary upon request, within the timeframe stated in the request." A complaints register was observed to have been prepared and is being maintained by Sydney Metro. A copy of the Complaints register was assessed on 4 th October 2023, and was observed to include the details specified in Condition B4. This finding also applies to conditions B5 and B6.	Compliant	
B5	Complainants must be advised of the following information before, or as soon as practicable after, providing personal information: a) the Complaints Register may be forwarded to government agencies, including DPE(Department of Planning Industry and Environment, 4 Parramatta Square, 12 Darcy Street, Parramatta NSW 2150), to allow them to undertake their regulatory duties; b) by providing personal information, the complainant authorises the Proponent to provide that information to government agencies; c) the supply of personal information by the complainant is voluntary; and d) the complainant has the right to contact government agencies to access personal information held about them and to correct or amend that information (Collection Statement). The Collection Statement must be included on the Proponent or development website to make prospective complainants aware of their rights under the Privacy and Personal Information Protection Act 1998 (NSW). For any complaints made in person, the complainant must be made aware of the Collection Statement.	Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022) Sydney Metro West - Complaints Register (Provided 04 October 2023)	The Sydney Metro Construction Complaints Management System was observed to include detailed complaint handling processes to satisfy CoA B5. the Sydney Metro Complaints Privacy Collection Notice was observed to include processes on the collection of personal information and the purpose of investigation and managing a complaint. This finding also applies to condition B6.	Compliant	

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B6	The Complaints Register must be provided to the Planning Secretary upon request, within the timeframe stated in the request. Note: Complainants must be advised that the Complaints Register may be forwarded to Government agencies to allow them to undertake their regulatory duties.	CEMP, Revision 6. (Issued 23 December 2022) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 2 Feb 2022) Sydney Metro West - Complaints Register (Provided 04 October 2023)	The CEMP and the Sydney Metro Construction Complaints Management System were observed to include the requirement for providing the Complaints register to the Planning Secretary upon request. See detailed findings for conditions B4 and B5 above.	Compliant	
B7	A Community Complaints Mediator that is independent of the design and construction personnel must be engaged by the Proponent, upon the referral of the complaint by the ER in accordance with the Overarching Community Communication Strategy.	Sydney Metro Overarching Community Communications Strategy (OCCS), Revision 2 (Issued 5 Feb 2022) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022) Sydney Metro West – Statement of Independence dated March 21, 2022 Sydney Metro – Mediation Services – Standing Offer Deed – Contract No. SMC-21-0232 - 14 December 2021	During the Independent Audit a letter from Sydney Metro was observed which accepted a mediation proposal dated 30 September 2021 to provide Mediation Services for Sydney Metro by Steve Lancken Conflict Management Pty Limited t/as Negocio Resolutions. The letter stated that neither Negocio Resolutions nor its contractors had provided any other services to or at the request of Sydney Metro West Project and that Negocio Resolutions does not provide any services to any contractor or subcontractor for the Sydney West Project. This finding also applies to conditions B8, B9 and B10.	Compliant	
B8	The role of the Community Complaints Mediator is to provide independent mediation services for any reasonable and unresolved complaint referred by the ER where a member of the public is not satisfied by the Proponent's response. Where a Community Complaints Mediator is required, a mediator accredited under the National Mediator Accreditation System (NMAS), administered by the Mediator Standards Board must be appointed.	Sydney Metro Overarching Community Communications Strategy (OCCS), Revision 2 (Issued 5 Feb 2022) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)	The Mediator Standards Board website (https://msb.org.au/mediators) confirms that Mr. Stephen Lancken is accredited under the NMAS (ref. 130-3710) by the Resolution Institute. See detailed findings for conditions B7 above.	Compliant	
B9	Community Complaints Mediation will: a) review any unresolved disputes, referred by the ER in accordance with the Overarching Community Communication Strategy; b) make recommendations to the Proponent to satisfactorily address complaints	Sydney Metro Overarching Community Communications Strategy (OCCS), Revision 2 (Issued 5 Feb 2022) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)	The auditor was provided with a Complaint Escalation Report for a residential property in the proximity of the Five Dock site (dated 21 October 2022), which had been reviewed by the ER. AFJV and Sydney Metro have responded to the complaints and have had a number of meetings with the complainant. Further mitigation measures have been implemented as described in the report. Long term relocation has been offered by Sydney Metro to the complainant. The ER agreed with the decision of Sydney Metro to refer the complainant to the Community Complaints Mediator in accordance with the OCCS.	Compliant	
B10	Community Complaints Mediation will not be enacted before the Complaints Management System required by Condition B2 of this schedule 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 this CSSI.	Sydney Metro Overarching Community Communications Strategy (OCCS), Revision 2 (Issued 5 Feb 2022) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022) Sydney Metro West – Statement of Independence dated March 21, 2022 Sydney Metro – Mediation Services – Standing Offer Deed – Contract No. SMC-21-0232 - 14 December 2021 ER Review: Complaint Escalation Report, for a residential property in the proximity of the Five Dock site - Dated 21 October 2022	Assessment of the Complaint Escalation Report for a residential property in the proximity of the Five Dock site (dated 21 October 2022) observed that the Community Complaints Mediation had been enacted.	Compliant	

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B11	<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 24 months following the completion of all phases of construction of Stage 1 of the CSSI. Up-to-date information (excluding confidential, private, commercial information or other documents as agreed to by the Planning Secretary) must be published before the relevant work commencing and maintained on the website or dedicated pages including:</p> <p>a) information on the current implementation status of Stage 1 of the CSSI;</p> <p>b) a copy of the documents listed in Condition A1 of this schedule, and any documentation relating to any modifications made to the CSSI or the conditions 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 conditions), and copies of any approval granted by the Minister to a modification of the conditions of this approval, or links to the referenced documents where available;</p> <p>d) a copy of each statutory approval, licence or permit required and obtained in relation to Stage 1 of the CSSI, or where the issuing agency maintains a website of approvals, licences or permits, a link to that website;</p> <p>e) a current copy of each document required under the conditions of this approval, which must be published within one (1) week of its approval or before the commencement of any work to which they relate or before their implementation, as the case may be; and</p> <p>f) a copy of the audit reports required under this approval. Where the information / document relates to a particular work or is required to be implemented, it must be published before the commencement of the relevant work to which it relates or before its implementation. All information required in this condition is to be provided on the website or webpage, and easy to navigate.</p>	CEMP, Revision 6. (Issued 23 December 2022)	The audit team observed up to date information aligned with Section 3.7.4 of the CEMP and identified no non-compliances associated with Condition B11. The CEMP states that details of this information is available on the Sydney Metro webpage required in accordance with CoA B11 as well as on site hoarding at construction sites, in accordance with CoA A48" and "AFJV will also host a website, which will provide public access to approval documents prepared by AFJV, in accordance with CoA B11. A link will be available between the Sydney Metro website and the AFJV website."	Compliant	
C1	Construction Environmental Management Plans (CEMPs) and CEMP Sub-plans must be prepared in accordance with the Construction Environmental Management Framework (CEMF) included in the documents listed in Condition A1 of this schedule to detail how the performance outcomes, commitments and mitigation measures specified in the documents listed in Condition A1 of this schedule will be implemented and achieved during construction	CEMP, Revision 6. (Issued 23 December 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	<p>The Independent Audit observed that a CEMP and CEMP Sub-plans had been prepared as per the CEMF and that these documents have been endorsed and approved by the ER. During interviews with the contractor, the auditor noted the following updates were being made to the CEMP to align with the construction phase of the project:</p> <ul style="list-style-type: none"> - Changes in processes, such as ceasing the use of the D37 OOHW (Out-of-Hours Work) protocol, triggered updates to the plan. - Various plans and programs, including the Heritage Management Plan (19 July 2023), Soil and Water Management Plan (10 August 2023), Groundwater Monitoring Program (16-17 August 2023), Spoil Management Plan (25 July 2023), and Noise and Vibration plans, were all advised to be undergoing updates. - Comment processes involving Environmental Representatives (ER) and Acoustic Advisors (AA) precede approval and upload of these plans. AFJV does not liaise directly with DPE. - A tracker is used to monitor the progress of these documentation updates. DPE-updates to documents are issued to ER but do not require approvals from DPE. <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001559</p> <p>Date of Non-compliance: 19/01/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: During the ER inspection undertaken on Thursday the 19th of Jan, it was noted that percussion drilling was being undertaken during the hour of respite period. In accordance with the project Noise and Vibration management plan (NVMP), specifically Management Measure MMNV19 in Table 9-1</p> <p>To determine if percussion drilling during the respite period exceeds the daytime NML of 75dB as outlined in the ICNG, a trial was undertaken on the 02/02/2023 at 08:00am. To ensure a similar scenario was replicated, it was agreed with the other works would commence 10 minutes later at 8:10am, providing a 10-minute window to undertake attended noise monitoring at the closest receiver located at 1 Loftus Street, for the duration of percussion drilling. Having undertaken the attended noise monitoring it was confirmed that the noise levels were below the daytime NML, with the monitoring demonstrating 60.2dB at the closest receiver as outlined in appendix A, which was sent to the AA, ER and Metro on the 03/02/23 for information and clarification on the position that percussion drilling does not exceed day the day time NML. Due to this noise result, AFJV has demonstrated compliance with D36 showing that the impact does not exceed the high noise threshold.</p> <p>Condition of Approval D36 requires respite for Highly Noise Intensive Work (only) if it results in an exceedance of the applicable NML (whereas MMNV19 does not include reference to an NML).</p>	Non-Compliant	10038_IA3_05
C2	With the exception of any CEMPs expressly nominated by the Planning Secretary to be endorsed by the ER, all CEMPs must be submitted to the Planning Secretary for approval.	CEMP, Revision 6. (Issued 23 December 2022)	It was observed that Section 1.2 and Section 2.2 of the CEMP provides the endorsement/approval of the Planning Secretary for CEMP and CEMP Sub-plans as per the requirements of CoA C2.	Compliant	

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C3	The CEMP(s) not requiring the Planning Secretary's approval must be submitted to the ER for endorsement no later than one (1) month before the commencement of construction or where construction is phased no later than one (1) month before the commencement of that phase. That CEMP must obtain the endorsement of the ER as being consistent with the conditions of this approval and all undertakings made in the documents listed in Condition A1 of this schedule.	CEMP, Revision 6. (Issued 23 December 2022)	Refer to Condition C1.	Compliant	
C4	Any CEMP to be approved by the Planning Secretary must be endorsed by the ER and then submitted to the Planning Secretary for approval no later than one (1) month before the commencement of construction or where construction is phased no later than one (1) month before the commencement of that phase.	CEMP, Revision 6. (Issued 23 December 2022)	It was observed that Section 2.2 of the CEMP states "In accordance with Condition C4, with the exception of any CEMP expressly nominated by the Planning Secretary to be endorsed by the ER (under CoA C3), the CEMP must be endorsed by the ER and then lodged with the Planning Secretary for approval no later than one month prior to the commencement of the construction. As per CoA C3, if the CEMP does not require the Planning Secretary's approval it must be lodged with the ER for endorsement no later than one month before the commencement of construction."	Compliant	
C5	Of the CEMP Sub-plans required under Condition C1 of this schedule, the following CEMP Sub-plans must be prepared in consultation with the relevant government agencies identified for each CEMP Sub-plan. Details of issues raised by a government agency during consultation must be included in the relevant CEMP Sub-plan, including copies of all correspondence from those government agencies as required by Condition A6 of this schedule. Where a government agency (is) request(s) is not included, the Proponent must provide the Planning Secretary / ER (whichever is applicable) justification as to why: a. noise and vibration - SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s) b. flora and fauna - DPE BCD, DPI Fisheries, SOPA (in respect of Sydney Olympic Park) and Relevant Council(s) c. soil and water - DPIE BCD, Relevant Council(s), SOPA (in respect of Sydney Olympic Park) and Sydney Water (if Sydney Water's assets are affected) d. heritage - Heritage NSW, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s) e. spoil - Relevant Council(s) and SOPA (in respect of Sydney Olympic Park).	CEMP, Revision 6. (Issued 23 December 2022)	It was observed that the CEMP Sub-plans had been prepared in consultation with the relevant government agencies as required under Condition C1.	Compliant	
C6	The CEMP Sub-plans must state how: a) the environmental performance outcomes identified in the documents listed in Condition A1 of this schedule will be achieved; b) the mitigation measures identified in the documents listed in Condition A1 of this schedule will be implemented; c) the relevant conditions of this approval will be complied with; and d) issues requiring management during construction (including cumulative impacts), as identified through ongoing environmental risk analysis, will be managed through SMART principles.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022) Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	It was observed that the CEMP sub-plans detail how the requirements of Condition C6 have been met and these plans have been endorsed by the ER and approved by the Planning Secretary.	Compliant	
C7	With the exception of any CEMP Sub-plans expressly nominated by the Planning Secretary to be endorsed by the ER, all CEMP Sub-plans must be submitted to the Planning Secretary for approval.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022) Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	Assessment of the CEMP and the CEMP sub-plans observed that they had been endorsed and approved as per CoA C7. This finding also applies to conditions C8, C9 and C10.	Compliant	
C8	The CEMP Sub-plans not requiring the Planning Secretary's approval must obtain the endorsement of the ER as being in accordance with the conditions of approval and all relevant undertakings made in the documents listed in Condition A1 of this schedule. Any of these CEMP Sub-plans must be submitted to the ER with, or subsequent to, the submission of the CEMP but in any event, no later than one (1) month before construction or where construction is phased no later than one (1) month before the commencement of that phase.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022) Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	Assessment of the CEMP and the CEMP sub-plans observed that they had been endorsed and approved as per CoA C8.	Compliant	

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		September 2022) Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)			
C9	Any of the CEMP Sub-plans to be approved by the Planning Secretary must be submitted to the Planning Secretary with, or subsequent to, the submission of the CEMP but in any event, no later than one (1) month before construction or where construction is phased no later than one (1) month before the commencement of that phase.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022) Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	Assessment of the CEMP and the CEMP sub-plans observed that they had been submitted to the Planning Secretary prior to construction.	Compliant	
C10	Construction must not commence until the CEMP and all CEMP Sub-plans have been approved by the Planning Secretary or endorsed by the ER (whichever is applicable), unless otherwise agreed by the Planning Secretary. The CEMP and CEMP Sub-plans, as approved by the Planning Secretary or endorsed by the ER (whichever is applicable), including any minor amendments approved by the ER, must be implemented for the duration of construction. Where construction of Stage 1 of the CSSI is phased, construction of a phase must not commence until the CEMP and CEMP Sub-plans for that phase have been approved by the Planning Secretary or endorsed by the ER upon nomination by the Planning Secretary (whichever is applicable).	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022) Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	Section 2 of the CEMP Approval states, "In accordance with Condition A20, C10 and C21, construction of the relevant phase must not commence until the CEMP and all sub-plans and Monitoring Programs have been approved by the Planning Secretary and/or endorsed by the ER". The CEMP and Sub-Plans include details showing they were approved by the ER and Planning Secretary prior to commencement of construction. Self-reported Non-compliance Non-compliance number: EVT-0001734 Date of Non-compliance: 14/08/2023 Site: Phase B1 - AFJV - Burwood North Non-Compliance type: Noise and Vibration Description of Non-compliance: On the night of Monday 31 July 2023 oversized plant were delivered to the North Strathfield site under out of hours work permit 133. The out of hours work (OOHW) was justified under condition of approval D37. The delivery was included in the CTP OOHW register and calendar. Community notification had been issued to the nearby sensitive receivers regarding the work. During review of the previous OOHW permits on 14 August 2023, AFJV discovered the work was carried out under OOHW permit 133 which had expired and did not reflect the task undertaken on the night. The expiry date in the OOHW register was incorrect for OOHW permit 133 which lead to work being planned under this permit. This non-compliance relates to out of hours work being undertaken without the required OOHW permit in place as per the CTP Noise and Vibration Management Plan. A complaint was received by a resident on Queens Road who did not receive notification due to them moving into the property on the weekend prior to the work. The AFJV community team has responded to the resident to their satisfaction. The missed notification is not considered a non-compliance due to the notifications being distributed and this resident was not a tenant at time of the distribution.	Non-Compliant	10038_IA3_06
C12	In addition to the relevant requirements of the CEMP, the Soil and Water CEMP Sub-plan must include, but not be limited to: a) details of construction activities and their locations which have the potential to expose areas known to contain, or potentially contain, contaminated soils and / or materials; b) measures for the handling, treatment and management of hazardous and contaminated soils and materials including measures to manage and / or minimise worker and public health and safety with regards to exposure to contamination; and c) a description of how the effectiveness of the actions and measures for managing contamination impacts would be monitored during the proposed works, clearly indicating how often this monitoring would be undertaken, the locations where monitoring would take place, and how the results of the monitoring would be recorded and reported.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	The Soil and Water Management Plan (SWMP) has been prepared to meet the requirements of the CEMP, as evidenced by their endorsement by the ER and approval by the Planning Secretary. The following observations were made by the auditor during assessment of the SWMP in relation to hazardous and contaminated soils: - Plan approval letter states "The SWMP has been prepared by Acciona Ferrovia Joint Venture (AFJV) to address the requirements of Infrastructure Approval conditions C5(c), C6 and C12." - Section 4.5 Contamination provides a summary of potential contamination risk for the CTP construction sites is presented in Table 7. - Section 6.8.2 Potential or known contaminated areas states "Contaminated soils are anticipated at some sites, such as The Bays, North Strathfield and Sydney Olympic Park. Prior to the commencement of soil excavation at all of the surface work sites, AFJV will complete Detailed Site Investigations (DSIs) and in situ waste classifications for all materials to be excavated in a manner documented in a Sampling Analysis and Quality Plan (SAQP). Areas of potential contamination and (following completion of the DSIs) known contamination will be clearly identified within Environmental Control Maps (ECMs). ECMs will be updated during the course of the CTP where additional contamination is confirmed." - Section 6.8.3 Contamination Management Process states "The contamination management process is clearly defined as part of the Project conditions, including: - D71: preparation of DSI - D72: Preparation of Remedial Action Plan (RAP) - D73: Site Audit Statement - D74: Validation report - D75: Site Audit Statement / Site Audit Report". - Section 6.8.4 Contamination Management Actions states "In accordance with CoA D77, an Unexpected Contaminated Land and Asbestos Finds Procedure has been prepared for the commencement of construction and will be followed should unexpected, contaminated land or asbestos (or suspected contaminated land or asbestos) be excavated or otherwise discovered during construction. This is included as Appendix E." - Section 6.11 Refuelling, Chemicals and Spill Management states "AFJV will ensure hazardous chemicals and dangerous goods will be stored and used onsite in accordance with the mitigation measures identified in Table 13." - Section 7.3 Monitoring, Inspections & Audits states "Review and confirmation of the implementation of soil and water quality management measures described in this document will be undertaken as part of the auditing and inspection regimes described in the CEMP. Site environmental inspections will include a check on the soil and water mitigation measures and the specific erosion and sediment controls implemented for the site. Internal monitoring of Soil and Water will enable tracking against the objectives and targets established for this SMP. The frequency and responsibility for monitoring and inspection activities is detailed in Table 15."	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
C13	<p>In addition to the relevant requirements of the CEMF, the Heritage CEMP Sub-plan must include, but not be limited to:</p> <p>a) be prepared in consultation with a suitably qualified and experienced heritage expert;</p> <p>b) identify exclusion zones, archival recording requirements, baseline and periodic monitoring protocols (including before and during construction);</p> <p>c) identify and assess the heritage significance of the ancillary structures proposed to be demolished or significantly impacted that are within the curtilage of White Bay Power Station and other items identified as retaining 'potential heritage significance' in the documents listed in Condition A1 of this schedule and which will be impacted by the CSSI;</p> <p>d) in association with Condition D61 of this schedule, set out the final site inspections to be conducted within three (3) months of completion of construction for the following heritage sites unless otherwise agreed by the Planning Secretary:</p> <p>I. the Roxy Theatre (SHR I00711);</p> <p>II. White Bay Power Station (SHR I01015);</p> <p>III. the former State Abattoirs (State Environmental Planning Policy (State Significant Precincts) 2005 Item 141); and</p> <p>IV. the RTA Depot facade fronting Unwin Street (Parramatta Local Environmental Plan 2011 I576); and</p> <p>e) set out means of rectification of any damage by the CSSI to Heritage items (d)(i) to (d)(iv) above within six (6) months of the completion of construction at the construction site identified in the relevant Heritage CEMP Sub-plan. This rectification work must be in consultation with a suitably qualified and experienced heritage consultant to ensure the use of appropriate materials, appropriate conservation practices and in accordance with existing heritage management documents (for example, conservation management plans or strategies) to protect and conserve the heritage significance of the items. The Heritage CEMP Sub-plan must include Aboriginal cultural heritage management and mitigation measures (that may include conservation, archaeological salvage excavation and community collection) based on the Aboriginal Cultural Heritage Excavation Report and continuing Aboriginal community consultation.</p>	Heritage Management Plan, Revision 4 (Issued 29 July 2022)	<p>The Heritage Management Plan has been prepared to meet the requirements of the CEMF, as evidenced by their endorsement by the ER and approval by the Planning Secretary. The following observations were made by the auditor during assessment of this plan:</p> <p>- Table 3 Compliance table: Requirements for Preparation of the HMP states "AFJV is responsible for this condition to the extent it relates to White Bay Power Station and the former State Abattoirs."</p> <p>- Section 5.6 ECMS and Exclusion Zones states "An exclusion zone and signage, along with protective fencing will be erected at the interface of The Bays construction site and the White Bay Power Station. The indicative location of the exclusion fencing at The Bays is included in Figure 7."</p> <p>- Appendix D CoA C13(A) Consultation shows email correspondence with Dr. Sandra Wallace (Managing Director, Artefact) confirming the Heritage Management Plan is appropriate and is consistent with the heritage management documents that supported by the planning approval for the project.</p> <p>- Section 5.3.4 Demolition management states "Demolition of buildings and structures adjacent to identified retained heritage buildings will be undertaken with care and under the guidance and recommendations from the heritage specialist where required, at the following locations:</p> <p>- The Bays - White Bay Power Station (State Heritage Register (01015))</p> <p>- Sydney Olympic Park – State Abattoirs SEPP (State Significant Precincts) (Item 141)</p> <p>- Five Dock – adjoining St Albans Church (Canada Bay LEP 2013 (I226)).</p> <p>In addition, the demolition subcontractor has prepared a Demolition Management Plan for the CTP project.</p>	Compliant	
C14	<p>The following Construction Monitoring Programs must be prepared in consultation with the relevant government agencies identified for each to compare actual performance of construction of Stage 1 of the CSSI against the performance predicted in the documents listed in Condition A1 of this schedule or in the CEMP:</p> <p>a. noise and vibration - EPA, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</p> <p>b. blasting - SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</p> <p>c. surface water quality - DPIE Water, Relevant Council(s) and Sydney Water (if any Sydney Water assets are impacted)</p> <p>d. groundwater - DPIE Water and SOPA (in respect of Sydney Olympic Park)</p> <p>Note: The Blasting Construction Monitoring Program is only required to be prepared if blasting is proposed to be conducted during construction.</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Noise and Vibration Monitoring Program (Issued 6 October 2021)</p> <p>Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022)</p> <p>Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021)</p>	<p>The CEMP and the Construction Monitoring plans meet the requirements for consultation with the relevant government agencies identified for each plan in accordance with CoA C14 as summarised below.</p> <p>Section 3.9.2 of the CEMP states "Issue-specific environmental monitoring will be undertaken by the Environment Manager, or delegate, as required by CoA, permit or licence condition. Aspect specific procedures for environmental monitoring are detailed in the relevant CEMP sub-plan (refer to Section 3.1) for monitoring undertaken in accordance with the relevant monitoring programs required under CoA C14</p> <p>Section 1 of the Noise and Vibration Monitoring Program states "This Noise and Vibration Monitoring Program (Program) has been prepared to address the Condition of Approval (CoA) C14(a), C15 and C16</p> <p>Section 3 of the Surface Water Monitoring states "In accordance with CoA C14(c), this Program will be provided to the following government</p> <p>Section 1 of the Groundwater Monitoring Program states "This Groundwater Construction Monitoring Program (GCMP) has been prepared to address the Condition of Approval (CoA) C14(d), C15 and C17</p> <p>This finding also applies to conditions C15, C16, C17 and C22.</p>	Compliant	

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C15	Each Construction Monitoring Program must provide: a) details of baseline data available including the period of baseline monitoring; b) details of baseline data to be obtained and when; c) details of all monitoring of the project to be undertaken; d) the parameters of the project to be monitored; e) the frequency of monitoring to be undertaken; f) the location of monitoring; g) the reporting of monitoring results and analysis results against relevant criteria; h) details of the methods that will be used to analyse the monitoring data; i) procedures to identify and implement additional mitigation measures where the results of the monitoring indicated unacceptable project impacts; j) a consideration of SMART principles; and k) any consultation to be undertaken in relation to the monitoring programs; and l) any specific requirements as required by Conditions C16 to C17 of this schedule.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Monitoring Program (Issued 6 October 2021) Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021)	Assessment of the CEMP and the Construction Monitoring plans observed that they include the specified requirements of CoA C15 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k) and (l) as endorsed by the ER and observed in the evidence collected during the Independent Audit.	Compliant	
C16	The Noise and Vibration Construction Monitoring Program and Blasting Construction Monitoring Program must include: a) noise and vibration monitoring determined in consultation with the AA to confirm the best achievable construction noise and vibration levels with consideration of all reasonable and feasible mitigation and management measures that will be implemented; b) for the purposes of (a), noise monitoring must be undertaken during the day, evening and night-time periods and within the first month of work as well as throughout the construction period and cover the range of activities being undertaken at the sites; and c) a process to undertake real time noise and vibration monitoring. The results of the monitoring must be readily available to the construction team, the Proponent, ER and AA. The Planning Secretary and EPA must be provided with access to the results on request.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Monitoring Program (Issued 6 October 2021) Interview with Environmental Representative (4 September 2023)	Assessment of the Noise and Vibration Monitoring Program observed that it satisfies the requirements of CoA C16 (a), (b) and (c) and was endorsed by the ER.	Compliant	
C17	Groundwater Construction Monitoring Program must include: a) groundwater monitoring networks at each construction excavation site; b) detail of the location of all monitoring bores with nested sites to monitor both shallow and deep groundwater levels and quality; c) define the location of saltwater interception monitoring where sentinel groundwater monitoring bores will be installed between the saline sources of the estuary or river and that of the stations or shafts; d) results from existing monitoring bores; e) monitoring and gauging of groundwater inflow to the excavations, appropriate trigger action response plan for all predicted groundwater impacts upon each noted neighbouring groundwater system component for each excavation construction site; f) trigger levels for groundwater quality, salinity and groundwater drawdown in monitoring bores and / or other groundwater users; g) daily measurement of the amount of water discharged from the water treatment plants; h) water quality testing of the water discharged from treatment plants; i) management and mitigation measures and criteria; j) groundwater inflow to the excavations to enable a full accounting of the groundwater	CEMP, Revision 6. (Issued 23 December 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021)	Assessment of the Groundwater Water Monitoring Program observed that it satisfies the requirements of CoA C17 (a), (b), (c), (d), (e), (f), (g), (h), (i), (j), (k) and (l) and was endorsed by the ER.	Compliant	

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	take from the Sydney Basin Central Groundwater Source; and k) reporting of groundwater gauging at excavations, groundwater monitoring, groundwater trigger events and action responses; and l) methods for providing the data collected to Sydney.				
C22	The Construction Monitoring Programs, as approved by the Planning Secretary or the ER has endorsed (whichever is applicable), including any minor amendments approved by the ER, must be implemented for the duration of construction and for any longer period set out in the monitoring program or specified by the Planning Secretary or the ER (whichever is applicable), whichever is the greater.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Monitoring Program (Issued 6 October 2021) Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021)	It was observed that the Construction Monitoring has been approved by the Planning Secretary and/or the ER as evidenced below. Section 3.9.2 of the CEMP states "Each monitoring program will address the requirements of CoA C15 and aspect specific requirements of CoA C16 (noise and vibration) and C17 (groundwater). The monitoring programs required under CoA C14 must be, reviewed by the AA (where relevant), endorsed by the ER and approved by the Planning Secretary prior to the commencement of construction." Section 3.2 of the Noise and Vibration Monitoring Program states "In accordance with CoA C18 this Monitoring Program will be submitted to the Planning Secretary for approval, following ER and AA endorsement." Section 3.2 of the Surface Water Monitoring Program states "In accordance with CoA C18 this Monitoring Program will be submitted to the Planning Secretary for approval, following ER endorsement." Section 3.2 of the Groundwater Monitoring Program states "In accordance with CoA C18 this Monitoring Program will be submitted to the Planning Secretary for approval, following ER endorsement." This finding also applies to conditions C16 and C17.	Compliant	
C23	The results of the Construction Monitoring Programs must be submitted to the Planning Secretary, ER and relevant regulatory agencies, for information in the form of a Construction Monitoring Report at the frequency identified in the relevant Construction Monitoring Program. Note: Where a relevant CEMP Sub-plan exists, the relevant Construction Monitoring Program may be incorporated into that CEMP Sub-plan.	Noise and Vibration Monitoring Program (Issued 6 October 2021) Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021)	The auditor observed evidence of a number of monitoring programs as required by the Construction Monitoring Programs submitted to the Planning Secretary, ER and relevant regulatory agencies, including AA reports, ER reports and water monitoring.	Compliant	
D1	All reasonably practicable measures must be implemented to minimise the emission of dust and other air pollutants during construction.	Air Quality Management Plan, Revision 03 (Issued 08 August 2022)	It was observed that the Air Quality Management Plan includes mitigation and management measures to minimise the emission of dust and other air pollutants during construction in accordance with CoA D1 as specified in Section 6.1 of the Air Quality Management Plan which states "Construction associated with the CTP has the potential to impact air quality within and adjacent to the construction footprint. In order to avoid, mitigate and/or minimise these potential impacts, a range of environmental requirements and control measures are identified in the various CSSI environmental assessment documents (including the EIS) and other guidance documents" During site visits the auditors observed dust management measures were being applied including the use of water carts, street sweepers and truck wash facilities.	Compliant	
D2	Biodiversity Credits The clearing of native vegetation must be minimised to the greatest extent practicable with the objective of reducing impacts to threatened ecological communities and threatened species habitat.	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	The Flora and Fauna Management Plan was observed to include mitigation and management measures for clearing of native vegetation in accordance with CoA D2. The site visits undertaken by the auditors observed minimal vegetation on the sites. The following observations were made during assessment of the Flora and Fauna Management Plan: - Section 6.1 Mitigation and management measures states "Construction associated with the CTP has the potential to impact flora and fauna within and adjacent to the construction footprint. In order to avoid, mitigate and/or minimise these potential impacts, a range of environmental requirements and control measures are identified in the various CSSI environmental assessment documents (including the EIS) and other guidance documents. Specific measures and requirements to address impacts on flora and fauna are outlined in Table 5." - Table 5 Flora and Fauna mitigation measures ref FF09 states "Clearing of vegetation, including the clearing of native vegetation and fauna habitat, will be minimised to the greatest extent practicable (e.g. through detailed design, selecting plant to avoid impact on retained trees, retaining perimeter vegetation where possible and not in conflict with other mitigation measures or works). This includes the retention of trees and preference for canopy trimming should be considered where practicable." - Section 6.7 Tree management states "During design and construction, AFJV will avoid removal of trees and tree canopy wherever possible in accordance with CoA D2, D9 and REMM LV11." This finding also applies to condition D9.	Compliant	
D4	Before any vegetation clearing or tree removal that must be offset, the relevant credits specified in Table 3 below must be purchased and retired. The retirement of credits must be carried out in accordance with the offset rules of the BC Act.	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	Sydney Metro and the Delivery Contractor advised that there has been no removal of vegetation requiring offsetting as per the relevant credits specified in Table within Condition D4.	Not triggered	
D5	The requirement to retire credits in Condition D4 above may be satisfied by payment to the Biodiversity Conservation Fund of an amount equivalent to the class and number of species credits, as calculated by the Biodiversity Offsets Payment Calculator.	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	See finding for condition D4 above.	Not triggered	
D7	Microbat Management Before the removal or clearing of any vegetation, or the demolition of structures identified as potential roosting sites for microbats at the Clyde Stabling and Maintenance Facility site commences, pre-clearing / demolition inspections for the threatened species must be undertaken. The inspections, and any subsequent relocation of fauna and associated management / offset measures, must be undertaken under the guidance of a suitably qualified and experienced ecologist. Survey and relocation methodologies and management / offset measures must be included in the Flora and	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	Assessment of the Flora and Fauna Management Plan confirms that the buildings and structures that represent microbat roosting habitat are located at Clyde MSF and therefore not relevant to CTP. Appendix B of the Flora and Fauna Management Plan states, "As per CoA D7, buildings and structures that represent roosting habitat are located at Clyde and therefore not relevant to CTP" and "CoA D7 states that survey of demolition of structures identified as potential roosting sites for microbats is required at the Clyde Stabling and Maintenance Facility site only." This finding also applies to condition D8.	Not triggered	

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	fauna CEMP Sub-plan required under Condition C5 of this schedule or the relevant Site Establishment Management Plan required by Condition A17 of this schedule.				
D8	In the event roosting sites have been identified under Condition D7 above, bat boxes must be provided or suitable habitat built within the Clyde Stabling and Maintenance Facility site.	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	See finding for condition D7 above.	Not triggered	
D9	Tree Removal As many mature trees and as much urban canopy as practicable must be retained during construction. Canopy trimming should be considered where practicable prior to any mature tree removal.	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	The Flora and Fauna Management Plan was observed to include mitigation and management measures for the retention of mature trees and urban canopy during construction and consideration for canopy trimming prior to any mature tree removal in accordance with CoA D9. In addition, the site visits undertaken by the auditors observed minimal vegetation present at The Bays and Five Dock sites. See finding for condition D2 above.	Compliant	
D10	Unless otherwise agreed by the Planning Secretary, Stage 1 of the CSSI must be designed and constructed to not worsen flooding characteristics within and in the vicinity of the CSSI. Not worsen existing flooding characteristics means the following: a) a maximum increase in inundation time of one hour in a one (1) per cent Annual Exceedance Probability (AEP) flood event; b) a maximum increase of 10 mm in inundation at properties where floor levels are currently exceeded in a one (1) per cent AEP flood event; c) a maximum increase of 50 mm in inundation of land at properties where floor levels would not be exceeded in a one per cent AEP flood event; and d) no inundation of floor levels which are currently not inundated in a one (1) per cent AEP flood event. Measures identified in the documents listed in Condition A1 of this schedule to not worsen flooding characteristics or measures that achieve the same outcome must be incorporated into the detailed design of Stage 1 of the CSSI. The incorporation of these measures must be reviewed and endorsed by a suitably qualified and experienced person in consultation with directly affected landowners, DPE Water, DPI Fisheries, DPE BCD, NSW State Emergency Service (SES), SOPA (in respect of Sydney Olympic Park) and Relevant Council(s). Where flooding characteristics exceed the levels identified in (a), (b), (c), (d) above, the Proponent must undertake the following: a) consult with property owners for properties adversely flood affected as a result of Stage 1 of the CSSI and mitigate where necessary; and b) consult with the NSW State Emergency Service (SES), SOPA (in respect of Sydney Olympic Park) and Relevant Council(s) regarding the management of any residual flood risk beyond the 1 per cent AEP flood event and up to the probable maximum flood.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	Assessment of the Soil and Water Management Plan observed that it states, "Potential flooding during the construction phase will be considered by the design team in the temporary works design, with appropriate safeguards implemented during construction. The construction of the CTP should have a negligible impact on flooding within the catchment, with minimal loss of flood storage and minimal changes or restrictions to existing flood regimes. The majority of the CTP construction sites are at a low risk of flooding as the sites are generally located away from overland and mainstream flood areas and/or are at elevations above the effects of coastal inundation. The sites that are impacted by the 1% annual exceedance probability (AEP) flood event are only affected by minor, shallow overland flooding in the 1% AEP event. Some sites would also be affected by flooding in the probable maximum flood event. As detailed in the Section 12.2(a)(xi) of the CEMF and CoA D10, stormwater and flooding management plans would be prepared for construction sites that have a residual risk of flooding after mitigation."	Compliant	
D12	Flood information including flood reports, models and geographic information system outputs must be provided to the Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD and the SES in order to assist in preparing relevant documents and to reflect changes in flood behaviour as a result of Stage 1 of the CSSI. The Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD and the SES must be notified in writing that the information is available no later than one (1) month following the completion of construction. Information requested by the Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD or the SES must be provided no later than six (6) months following the completion of construction or within another timeframe agreed with the Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD and the SES. The project flood models and data must be uploaded to the NSW Flood Data Portal and access must be provided to the Relevant Council(s), DPE BCD, SES and SOPA (in respect of Sydney Olympic Park) no later than one (1) month following the completion of construction.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	See detailed finding for condition D10 above.	Compliant	

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D13	Non-Aboriginal Heritage The Proponent must not destroy, modify or otherwise physically affect any Heritage item not identified in documents referred to in Condition A1 of this schedule. Unexpected heritage finds identified by Stage 1 of the CSSI must be managed in accordance with the Unexpected Finds Protocol outlined in Conditions D31 to D33 of this schedule. Consideration of avoidance and redesign to protect state significant unexpected finds must be addressed where this condition applies. Note: Affect in this condition means any impact above "little to no impact" as defined in the Material Threshold Policy (Heritage NSW, 2020).	Heritage Management Plan, Revision 4 (Issued 29 July 2022)	During interviews with Sydney Metro's heritage advisors and the Delivery Contractor the audit team was advised that no unexpected finds were reported during the audit period. It was observed that Section 5.5 of the Heritage Management Plan states "Any unexpected heritage finds will be managed in accordance with the Sydney Metro Unexpected Heritage Finds Procedure provided in Appendix B".	Compliant	
D14	Before installing protective site boundary hoarding or equipment used for vibration and noise monitoring at any Heritage item identified in the documents listed in Condition A1 of this schedule, the advice of a suitably qualified and experienced built heritage expert must be obtained and implemented to ensure any such work does not have an adverse impact on the heritage significance of the item. The installation must also consider and avoid impacts to potential historical archaeology and seek advice from the Excavation Director approved under Condition D27 below.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	The Heritage Management Plan was observed as including details on the advice heritage specialist is to provide with regards to methods and location for installation of site boundary hoarding or monitoring equipment on Heritage items and, methods and location for installation of site boundary hoarding or monitoring equipment on Heritage items. The auditors observed locations of vibration monitors during site inspections at The Bays and Five Dock.	Compliant	
D17	The Roxy Theatre, White Bay Power Station, the former State Abattoirs and the former RTA Depot facade fronting Unwin Street must not be destroyed, modified or otherwise adversely affected, except as identified in the documents listed in Condition A1 of this schedule.	Heritage Management Plan, Revision 4 (Issued 29 July 2022)	The Roxy Theatre, White Bay Power Station, the former State Abattoirs, and the former RTA Depot facade fronting Unwin Street have not been destroyed, modified, or otherwise adversely affected by the construction works. The Heritage Management Plan was observed to include heritage management measures for White Bay Power Station and the former State Abattoirs as per CoA D17.	Compliant	
D18	Where Heritage items, or items assessed to be of local heritage significance in the documents listed in Condition A1 of this schedule, are proposed to be fully or partially destroyed, heritage salvage must occur in consultation with a suitably qualified heritage specialist. The Proponent must develop a significant fabric and moveable heritage salvage register. The register must identify significant items to be salvaged. Salvage must occur for items that are assessed as having heritage significance and where significance is retained or the potential for re-use, reinstatement or re-sale has been identified. The salvage from any State listed items must be undertaken in consultation with Heritage NSW.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Salvage Report, The Pine Inn, Comber Consultants, Rev E (Issued 04 May 2022)	The Heritage Management Plan was observed to include details of the salvage requirements of local heritage significance in Section 5.3.2 and Table 9. Items to be salvaged will be identified in a salvaged materials and moveable heritage register, as per CoA D18, in consultation with Sydney Metro to determine the feasibility of salvage, with consideration of the potential for significance to be retained and / or the potential for re-use, reinstatement or re-sale, as per CoA D18. The Salvage Report for the Pine Inn was observed to include the salvage process requirements in accordance with the requirements for CoA D18.	Compliant	
D25	Excavation and Archaeology Before the commencement of any excavation at Parramatta and The Bays metro station construction sites, a revised Archaeological Research Design and Excavation Methodology(s) must be prepared in accordance with Heritage Council of NSW guidelines and with reference to the detailed design of Stage 1 construction of the CSSI to guide archaeological excavation. The revised Archaeological Research Design and Excavation Methodology(s) must be prepared by the Excavation Director (approved under Condition D27 below) and must include: a) site specific research for the Parramatta and The Bays metro station construction sites which is conducted by a professional historian to clearly articulate the historical development of the allotments to assist with the reassessment of potential and significance; b) comparative analysis from archaeological investigations in Parramatta (including theses, publications and grey literature reports); c) preparation of research questions based on the additional site-specific research required by this condition, and relevant research agendas from previously excavated early historical occupation in Parramatta including recovered artefact assemblages; and d) a reconsideration of archaeological methods to manage the sites based on this additional assessment. The revised Archaeological Research Design and Excavation Methodology(s) must apply to both Parramatta and The Bays metro station construction sites and be prepared in consultation with Heritage NSW and Place Management NSW (in respect of The Bays) and submitted to the Planning Secretary for approval. The revised Archaeological Research Design and Excavation Methodology(s) must be implemented throughout the archaeological	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Final Revised Archaeological Research Design and Excavation Methodology (ARDEM) - Report to Sydney Metro, Revision 3 (Issued 24 November 2021)	Section 5.3.3 of the Heritage Management Plan was observed to state that "In accordance with CoA D25 a revised ARDEM has been prepared for The Bays in accordance with the Heritage Council of NSW guidelines. The ARDEM has been prepared by the Excavation Director required under CoA D27 and includes: - Site specific research which is conducted by a professional historian to clearly articulate the historical development of the allotments to assist with the reassessment of potential and significance - Preparation of research questions based on the additional site-specific research - A reconsideration of archaeological methods to manage the sites based on this additional assessment. The ARDEM includes provision for early physical investigation of areas of impact identified as likely to contain State significant archaeology or subterranean Heritage items including the White Bay Power Station (inlet) canal and Beattie Street stormwater channel (refer to Table 5). The ARDEM was prepared in consultation with Heritage NSW and Place Management NSW and was approved by the Planning Secretary prior to excavation works commencing at The Bays. The ARDEM must be implemented for the duration of the archaeological excavation program at The Bays. The ARDEM will provide details relating to post excavation management including cleaning, bagging and labelling, and repository location for long term storage of the salvaged artefacts. The ARDEM will be implemented as per the requirement of REMM NAH6. Following completion of the excavation program, a Final Excavation Report would be prepared in accordance with CoA D28 that includes: - further detailed and site-specific historical research undertaken - results of the archaeological excavations undertaken - details of any significant artefacts recovered, and - details of ongoing artefact management. Sydney Metro will be responsible for consideration of re-use of artefacts for future stages of the Project and other Sydney Metro projects. The Final Excavation Report will be provided to the Planning Secretary, Heritage NSW and Inner West Council no later than 24 months upon completion of the excavation (in accordance with CoA D29)." - Appendix A Other Conditions of Approval, ReMMs and CEMF requirements relevant to this plan states "AFJV is responsible for this condition to the extent it relates to The Bays construction site" Self-reported Non-compliance Non-compliance number: EVT-0001671 Date of Non-compliance: 29/06/2023 Site: Phase B1 - AFJV – The Bays Non-Compliance type: Heritage Description of Non-compliance: Site establishment works at the Bays site for the ETP works under Stage 2 of Sydney Metro West has penetrated areas of archaeological potential as described in the Bays Archaeological Research Design and Excavation Methodology (ARDEM) (Artefact 2021) produced in accordance with Condition D25 of SSI - 10038.	Non-Compliant	10038_IA3_21

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	excavation programs. Note: Nothing in these conditions prevents the Archaeological Research Design and Excavation Methodology to be separate procedures.		While the CTP works under Stage 1 of Sydney Metro West has involved the implementation of the ARDEM in these areas, the only area of potential which has been given Heritage clearance by the Excavation Director is the station box footprint. Other areas such as the roundhouse and the reclamation fill were subject to archaeological excavation activities, however these activities were not extensive enough to provide clearance. A portion of the Bays site containing uncleared areas of archaeological potential was handed to the ETP contractor between 12/05/23 and 10/06/23, after which JCG commenced site establishment works. However, Sydney Metro had not made it clear to JCG that these areas of potential remained onsite and therefore JCG did not identify that the Bays ARDEM was required to be implemented. As a result, limited shallow excavation has occurred within areas of archaeological potential at the Bays site prior to the development of Work Method Statements in accordance with Section 7.2 of the Bays Archaeological Research Design and Excavation Methodology (ARDEM) (Artefact 2021). JCG has implemented their Unexpected Finds Procedure for all excavation activities, and in only one instance was Heritage uncovered as shown in the accompanying Unexpected Heritage Find Recording Form on 30/06/23.		
D26	The revised Archaeological Research Design and Excavation Methodology(s) must include provision for early physical investigation of areas of impact identified as likely to contain State significant archaeology or subterranean Heritage items in the research design to inform excavation in these areas. This must include the Parramatta and The Bays metro station sites, including Parramatta Convict Drain, Parramatta Sand Body, White Bay Power Station (inlet) Canal and Beattie Street Stormwater Channel.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Final Revised Archaeological Research Design and Excavation Methodology (ARDEM) - Report to Sydney Metro, Revision 3 (Issued 24 November 2021) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	The 4th Interim heritage report (Aboriginal Cultural Heritage Excavation Report) is required to be prepared by Archaeological Research Design. The audit team was advised during interviews with stakeholders that the report is currently being prepared and will be finalised in Q3 FY2024.	Compliant	
D27	Before commencement of archaeological excavation, the Proponent must nominate a suitably qualified Excavation Director, who complies with Heritage Council of NSW's Criteria for Assessment of Excavation Director (September 2019), to oversee and advise on matters associated with historical archaeology for the approval of the Planning Secretary, in consultation with Heritage NSW. The Excavation Director must be present to oversee excavation, advise on archaeological issues, advise on the duration and extent of oversight required during archaeological excavations consistent with the approved Archaeological Research Design and Excavation Methodology(s) required under Condition D25 of this schedule. Aboriginal archaeological excavations must be conducted by a suitably qualified person in accordance with the requirements of the Code of Practice for Archaeological Investigation of Aboriginal Objects in New South Wales (DECCW 2010). More than one Excavation Director may be engaged for Stage 1 of the CSSI to exercise the functions required under the conditions of this approval.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Final Revised Archaeological Research Design and Excavation Methodology (ARDEM) - Report to Sydney Metro, Revision 3 (Issued 24 November 2021) DPE Approval letter: Nomination of Excavation Directors (Issued 08 September 2021)	It was observed that the DPE Approval letter: Nomination of Excavation states "I refer to your submission dated 30 August 2021 nominating additional Excavation Directors (EDs) for approval of the Planning Secretary for the Sydney Metro West Stage 1 project in accordance with Condition D27 of SSI-10038. I note that Ms Abi Cryerhall of GML Heritage Pty Ltd was approved as an ED for the project on 17 May 2021, and that you wish to nominate the following individuals as additional EDs: - Dr Tim Owen, Principal, GML Heritage Pty Ltd (Aboriginal archaeology), - Dr Iain Stuart, Principal Artefact Heritage Pty Ltd, and - Ms Sophie Jennings, Senior Heritage Consultant, GML Heritage Pty Ltd.	Compliant	
D28	Following completion of archaeological excavation programs, a Final Excavation Report and an Aboriginal Cultural Heritage Excavation Report must be prepared that includes further detailed and site-specific historical research undertaken to enhance the final reporting, and results of archaeological excavations. The report must include details of any significant artefacts recovered (salvaged), where they are located and details of their ongoing conservation. The Final Excavation Report must document significant results and artefacts which may be re-used in future stages of the CSSI. The Final Excavation Report must be prepared in accordance with guidelines and standards required by Heritage Council of NSW.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Final Revised Archaeological Research Design and Excavation Methodology (ARDEM) - Report to Sydney Metro, Revision 3 (Issued 24 November 2021) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	The 4th Interim heritage report (Aboriginal Cultural Heritage Excavation Report) is required to be prepared by Archaeological Research Design. The audit team was advised during interviews with stakeholders that the report is currently being prepared and will be finalised in Q3 FY2024. The Heritage Management Plan states that "Upon completion of the test and salvage excavations, in accordance with CoA D23 and D28 an Aboriginal Cultural Heritage Excavation Report/s would be prepared by a suitably qualified expert in accordance with the Guide to Investigation, assessing and reporting on Aboriginal cultural heritage in NSW (OEH, 2011) and the Code of Practice for Archaeological Investigation of Aboriginal Objects in New South Wales (DECCW, 2010) and in consultation with the RAPs, who would be given a minimum of 28 days to consider the report and provide comments before the report is finalised. The final report will be provided to the Planning Secretary, Heritage NSW and Inner West Council no later than 24 months upon completion of the excavation (in accordance with CoA D29)."	Compliant	
D29	The Final Excavation Report and Aboriginal Cultural Heritage Excavation Report must be submitted to the Planning Secretary, Heritage NSW and the Relevant Council for information no later than 24 months after the completion of the archaeological excavation.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Final Revised Archaeological Research Design and Excavation Methodology (ARDEM) - Report to Sydney Metro, Revision 3 (Issued 24 November 2021) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	See finding for condition D28 above.	Compliant	
D3	Impacts to plant community types must not exceed those identified in the documents listed in Condition A1 of this schedule, unless otherwise approved by the Planning Secretary. In requesting the Planning Secretary's approval, an assessment of the additional impact(s) to plant community types and an updated ecosystem and / or species credit requirement under Condition D4 below, if required, must be provided	Flora and Fauna Management Plan, Revisions 6 (Issued 12 October 2022)	Section 6.1 of the Flora and Fauna Management Plan states that "Construction associated with the CTP has the potential to impact flora and fauna within and adjacent to the construction footprint. In order to avoid, mitigate and/or minimise these potential impacts, a range of environmental requirements and control measures are identified in the various CSSI environmental assessment documents (including the EIS) and other guidance documents. Specific measures and requirements to address impacts on flora and fauna are outlined in Table 5." With Table 5 referencing stating that "Impacts to plant community types will not exceed those outlined in the planning approval unless approved by the Planning Secretary."	Compliant	

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D30	In the event the CSSI salvages state significant historical archaeology associated with early convict occupation at the Parramatta metro station construction site for which retention and future conservation is not possible: (a) the key findings of the archaeological investigations must be documented which explain their significance within the context of Parramatta and NSW no later than two (2) years after the completion of the archaeological excavations; and (b) provide for the curation, display and public access of artefacts, site records and final reports. Note: In reference to (b) above, this may involve partnerships with museums, local heritage centres and/or university.	Heritage Management Plan, Revision 4 (Issued 29 July 2022)	Appendix A of the Heritage Management Plan, Other Conditions of Approval, ReMMs and CEMF requirements relevant to this plan states "AFJV is responsible for this condition to the extent it relates to The Bays construction site".	Not triggered	
D31	Unexpected Finds An Unexpected Heritage Finds and Human Remains Procedure must be prepared to manage unexpected heritage finds (heritage items and values) in accordance with any guidelines and standards prepared by the Heritage Council of NSW or Heritage NSW.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	An unexpected finds procedure is documented with the Heritage Management Plan. The audit team was advised by AFJV that no unexpected finds had been identified.	Compliant	
D32	The Unexpected Heritage Finds and Human Remains Procedure must be prepared by a suitably qualified and experienced heritage specialist in consultation with the Heritage Council of NSW (with respect to non-Aboriginal cultural heritage) and in relation to Aboriginal cultural heritage, in accordance with the Code of Practice for Archaeological Investigation of Aboriginal Objects in New South Wales (DECCW 2010) and submitted to the Planning Secretary for information no later than one (1) month before the commencement of construction.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	An unexpected finds procedure is documented with the Heritage Management Plan. The audit team was advised by AFJV that no unexpected finds had been identified.	Compliant	
D33	The Unexpected Heritage Finds and Human Remains Procedure, as submitted to the Planning Secretary, must be implemented for the duration of construction. Note: Human remains that are found unexpectedly during the carrying out of work may be under the jurisdiction of the NSW State Coroner and must be reported to the NSW Police immediately. Management of human remains in NSW is subject to requirements set out in the Public Health Act 2010 (NSW) and Public Health Regulation 2012 (NSW). Nothing in these conditions prevents separate procedures for the Unexpected Heritage Finds and Human Remains Procedure.	Heritage Management Plan, Revision 4 (Issued 29 July 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023)	An unexpected finds procedure is documented with the Heritage Management Plan. The audit team was advised by AFJV that no unexpected finds had been identified.	Compliant	
D34	Land Use Survey 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 and construction ground-borne noise. The survey may be undertaken on a progressive basis but must be undertaken in any one area before the commencement of work which generates construction noise, vibration or ground-borne noise in that area. The results of the survey must be included in the Noise and Vibration CEMP Subplan required under Condition C5 of this schedule.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	Section 4.3 of the Noise and Vibration Management Plan, states that "In accordance with CoA D34 a detailed Land Use Survey was undertaken to confirm sensitive receivers (including critical working areas such as operating theatres and precision laboratories) potentially exposed to construction noise and vibration and construction ground-borne noise. The Land Use Survey is a live document that will be progressively updated throughout construction as required. Land Use Surveys will be updated progressively to capture potential ground-borne noise impacts as tunnelling progresses, and prior to the impacts of tunnelling."	Compliant	
D35	Construction Hours Work must only be undertaken during the following 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.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	The Sydney Metro Construction Noise and Vibration Standard (CNVS) will apply both inside and outside of the EPL premises boundary. The premises maps are held on EPA Electronic Filed EF21/12027 and approved in writing by the EPA. The premises maps are also available, with the EPL, on the Project Website. Where possible, works will be completed during the standard construction hours prescribed in CoA D35. Where out of hours works are required, AFJV would endeavour to schedule works in accordance with the Sydney Metro Construction Noise and Vibration Standard (CNVS), being: - Lower Impact: 6.00 pm till 10.00 pm weekdays 1.00 pm till 10.00pm Saturdays 8.00 am till 6.00 pm Sundays or Public Holidays - Moderate Impact: 10.00 pm to 7.00 am Weekday Nights 10.00 pm to 8.00 am Saturdays. - High Impact: 6.00 pm to 7.00 am Sundays and Public Holidays. Detail on works permitted to be undertaken outside the approved construction hours (OOHW) are included in Table 5-2. The auditor did not observe works outside of these times whilst on site visits to Five Dock or The Bays.	Compliant	
D36	Highly Noise Intensive Work Except as permitted by an EPL, highly noise intensive work that results in an exceedance of the applicable NML at the same receiver must only be undertaken: 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) if continuously, then not exceeding three (3) hours, with a minimum cessation of work of not less than one (1) hour. For the purposes of this condition,	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	See finding for condition D35 above.	Compliant	

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	'continuously' includes any period during which there is less than one (1) hour between ceasing and recommencing any of the work.				
D37	<p>Variation to Work Hours</p> <p>Notwithstanding Conditions D35 and D36 of this schedule work may be undertaken outside the hours specified in the following circumstances:</p> <p>a) Safety and Emergencies, including:</p> <p>I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>II. 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.</p> <p>On becoming aware of the need for emergency work in accordance with (a)(ii) above, the AA, the ER, the Planning Secretary and the EPA must be notified of the reasons for such work. The Proponent must use best endeavours to notify as soon as practicable all noise and/or vibration affected sensitive land user(s) of the likely impact and duration of those work.</p> <p>b) Low noise impact work, including:</p> <p>I. construction that causes LAeq(15 minute) noise levels:</p> <ul style="list-style-type: none"> • no more than 5 dB(A) above the rating background level at any residence in accordance with the ICNG, and • no more than the 'Noise affected' NMLs specified in Table 3 of the ICNG at other sensitive land user(s); and <p>II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or</p> <p>III. construction that causes:</p> <ul style="list-style-type: none"> • continuous or impulsive vibration values, measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), or • intermittent vibration values measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006). <p>c) By Approval, including:</p> <p>where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or</p> <p>II. works which are not subject to an EPL that are approved under an Out-of-Hours Work Protocol as required by Condition D38 of this schedule; or</p> <p>III. negotiated agreements with directly affected residents and sensitive land user(s).</p> <p>d) By Prescribed Activity, including:</p> <p>I. tunnelling (excluding cut and cover tunnelling and surface works) are permitted 24 hours a day, seven days a week; or</p> <p>II. concrete batching at the Clyde construction site is permitted 24 hours a day, seven days a week; or</p> <p>III. delivery of material that is required to be delivered outside of standard construction hours in Condition D35 of this schedule to directly support tunnelling activities, except between the hours 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>IV. haulage of spoil except between the hours of 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p> <p>SMW Central Tunnelling Package - Environment & Approvals Meeting No. 62 (including the OOHW Permit Register (4 September 2023))</p>	<p>The Noise and Vibration Management Plan and the OOHW permit register includes details on works permitted to be undertaken outside the approved construction hours (OOHW) in accordance with CoA D37.</p> <p>The Sydney Metro - CTP OOHW permit register includes the following:</p> <ul style="list-style-type: none"> - Permit No. - Status (of approval) - Date Submitted to ER - Approval Required by (date) - Activity Description - Site - Commencement date - Works Finish (date) <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001652</p> <p>Date of Non-compliance: 20/05/2023</p> <p>Site: Phase B1: AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: Following a noise complaint for works a on Saturday morning (complaint ID #4710) an investigation was conducted. It was concluded that spoil haulage activities including loading of a truck were conducted outside the acoustic shed prior to 8am on a Saturday that were not approved under any pathway such as D37(b) Low Noise Impact Works.</p> <p>This non-compliance triggered two CoAs as the NCR was submitted outside the required 7-day period due to extended investigation to confirm what was the noise source of the complaint in accordance with CoA A45.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001562</p> <p>Date of Non-compliance: 17/02/2023</p> <p>Site: Phase B1 - AFJV - The Bays</p> <p>Non-Compliance type: Management Systems</p> <p>Description of Non-compliance: A road plate in place for the Tunnel Boring Machine had a bolt loose requiring the road plate to be urgently secured for the ongoing safety of road users.</p> <p>Traffic control was established at 8:30pm, with workers securing the plate with 3 additional bolts using a rattle gun. Works were completed by 10:00pm.</p> <p>As the works were short in nature and completed prior to 10:00pm, the site team did not identify the need to implement any corrective actions.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001619</p> <p>Date of Non-compliance: 18/05/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: A trial of the ventilation fans placed at the bottom of the shaft excavation was conducted to determine the noise levels. Noise monitoring was conducted to determine the noise levels of the fans. It was found that despite the silencers, the noise caused by the fans was above NML and being operated at night for the trial. The trial was conducted to obtain noise monitoring at a time when background levels were representative of night time impacts.</p> <p>The environmental manager and project manager were notified via email with the results.</p> <p>The environmental manager advised the site team to discontinue use of the fans until further mitigation was installed and shown to be compliant on 7/06/23.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001653</p> <p>Date of Non-compliance: 6/06/2023</p> <p>Site: Phase B1 - AFJV - Five Dock</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: AFJV received an email from the Acoustics Advisor at 4:24pm on Friday afternoon 19 May and described his observations as 'potential' non-compliance. AFJV</p>	Non-compliant	<p>10038_IA3_04</p> <p>10038_IA3_07</p> <p>10038_IA3_08</p> <p>10038_IA3_09</p>

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	<p>site using any roads / streets other than directly from Parramatta Road; or</p> <p>V. work within an acoustic shed where there is no exceedance of noise levels under low noise impact work circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary.</p> <p>Note: Tunnelling does not include station box excavation</p>		<p>required time to investigate the allegation which was discussed at the enviro meeting 22/5/23 with Metro, the AA and the ER. After reviewing the available information AFJV moved forward with an NCR as Tuesday 23 May.</p> <p>During the night shift on the 18th of May, the night shift supervisor moved an excavator to allow for a safer tipping of the excavated material. During the excavator movement, a safety hazard regarding the stability of the stockpile was identified and resulted in the excavator reshaping the stockpile to remove the risk. The reshaping of the stockpile was over a duration of 30-40 minutes around 10:30pm.</p> <p>Contact was made with the night shift supervisor, and he was informed the activity of the excavator outside the acoustic shed was in breach the night works requirements.</p> <p>Works were immediately ceased after the excavator was removed from the haulage path and the stockpile area was made safe.</p>		
D38	<p>Out-of-hours Work Protocol – Work Not Subject to an EPL</p> <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 Conditions D35 and D36 of this schedule. The Protocol must be approved by the Planning Secretary before commencement of the out-of-hours work. The Protocol must be prepared in consultation with the ER, AA and EPA. The Protocol must provide:</p> <p>a) identification of low and high-risk activities and an approval process that considers the risk of activities, proposed mitigation, management, and coordination, including where:</p> <p>I. the ER and AA review all proposed out-of-hours activities and confirm their risk levels;</p> <p>II. low risk activities can be approved by the ER in consultation with the AA; and</p> <p>III. high risk activities that are approved by the Planning Secretary;</p> <p>b) a process for the consideration of out-of-hours work against the relevant NML and vibration criteria;</p> <p>c) a process for selecting and implementing mitigation measures for residual impacts in consultation with the community at each affected location, including respite periods consistent with the requirements of Condition D50 of this schedule. The measures must take into account the predicted noise levels and the likely frequency and duration of the out-of-hours works that sensitive land user(s) would be exposed to, including the number of noise awakening events;</p> <p>d) procedures to facilitate the coordination of out-of-hours work including those approved by an EPL or undertaken by a third party, to ensure appropriate respite is provided; and</p> <p>e) notification arrangements for affected receivers for all approved out-of-hours works and notification to the Planning Secretary of approved low risk out-of-hours works.</p> <p>This condition does not apply if the requirements of Condition D37(b) of this schedule are met.</p> <p>Note: Out-of-hours work is any work that occurs outside the construction hours identified in Condition D35 and D36 of this schedule.</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p> <p>Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)</p> <p>SMW Central Tunnelling Package - Environment & Approvals Meeting No. 62 (including the OOHW Permit Register (4 September 2023)</p>	<p>Section 1.2 of the Out of Hours Works Protocol states "This Protocol outlines how Acciona Ferrovia Joint Venture (AFJV) propose to consider, approve, and manage works outside the approved construction hours as required under the CoA D38, for works not subject to an Environment Protection Licence (EPL)."</p> <p>- The Sydney Metro - CTP OOHW permit register includes the following:</p> <ul style="list-style-type: none"> - Permit No. - Status (of approval) - Date Submitted to ER - Approval Required by (date) - Activity Description - Site - Commencement date - Works Finish (date) 	Compliant	
D39	<p>Construction Noise Management Levels and Vibration Criteria</p> <p>All reasonable and feasible 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) Australian Standard AS 2187.2 - 2006 "Explosives - Storage and Use - Use of Explosives" (for human exposure);</p> <p>d) BS 7385 Part 2-1993 "Evaluation and measurement for vibration in buildings Part 2" as they are "applicable to Australian conditions"; and (</p> <p>e) the vibration limits set out in the German Standard DIN 4150-3: Structural Vibration-effects of vibration on structures (for structural damage for structurally unsound heritage items).</p> <p>Any work identified as exceeding the noise</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p>	<p>Section 6.4 of the noise and vibration management plan states "Approval condition MCoA D39 requires that the project be constructed with the aim of achieving structural damage vibration limits in accordance with the German Standard DIN 4150-3: Structural Vibration – effects of vibration on structures and the British Standard BS 7385-2:1993 – Evaluation and measurement for vibration in buildings Part 2 – Guide for measurement of vibration and evaluation of their effects on buildings (as they are "applicable to Australian conditions");</p> <p>For human exposure, the acceptable vibration values set out in Environmental Noise Management Assessing Vibration: A Technical Guideline (Department of Environment and Conservation, 2006)</p> <p>Section 9.1 noise and vibration management plan states "In accordance with MCoA D39, reasonable and feasible noise mitigation measures (such as those listed within Chapter 6 of the ICNG and Section 4 and 5 of the CNVS) will be implemented with the aim of achieving the noise and vibration criteria specified in Section 6 of this plan. The proposed reasonable and feasible noise mitigations are included in the following sections. Noise and Vibration Mitigation and Management Measures"</p>	Compliant	

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	management levels and / or vibration criteria must be managed in accordance with the Noise and Vibration CEMP Sub-plan. Note: The ICNG identifies 'particularly annoying' activities that require the addition of 5 dB(A) to the predicted level before comparing to the construction Noise Management Level.				
D40	All reasonable and feasible mitigation measures must be applied when the following residential ground-borne noise levels are exceeded: a) evening (6:00 pm to 10:00 pm) — internal LAeq(15 minute): 40 dB(A); and b) night (10:00 pm to 7:00 am) — internal LAeq(15 minute): 35 dB(A). The mitigation measures must be outlined in the Noise and Vibration CEMP Sub-plan, including in any Out-of-Hours Work Protocol, required by Condition D38 of this schedule.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)	Section 5.3 of the out of hours protocol states "CoA D43 requires DNVIS to be prepared prior to any works exceeding: - must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground borne noise levels specified in Conditions D39 and D40 at any residence outside construction hours, or - where receivers will be highly noise affected (at any time)."	Compliant	
D41	Noise generating work in the vicinity of potentially-affected community, religious, educational institutions and noise and vibration-sensitive businesses and critical working areas (such as theatres, laboratories and operating theatres) resulting in noise levels above the NMLs must not be timetabled within sensitive periods, unless other reasonable arrangements with the affected institutions are made at no cost to the affected institution.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)	Section 9.5 of the Noise and Vibration Monitoring Plan states that "In accordance with Condition of Approval D41, noise generating work in the vicinity of potentially affected community, religious, educational institutions and noise and vibration-sensitive businesses and critical working areas (such as theatres, laboratories and operating theatres) resulting in noise levels above the NMLs will be timetabled so as to avoid sensitive periods, unless other reasonable arrangements have been made with the affected institutions."	Compliant	
D42	Construction Noise and Vibration Mitigation and Management Industry best practice construction methods must be implemented where reasonably practicable to ensure that noise levels are minimised around sensitive land user(s). Practices must include, but are not limited to: a) use of regularly serviced low sound power equipment; b) temporary noise barriers (including the arrangement of plant and equipment) around noisy equipment and activities such as rock hammering and concrete cutting; and c) use of alternative construction and demolition technique.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	Table 9.1 Noise and Vibration Management and Mitigation Measures ID MMNV13 states "All construction plant and equipment used on Site will be fitted with properly maintained noise suppression devices in accordance with the manufacturer's specifications including residential grade mufflers on all mobile plant regularly used at worksites."	Compliant	
D43	Detailed Noise and Vibration Impact Statements (DNVIS) must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified in Conditions D39 and D40 of this schedule at any residence outside construction hours identified in Condition D35 of this schedule, or where receivers will be highly noise affected. The DNVIS must include specific mitigation measures identified through consultation with affected sensitive land user(s) and the mitigation measures must be implemented for the duration of the works. A copy of the DNVIS must be provided to the AA and ER before the commencement of the associated works. The Planning Secretary and the EPA may request a copy(is) of the DNVIS.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)	Section 5.3 of the out of hours works protocol requires DNVIS to be prepared prior to any works exceeding: - must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground borne noise levels specified in Conditions D39 and D40 at any residence outside construction hours, or - where receivers will be highly noise affected (at any time). A DNVIS will be prepared for each construction site and for the tunnelling activity along the project alignment. Self-reported Non-compliance Non-compliance number: EVT-0001599 Date of Non-compliance: 20/02/2023 Site: Phase B1 - AFJV - Five Dock Non-Compliance type: Management Systems Description of Non-compliance: The Environmental Impact Statement for Stage 1 of SMW assessed the impacts of a 20-week period where the station box for the Five Dock station would be excavated without an acoustic shed in place. The assessment covered three specific work scenarios being mucking out, excavation through soft soil and rock, and excavation through rock using a rock breaker over a total period of 20 weeks. Condition D43 of approval SSI 10038 requires that a Detail Noise and Vibration Impact Statement (DNVIS) be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified within the conditions of approval at any residence where works are to be completed outside construction hours, or where receivers will be highly noise affected. A DNVIS for Five Dock was approved by the Acoustic Advisor (AA) on 4 July 2022 (Revision 5). The DNVIS modelled impacts associated with excavation of the station box at Five Dock within an	Non-Compliant	10038_IA3_10 10038_IA3_11

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			<p>acoustic shed. This version did not contemplate any impacts associated with the station box excavation without the acoustic shed in place.</p> <p>On approximately 20 Feb 2023, AFJV commenced initial shaft excavation without a shed in place but did not update the DNVIS to reflect that this activity had commenced. As such, this meant the DNVIS did not include modelling to assess the activity of station box excavation without a shed in place, being an activity that may exceed the NML. Additionally, a version of the DNVIS covering this scenario was not provided to the AA and ER before it commenced.</p> <p>Despite that the modelling in the DNVIS omitted scenarios where the shed is not in place, AFJV have applied management measures to control and mitigate the noise and vibration impacts of excavation activities that are considered appropriate for the impacts that occur without the shed since the commencement of the activity.</p> <p>The measures involve providing 1 hour of respite for every continuous 3 hours of activity over the NML and other mitigation strategies defined in Table 7-1 of the DNVIS. Furthermore, section 7.1.3 identifies the maximum required additional mitigation measures for the community for works carried out during daytime hours, which were also applied throughout the excavation activities.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001655</p> <p>Date of Non-compliance: 13/06/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: Review of the Burwood North DNVIS Rev 8 identified that impacts from excavation works in the eastern station box being carried out during standard construction hours without an acoustic lid were not specifically assessed in the DNVIS. A typing error in the document indicated that the eastern shaft daytime impacts were modelled without the mitigation of the acoustic lid in place. Further investigation of the document with the noise consultant confirmed this section assessed the southern shaft as opposed to how the section was labelled.</p> <p>Noise modelling for an addendum to DNVIS Rev 8 showed that no additional impact to the surrounding community during standard construction hours occurred from the works when compared to what was assessed in DNVIS Rev 8.</p>		
D44	DNVIS must be prepared for each construction site before construction noise and vibration impacts commence and include specific mitigation measures identified through consultation with affected sensitive land users.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	Section 8.2 of the out of hours works protocol states "In accordance with CoA D44, a DNVIS will be prepared for each Construction Site (i.e. five in total) plus one for all Tunnelling (including cross passages) along the alignment length. Additional DNVIS will be prepared as required in the case of OOHV and for works outside the project boundary of the construction sites."	Compliant	
D45	Owners and occupiers of properties at risk of exceeding the screening criteria for cosmetic damage must be notified before works that generate vibration commences in the vicinity of those properties. If the potential exceedance is to occur more than once or extend over a period of 24 hours, owners and occupiers are to be provided a schedule of potential exceedances on a monthly basis for the duration of the potential exceedances, unless otherwise agreed by the owner and occupier. These properties must be identified and considered in the Noise and Vibration CEMP Sub-plan.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)	Section 9.2.2 of the Noise and Vibration Monitoring Plan states "CoA D45 requires owners and occupiers of properties at risk of exceeding the screening criteria for cosmetic damage must be notified before the works that generate vibration commences in the vicinity of the properties. If the potential exceedance is to occur more than once or extend over a period of 24 hours, owners and occupiers are to be provided a schedule of potential exceedances on a monthly basis for the duration of the potential exceedances, unless otherwise agreed by the owner and occupier. The properties at risk of exceeding the screening criteria will be identified in the DNVIS.	Compliant	
D46	Construction Vibration Mitigation – Heritage Vibration testing must be conducted 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 attended 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. Such measures must include, but not be limited to, review or modification of excavation techniques.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Noise and Vibration Monitoring Program (Issued 6 October 2021)	Section 9.2.3 of the noise and vibration management plan states "In line with Condition D46 vibration testing will be undertaken during activities that have the potential to impact heritage items, above the appointed criteria, to identify minimum working distances to prevent cosmetic damage. Vibration monitoring would be undertaken at heritage assets at the request of the asset owners where feasible and reasonable. In the event that the vibration testing and attended monitoring shows that the preferred values for vibration are likely to be exceeded, the construction methodology will be reviewed and, if necessary, implement additional mitigation measures."	Compliant	
D47	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 items.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Noise and Vibration Monitoring Program (Issued 6 October 2021)	Section 9.2.3 of the Noise and Vibration Management Plan states that "Additionally, per CoA D47 advice from a heritage specialist (being the contractors heritage consultant) will be obtained on methods and locations for installing equipment used for vibration, movement and noise monitoring at heritage-listed structures, prior to monitoring commencing. Relevant asset management groups would also be consulted on the placement of vibration monitoring devices within the curtilage of Heritage items."	Compliant	
D48	Before conducting at-property treatment at any Heritage item identified in the documents listed in Condition A1 of this schedule, the advice of a suitably qualified and experienced built heritage expert must be obtained and implemented to ensure any such work does not have an adverse impact on the heritage significance of the item.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	Section 9.2.3 of the Noise and Vibration Management Plan states "Similarly, in accordance with CoA D48 before installing at property treatment at a Heritage item, the advice of a suitably qualified and experienced built heritage expert would be obtained and implemented to ensure the installation does not have adverse impacts of the heritage significance of the item." The auditor was not aware of any at property treatment during the audit period.	Compliant	
D49	If a Heritage item is found to be structurally unsound (following inspection) a more conservative cosmetic damage criterion of 2.5 mm/s peak component particle velocity (from DIN 4150) must be applied.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Noise and Vibration Monitoring Program (Issued 6 October 2021)	Section 9.2.3 of the Noise and Vibration Management Plan states in accordance with CoA D49 a conservative vibration damage screening level of 2.5 mm/s will be adopted for heritage structures and other sensitive structures of great intrinsic value where they are found to be structurally unsound. Otherwise, the standard 7.5mm/s criteria will apply (as discussed in Section 6.4). During site interviews that audit team was advised that no heritage items were found to be structurally unsound.	Compliant	

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D50	<p>Utility Coordination and Respite All work undertaken for the delivery of Stage 1 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 work to provide respite to impacted noise sensitive receivers so that the respite is achieved in accordance with Condition D51 of this schedule; 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 AA in support of any decision made by the Proponent in relation to respite or mitigation.</p> <p>The consideration of respite must also include all other approved Critical SSI, SSI and SSD projects which may cause cumulative and / or consecutive impacts at receivers affected by the delivery of Stage 1 of the CSSI.</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p> <p>Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)</p> <p>Interview with Acoustic Advisors (Noise and Vibration) (6 September 2023)</p>	<p>It was advised during interviews with Acoustic Advisors (Noise and Vibration) on the 6 September 2023 that a fortnightly environmental meeting regarding utility coordination and respite periods is convened and is chaired by Metro, AFJV, and ER's.</p> <p>Section 10.2 of the out of hours works protocol states that as part of the noise and vibration assessment process under CoA D50, AFJV will ensure all OOHW undertaken for the delivery of the CSSI, including works undertaken by a third party, are co-ordinated to implement appropriate respite and/or mitigation measures for potentially affected sensitive receivers and ensure respite would be coordinated to ensure agreed respite is provided"</p>	Compliant	
D51	<p>Out-of-Hours Works – Community Consultation and Respite In order to undertake out-of-hours work outside the work hours specified under Condition D35 of this schedule, appropriate respite periods for the out-of-hours work must be identified 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 progressive schedule for periods no less than three (3) months, of likely out-of-hours work;</p> <p>b) a description of the potential work, location and duration of the out-of-hours work;</p> <p>c) the noise characteristics and likely noise levels of the work; and</p> <p>d) likely mitigation and management measures which aim to achieve the relevant NMLs under Condition D39 (including the circumstances of when respite or relocation offers will be available and details about how the affected community can access these offers).</p> <p>The outcomes of the community consultation, the identified respite periods and the scheduling of the likely out-of-hour work must be provided to the AA, EPA and the Planning Secretary. Note: Respite periods can be any combination of days or hours where out-of-hours work would not be more than 5 dB(A) above the RBL at any residence.</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p> <p>Out of Hours Works Protocol, Revision 04 (Issued 16 March 2022)</p> <p>Interview with Communications Team (5 September 2023)</p>	<p>During an interview with the Communications Team on the 5 September 2023 the audit team was advised that trigger levels are assessed and modelling is undertaken which looks at Noise Management Levels (NMLs). Discussions are held which consider construction works locations and timing, and surrounding land uses around a site. In general, alternative accommodation is understood to be offered at the majority of the sites. Works at Five Dock and Burwood are understood to have received the highest numbers of complaints. Complaints are received through a centralized 1800 number for Sydney Metro West, with the call centre then forwarding the call.</p> <p>Section 5 of the noise and vibration monitoring plan states "In accordance with CoA D50, OOHW undertaken by third parties (such as utility relocations), must be coordinated to the greatest extent possible to ensure respite periods are provided.</p>	Compliant	
D58	<p>Stage 1 of the CSSI must be designed and constructed with the objective of minimising impacts to, and interference with, third party property and infrastructure, and that such infrastructure and property is protected during construction.</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p>	<p>Section 6.4.3 of the Noise and Vibration Plan states "In accordance with CoA D58, the CTP must be designed and constructed with the objective of minimising impacts to, and interference with, third party property and infrastructure, and that such infrastructure and property is protected during construction".</p>	Compliant	
D59	<p>The utilities and services (hereafter "services") potentially affected by construction must be identified to determine requirements for diversion, protection and / or support. Alterations to services must be determined by negotiation between the Proponent and the 64 confirmed providers. Disruption to services resulting from construction must be avoided, wherever possible, and advised to customers where it is not possible.</p>	<p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p>	<p>Section 6.4.3 of the Noise and Vibration Plan states "In accordance with CoA D59, the services potentially affected by construction must be identified to determine requirements for diversion, protection and / or support. In consideration of proposed civils activities works are likely to be required in close proximity to existing utilities and services. In all cases, protection requirements or alterations to services will be determined by negotiation with the service providers. This will be managed in accordance with the specific process of the asset owner, and as identified in the Project Interface Management Plan. Disruption to services resulting from construction will be avoided, wherever possible, and advised to customers where it is not possible. Monitoring of at-risk structures is discussed in Section 9.2.2."</p>	Compliant	
D60	<p>Condition Survey A suitably qualified and experienced person must undertake condition surveys of all buildings, structures, utilities and the like identified in the documents listed in Condition A1 of this schedule as being at risk of damage before commencement of any work that could impact on the subject surface / subsurface structure. The results of the surveys must be documented in a Preconstruction Condition Survey Report for each item surveyed. Copies of Pre-construction Condition Survey Reports must be provided to the relevant owners of the items surveyed in the vicinity of the proposed work, and no later than one (1) month before the commencement of the work that could impact on the subject surface / subsurface structure.</p>	<p>CEMP, Revision 6. (Issued 23 December 2022)</p> <p>Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)</p> <p>Groundwater Management Plan, Revision 4 (Issued 8 September 2022)</p> <p>Heritage Management Plan, Revision 4 (Issued 29 July 2022)</p>	<p>It was advised that no post condition surveys had been undertaken during the audit period. The Construction Environmental Management Plan, Noise and Vibration Management Plan, Heritage Management Plan and the Groundwater Management Plan demonstrate the pre-construction condition survey requirements for all buildings, structures, utilities and the like identified as being at risk of damage in accordance with CoA D60.</p>	Compliant	

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D61	Condition surveys of all items for which condition surveys were undertaken in accordance with Condition D60 of this schedule must be undertaken by a suitably qualified and experienced person after completion of the work identified in Condition D60 of this schedule. The results of the surveys must be documented in a Post-construction Condition Survey Report for each item surveyed. Copies of Post-construction Condition Survey Reports must be provided to the landowners of the items surveyed, and no later than three (3) months following the completion of the work that could impact on the subject surface / subsurface structure unless otherwise agreed by the Planning Secretary.	CEMP, Revision 6. (Issued 23 December 2022) Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Groundwater Management Plan, Revision 4 (Issued 8 September 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022)	See finding for condition D60 above.	Compliant	
D62	The Proponent, where liable, must rectify any property damage caused directly or indirectly (for example from vibration or from groundwater change) by the work at no cost to the owner. Alternatively, the Proponent may pay compensation for the property damage as agreed with the property owner. Rectification or compensation must be undertaken within 12 months of completion of the work identified in Condition D60 of this schedule unless another timeframe is agreed with the owner of the affected surface or sub-surface structure or recommended by the IPIAP.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	Appendix F of the Noise and Vibration Management Plan states that "Approval is subject to acceptance of Sydney Metro West's advised assessment of movement, and remediation, if required, under Condition D62 of the Conditions of Approval, set out in Appendix B of the West Stage 1 – Phasing Report." And that "AFJV notes that the Construction Noise and Vibration Management Plan (NVMP) does not address Planning Approval Condition D62 and therefore this comment is taken as a note. AFJV further notes that PM NSW are not required to approve the NVMP". The requirements of Planning Approval Condition D62 (regarding rectification of any property damage caused directly or indirectly (for example from vibration or from groundwater change) by the work) are noted and will be addressed in a process separate to the review of this document. The auditor was not made aware of any property damage caused directly or indirectly by the contractor.	Compliant	
D63	Appropriate equipment to monitor areas in proximity of construction sites and the tunnel route during construction must be installed with particular reference to at risk buildings, structures and utilities identified in the condition surveys required by Condition D60 of this schedule and / or geotechnical analysis as required. If monitoring during construction indicates exceedance of predicted impacts identified in the documents in Condition A1 or determined through geotechnical analysis, then all construction affecting settlement must cease immediately if it is safe to do so and must not resume until fully rectified or a revised method of construction is established that will ensure protection of affected buildings.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022) Heritage Management Plan, Revision 4 (Issued 29 July 2022)	Table 9 of the Heritage Management Plan states that "Settlement monitoring must be undertaken as per CoA D63." Section 5.8 Settlement states "Further, an Instrumentation and Monitoring (I&M) Program is being developed for key sensitive locations across the Project and would be implemented to measure settlement in accordance with CoA D63. The program will identify settlement trigger levels which require additional action including monitoring, review of construction methodologies, design review and/or repairs". Evidence of vibration monitoring being conducted in line with the conditions provided for Phase B was sighted during the site visits.	Compliant	
D64	An Independent Property Impact Assessment Panel (IPIAP) must be established. The Planning Secretary must be informed of the members of the IPIAP and the IPIAP must comprise geotechnical and engineering experts independent of the design and construction team. The IPIAP will be responsible for independently verifying condition surveys undertaken under Conditions D60 and D61 of this schedule, the resolution of property damage disputes and the establishment of ongoing settlement monitoring requirements.	SSI10038 D64 nomination letter IPIAP compiled (Submitted 03 February 2022) DPE lodgement confirmation for the "Nomination of proposed members of IPIAP" (Dated 03 February 2022) DPE post approval form (Dated 21 March 2022) DPE re-lodgement confirmation for "IPIAP Nomination" (Dated 21 March 2022) DPE post approval form (Dated 21 March 2022) DPE acknowledgement email on the "Appointment of Experts" (Dated 25 March 2022) DPE approval letter regarding the "Appointment of experts" (Approved 25 March 2022)	Assessment of the SSI10038 D64 IPIAP nomination letter observed that the Planning Secretary was informed of the members of the IPIAP and the IPIAP comprise of geotechnical and engineering experts independent of the design and construction team.	Compliant	
D65	Either the affected property owner or the Proponent may refer unresolved disputes arising from potential and/or actual property impacts to the IPIAP for resolution. All costs incurred in the establishing and implementing of the panel must be borne by the Proponent regardless of which party makes a referral to the IPIAP. The findings and recommendations of the IPIAP are final and binding on the Proponent.	SSI10038 D64 nomination letter IPIAP compiled (Submitted 03 February 2022) DPE lodgement confirmation for the "Nomination of proposed members of IPIAP" (Dated 03 February 2022) DPE post approval form (Dated 21 March 2022) DPE re-lodgement confirmation for "IPIAP Nomination" (Dated 21 March 2022) DPE post approval form (Dated 21 March 2022) DPE acknowledgement email on the "Appointment of Experts" (Dated 25	See finding for condition D64 above.	Not triggered	

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		March 2022) DPE approval letter regarding the "Appointment of experts" (Approved 25 March 2022)			
D66	Settlement monitoring must be extended if directed so by the IPIAP following its review of the monitoring data from the period not less than six (6) months after settlement has stabilised, consistent with Condition D63 of this schedule. The results of the monitoring must be made available to the Planning Secretary upon request.	Heritage Management Plan, Revision 4 (Issued 29 July 2022)	See finding for condition D63 above.	Compliant	
D67	Community Benefit Plan(s) A Community Benefit Plan(s) must be prepared, by a suitably qualified and experienced person, to guide the delivery of measures identified in the documents listed in Condition A1 of this schedule relating to social impacts and the development of community benefit initiatives. The Community Benefit Plan(s) must aim to: a) make a positive contribution to the potentially affected community; b) respond to community priorities and needs; c) create positive community or environmental outcomes; and d) prioritise consideration of achieving outcomes for enhancing community character, community culture and the local surroundings. Nothing in this condition prevents the preparation of individual Community Benefit Plans for each station precinct.	AF JV Community Communication Strategy (CCS), (Issued June 2023) Sydney Metro Community Benefit Plan, Revision 5 (Issued 21 December 2022) Interview with Communications Team (5 September 2023) Interview with Sustainability Team (6 September 2023)	During an interview with Communications Team on 5 September 2023, it was advised that many businesses in five dock suffered through COVID and that a Shop Local Plan was developed in response to this. The main issues brought up by businesses is understood to include: Loss of parking at Five Dock; and, Utility work required pedestrian footpath diversion, leading to Great North Road, resulting in less foot traffic and fewer customers.	Compliant	
D68	The Community Benefit Plan(s) must be submitted to the Planning Secretary for information before construction. The Community Benefit Plan(s) must be implemented for the duration of construction.	DPIE lodgement confirmation of the Community Benefit Plan (Dated 08 November 2021) DPIE post approval form (Dated 08 November 2022) DPIE approval letter for the Community benefit Plan (Approved 12 November 2021)	The lodgement acknowledgement receipt from DPIE states, "Thank-you, your post approval document in relation to the Sydney Metro West – Concept and Stage 1 (major civil construction between Westmead and The Bays) has been received by the Department. Details of this document are below and in the attachment." The description of the document submitted for DPIE approval includes, "the Community Benefit Plan under condition D68 for the Sydney Metro West project for Information to DPIE. The Plan was developed under condition D67".	Compliant	
D69	Potential impacts on the operation of festivals or events at Parramatta, Sydney Olympic Park or Five Dock must be limited as reasonably practicable.	AF JV Community Communication Strategy (CCS), (Issued June 2023) Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Visual Amenity Management Plan, Revision 4 (Issued 9 November 2023) Construction Parking and Access Strategy, Revision 1 (Issued 15 December 2021)	The AFJV Community Communication Strategy, Overarching Traffic Management Plan, Visual Amenity Management Plan and the Construction Parking and Access Strategy were observed to include details to limit potential impacts requirements on the operation of festivals or events at Sydney Olympic Park or Five Dock in accordance with CoA D69. Section 3.3.of the CEMP states that Key Issues (Location Sydney Olympic park) includes, "Potential impact on major sporting and cultural events."	Compliant	

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D70	Small Business Owners Engagement Plans Small Business Owners Engagement Plan(s) must be implemented in accordance with the Overarching Community Communication Strategy to minimise impact on small businesses adjacent to major construction sites during construction of Stage 1 of the CSSI. These plans must be prepared and submitted to the Planning Secretary for information before construction at the relevant construction site.	Small Business Owners Engagement Plan, Revision E (Issued 14 April 2023) Interview with Communications Team (5 September 2023)	During an interview with the Communications Team on 6 September 2023 it was advised that the Small Business Owners Engagement Plan review is conducted every six (6) months. The review is understood to be conducted by the AFJV and considers new mitigation measures, construction activities, and sensitive receivers. ShopLocal was a program that was developed as part of small business owners engagement / initiatives. Section 1.1 of the AFJV Communications Strategy states "The Small Business Owners Engagement Plan describes the approach Acciona Ferrovial Joint Venture (AFJV) takes to engaging with small business owners located adjacent to the Central Tunnelling Package project, generally within 50m of the construction sites. This plan is intended to meet the Minister's Condition of Approval D70 under SSI 10038 which states: "Small Business Owners Engagement Plan(s) must be implemented in accordance with the Overarching Community Communication Strategy to minimise impact on small businesses adjacent to major construction sites during construction of Stage 1 of the CSSI. This plan/plans must be prepared and submitted to the Planning Secretary for information before construction at the relevant construction site. For the purpose of this plan, a small business is defined as a business that employs fewer than 20 employees (source: Australian Bureau of Statistics)."	Compliant	
D71	Contaminated Sites Before commencement of any construction that would result in the disturbance of moderate to high risk contaminated sites as identified in the documents identified in Condition A1 of this schedule, Detailed Site Investigations (for contamination) must be conducted to determine the full nature and extent of the contamination. The Detailed Site Investigation Report(s) and the subsequent report(s) must be prepared, or reviewed and approved, by consultants certified under either the Environment Institute of Australia and New Zealand's Certified Environmental Practitioner (Site Contamination) scheme (CenvP(SC)) or the Soil Science Australia Certified Professional Soil Scientist Contaminated Site Assessment and Management (CPSS CSAM) scheme. The Detailed Site Investigations must be undertaken in accordance with guidelines made or approved under section 105 of Contaminated Land Management Act 1997 (NSW). The Detailed Site Investigation for Sydney Olympic Park metro construction site must be prepared in consultation with SOPA. Note: Nothing in this condition prevents the Proponent from preparing individual Detailed Site Investigation Reports (for contamination) for separate sites.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Detailed Site Investigation – Burwood Construction Site, Sydney Metro West – CTP, Revision 1 (Issued 1 July 2022) Detailed Site Investigation – Five Dock Station Construction Site, Sydney Metro West – CTP, Revision 1 (Issued 31 March 2022) Detailed Site Investigation – Sydney Olympic Park Construction Site, Sydney Metro West – CTP, Revision F01 (Issued 18 July 2022) Detailed Site Investigation – Outside Station Box Construction Site, Sydney Metro West – CTP, Revision 00 (Issued 27 June 2022) Detailed Site Investigation – Station Box Construction Site, Sydney Metro West – CTP, Revision 4 (Issued 27 June 2022)	Assessment of the Detailed Site Investigation – Station Box Construction Site, Sydney Metro West – CTP observed the following: - Section 1.2 Objective states "The objectives of the DSI at The Bays were: - to obtain enough information to enable the proposed excavation to be conducted with appropriate in-situ waste classification of materials required to be excavated and removed from site; - to obtain enough environmental data to provide a characterisation of the site in accordance with the applicable NSW and Australian guidance; - to provide a DSI in compliance with the Conditions of Approval for Sydney Metro West – Concept and Stage 1 Construction (SSI 10038) ("the CoA"), specifically Condition D71 which reads: "Before commencement of any construction that would result in the disturbance of moderate to high risk contaminated sites as identified in the documents identified in Condition A1 of this schedule, Detailed Site Investigations (for contamination) must be conducted to determine the full nature and extent of the contamination. The Detailed Site Investigation Report(s) and the subsequent report(s) must be prepared, or reviewed and approved, by consultants certified under either the Environment Institute of Australia and New Zealand's Certified Environmental Practitioner (Site Contamination) scheme (CenvP(SC)) or the Soil Science Australia Certified Professional Soil Scientist Contaminated Site Assessment and Management (CPSS CSAM) scheme. The Detailed Site Investigations must be undertaken in accordance with guidelines made or approved under section 105 of Contaminated Land Management Act 1997 (NSW). The Detailed Site Investigation for Sydney Olympic Park metro construction site must be prepared in consultation with SOPA; and - to provide a DSI in compliance with the requirements of the Sydney Metro West Central Tunnelling Works Design and Construction Deed ("the Deed") contract no. 00013/13033 between Sydney Metro and AFJV. The requirements of the Deed are provided in Section 1.3 below."	Compliant	
D72	Should remediation be required to make land suitable for the final intended land use, a Remedial Action Plan must be prepared, or reviewed and approved, by consultants certified under either the Environment Institute of Australia and New Zealand's Certified Environmental Practitioner (Site Contamination) scheme (CenvP(SC)) or the Soil Science Australia Certified Professional Soil Scientist Contaminated Site Assessment and Management (CPSS CSAM) scheme. The Remedial Action Plan must be prepared in accordance with relevant guidelines made or approved by the EPA under section 105 of the Contaminated Land Management Act 1997 (NSW) and must include measures to remediate the contamination at the site to ensure the site will be suitable for the proposed use when the Remedial Action Plan is implemented. The Remedial Action Plan for Sydney Olympic Park metro construction site must be prepared in consultation with SOPA. Note: Nothing in this condition prevents the Proponent from preparing individual Remedial Action Plans for separate sites.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Remedial Action Plan – The Bays Construction Site, Sydney Metro West – CTP, Revision 3 (Issued 25 August 2022)	Section 12 of the remedial action plan states "All remediation works will be carried out in accordance with the Sydney Metro West – Concept and Stage 1 Conditions of Approval and associated documents listed in Condition C-A1 unless otherwise specified.	Compliant	
D73	Before commencing remediation, a Section B Site Audit Statement(s) must be prepared by an NSW EPA-accredited Site Auditor that certifies that the Remedial Action Plan(s) is/are appropriate and that the site can be made suitable for the proposed use. The Remedial Action Plan(s) must be implemented and any changes to the Remedial Action Plan(s) must be approved in writing by the NSW EPA-accredited Site Auditor. Note: Nothing in this condition prevents the Proponent from engaging an NSW EPA-accredited Site Auditor to prepare individual Site Audit Statements for Remedial Action Plans for separate sites.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Remedial Action Plan – The Bays Construction Site, Sydney Metro West – CTP, Revision 3 (Issued 25 August 2022) Site Audit Report – The Bays Station Construction Site, Sydney Metro West – CTP, Revision 00 (Issued 07 September 2022)	The Site Audit Report – The Bays Station Construction Site, Sydney Metro West – CTP states that, "All remediation works will be carried out in accordance with the Sydney Metro West – Concept and Stage 1 Conditions of Approval and associated documents listed in Condition C-A1 unless otherwise specified."	Compliant	

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D74	Validation Report(s) must be prepared in accordance with Consultants Reporting on Contaminated Land: Contaminated Land Guidelines (EPA, 2020) and relevant guidelines made or approved under section 105 of the Contaminated Land Management Act 1997 (NSW). Note: Nothing in this condition prevents the Proponent from confirming individual Validation Reports for separate sites.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Remedial Action Plan – The Bays Construction Site, Sydney Metro West – CTP, Revision 3 (Issued 25 August 2022) Site Audit Report – The Bays Station Construction Site, Sydney Metro West – CTP, Revision 00 (Issued 07 September 2022) Validation Report – The Bays Construction Site – Portion 1A, Sydney Metro West – CTP, Revision 03 (Issued 02 June 2023)	The Site Audit Report – The Bays Station Construction Site, Sydney Metro West – CTP states that, “All remediation works will be carried out in accordance with the Sydney Metro West – Concept and Stage 1 Conditions of Approval and associated documents listed in Condition C-A1 unless otherwise specified.”	Compliant	
D75	A Section A1 or Section A2 Site Audit Statement (accompanied by an Environmental Management Plan) and its accompanying Site Audit Report, which state that the contaminated land disturbed by the work has been made suitable for the intended land use, must be submitted to the Planning Secretary, SOPA (in respect of Sydney Olympic Park) and the Relevant Council(s) after remediation and before the commencement of operation of the CSSI. Note: Nothing in this condition prevents the Proponent from obtaining Section A Site Audit Statements for individual parcels of remediated land.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	The Site Audit Report – The Bays Station Construction Site, Sydney Metro West – CTP states that, “All remediation works will be carried out in accordance with the Sydney Metro West – Concept and Stage 1 Conditions of Approval and associated documents listed in Condition C-A1 unless otherwise specified.”	Compliant	
D76	A copy of Detailed Site Investigation Report(s), Remedial Action Plan(s), Validation Report(s), Site Audit Report(s) and Site Audit Statement(s) must be submitted to the Planning Secretary, SOPA (in respect of Sydney Olympic Park) and the Relevant Council(s) for information.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	The Site Audit Report – The Bays Station Construction Site, Sydney Metro West – CTP states that, “All remediation works will be carried out in accordance with the Sydney Metro West – Concept and Stage 1 Conditions of Approval and associated documents listed in Condition C-A1 unless otherwise specified.”	Compliant	
D77	An Unexpected Contaminated Land and Asbestos Finds Procedure must be prepared before the commencement of construction and must be followed should unexpected contaminated land or asbestos (or suspected contaminated land or asbestos) be excavated or otherwise discovered during construction.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Unexpected Contaminated Land and Asbestos Finds Procedure, Revision 1 (Issued 17 June 2022)	The audit team was advised that no unexpected finds were identified. The Soil and Water Management Plan and the Unexpected Contaminated Land and Asbestos Finds Procedure were observed.	Compliant	
D78	The Unexpected Contaminated Land and Asbestos Finds Procedure must be implemented throughout construction.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Unexpected Contaminated Land and Asbestos Finds Procedure, Revision 1 (Issued 17 June 2022)	See findings for condition D77 above.	Compliant	
D80	Access to all utilities and properties must be maintained during works, unless otherwise agreed with the relevant utility owner, landowner or occupier.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Interview with Traffic and Transport Advisors (5 September 2023)	Section 3.11 of the Overarching Traffic Management Plan states that, “Local Council, utility agencies (water, gas, electricity and telecommunications), bus shelter owners and billboard owners will be permitted to access their infrastructure on site, following consultation with the Project Director and after completing a Project Induction. Access to utilities and properties will be maintained during construction, where practicable, unless otherwise agreed with the relevant utility owner, landowner or occupier. Site-specific CTMPs aim to maintain access for local businesses and residential property access. Where required, alternative pedestrian and vehicular access and parking arrangements would be developed in consultation with affected properties.” Self-reported Non-compliance Non-compliance number: EVT-0001656 Date of Non-compliance: 16/06/2023 Site: Phase B1 - AFJV - Five Dock Non-Compliance type: Traffic, Transport and Access Description of Non-compliance: On 16 June 2023 a community complaint was received alleging trucks were parking illegally on Great North Road near Longview Street. The complainant said they had observed a truck stopping in a bus stop zone and other locations. The complainant did not have a record of registration numbers, company name/s of number of trucks. The claims were investigated and it was observed that trucks associated with haulage at the Five Dock construction site had stopped on the side of Great North Road after turning off Parramatta Road. Some trucks were observed to have stopped in front of driveways for a short duration. Great North Road is part of the approved haul route in the Five Dock Construction Traffic Management Plan.	Non-Compliant	10038_IA3_12
D81	Any property access physically affected by the CSSI must be reinstated to at least an equivalent standard, unless otherwise agreed by the landowner or occupier. Property access must be reinstated within one (1) month of the work that physically affected the access is completed or in any other timeframe agreed with the landowner or occupier.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023)	See finding for condition D80 above.	Compliant	

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D82	Construction vehicles (including light vehicles) must not use Robert Street, Rozelle to access The Bays metro station construction site, unless required in the event of an emergency or in association with the delivery of the Rozelle power supply from the Rozelle sub-transmission substation to The Bays metro station construction site.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023)	See finding for condition D80 above.	Compliant	
D83	The locations of all Heavy Vehicles used for spoil haulage must be monitored in real time and the records of monitoring be made available electronically to the Planning Secretary and the EPA upon request for a period of no less than one (1) year following the completion of construction.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Interview with Traffic and Transport Advisors (5 September 2023)	It was advised during interviews with Traffic and Transport Advisors that the project uses LinkSite to track trucks. LinkSite enables monitoring and reporting of non-conformances associated with truck movements, including identifying where and when idling is occurring.	Compliant	
D84	The primary egress routes for spoil haulage trucks at Sydney Olympic Park metro station construction site must be determined in consultation with SOPA.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Sydney Olympic Park Heavy Vehicle Route, Revision 2 (Issued 22 December 2021)	Section 4.7 Spoil Haulage Routes of the overarching traffic management plan states, "Haulage routes would be consistent with those identified in the EIS, with extension of the routes to / from the nearby arterial roads and motorways, for spoil haulage removal from the construction sites. Where required, additional routes are being developed in consultation with TfNSW, SOPA and relevant local councils, any additional routes approved for use will be detailed within the relevant site specific CTMPs. Any changes to haulage routes expected to be utilised long-term, will also be included in this overarching CTMP, after approval of the new route has been obtained."	Compliant	
D85	Construction Traffic Management Plans (CTMPs) must be prepared in accordance with the Construction Traffic Management Framework. A copy of the CTMPs must be submitted to the Planning Secretary for information before the commencement of any construction in the area identified and managed within the relevant CTMP.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Sydney Olympic Park Heavy Vehicle Route, Revision 2 (Issued 22 December 2021) East Street and Henry Street Five Dock Heavy Vehicle Route, Revision 1 (Issued 9 February 2022)	Section 2 of the overarching traffic management plan states CTMP Strategy states "AFJV will comply with Authorities including TfNSW's Customer Journey Planning (CJP), relevant Councils, Port Authority and Sydney Olympic Authority (SOPA)". Additionally, Section 4.7 Spoil Haulage Routes states "Construction vehicles may only enter and exit Herb Elliot Avenue via Australia Avenue during event days, when directed by SOPA. The route via Shirley Strickland Avenue is only intended for use during peak times of 7am to 10am and 4pm to 6pm Monday to Friday."	Compliant	
D86	Local roads proposed to be used by Heavy Vehicles to directly access construction sites that are not identified in the documents listed in Condition A1 of this schedule must be approved by the Planning Secretary and be included in the CTMPs.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Sydney Olympic Park Heavy Vehicle Route, Revision 2 (Issued 22 December 2021) East Street and Henry Street Five Dock Heavy Vehicle Route, Revision 1 (Issued 9 February 2022)	Section 4.7 Spoil Haulage Routes of the overarching traffic management plan states "Haulage routes would be consistent with those identified in the EIS, with extension of the routes to/from the nearby arterial roads and motorways, for spoil haulage removal from the construction sites. Where required, additional routes are being developed in consultation with TfNSW, SOPA and relevant local councils, any additional routes approved for use will be detailed within the relevant site specific CTMPs. Any changes to haulage routes expected to be utilised long-term, will also be included in this overarching CTMP, after approval of the new route has been obtained." Additionally, Section 4.7 Spoil Haulage Routes states, "During site establishment and early works it is anticipated heavy vehicles and site access will generally use existing driveways with a variety of access requirements being facilitated under site specific CTMPs, VMPs or with traffic control assistance. These arrangements will be detailed in site specific CTMPs or approved with a Traffic Guidance Scheme, VMP and Road Occupancy approval as needed."	Compliant	
D87	All requests to the Planning Secretary for approval to use local roads under Condition D86 above must include the following: a) a swept path analysis; b) demonstration that the use of local roads by Heavy Vehicles for the CSSI will not compromise the safety of pedestrians and cyclists of the safety of two-way traffic flow on two-way roadways; c) details as to the date of completion of the road dilapidation surveys for the subject local roads; and d) measures that will be implemented to avoid where practicable the use of local roads past schools, aged care facilities and child care facilities during their peak operation times; and e) written advice from an appropriately qualified professional on the suitability of the proposed Heavy Vehicle route which takes into consideration items (a) to(d) of this condition.	Sydney Olympic Park Heavy Vehicle Route, Revision 2 (Issued 22 December 2021) East Street and Henry Street Five Dock Heavy Vehicle Route, Revision 1 (Issued 9 February 2022)	The overarching traffic management plan states, "Consideration for localised intersection widening to enable the swept path of a 19m semi-trailer to/from the site, including the Burton Street and Loftus Street intersection, the Loftus Street and Gipps Street intersection and the Parramatta Road and Burwood Road intersection". Section 3.1.7 Dilapidation Report states, "AFJV will undertake road dilapidation surveys on public local roads before they are used for construction heavy vehicle and following completion of the works in accordance with the Project Planning Approval Condition D88 and D89. The survey results will be provided to the relevant local councils, SOPA, Transport for NSW, and other Relevant Road Authorities within three (3) weeks of completion of the survey and at no later than one (1) month before the road being used by construction heavy vehicles in accordance with D88. These surveys will include, where required, pavement strength testing, cracking and rutting surveys, and road inventory."	Compliant	
D89	If damage to roads occurs as a result of the construction of Stage 1 of the CSSI, the Proponent must either (at the Relevant Road Authority's discretion): (a) compensate the Relevant Road Authority for the damage so caused; or (b) rectify the damage to restore the road to at least the condition it was in pre-work as identified in the Road Dilapidation Report.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Interview with Traffic and Transport Advisors (5 September 2023)	Interviews with Traffic and Transport Advisors on the 5 September 2023 discussed how weekly inspections are conducted to check on the condition of roads. It was advised that any defects are recorded and actioned through a system, known as "Lucidity". Section 3.1.7 of the overarching traffic management plan states, "AFJV will undertake road dilapidation surveys on public local roads before they are used for construction heavy vehicle and following completion of the works in accordance with the Project Planning Approval Condition D88 and D89. The survey results will be provided to the relevant local councils, SOPA, Transport for NSW, and other Relevant Road Authorities within three (3) weeks of completion of the survey and at no later than one (1) month before the road being used by construction heavy vehicles in accordance with D88. These surveys will include, where required, pavement strength testing, cracking and rutting surveys, and road inventory"	Compliant	

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D90	<p>Construction Parking and Access Management</p> <p>Vehicles associated with the project workforce (including light vehicles and Heavy Vehicles) must be managed to:</p> <p>a) minimise parking on public roads;</p> <p>b) minimise idling and queuing on state and regional roads;</p> <p>c) not carry out marshalling of construction vehicles near sensitive land user(s);</p> <p>d) not block or disrupt access across pedestrian or shared user paths at any time unless alternate access is provided; and</p> <p>e) ensure spoil haulage vehicles adhere to the nominated haulage routes identified in the CTMPs</p>	<p>Construction Parking and Access Strategy, Revision 1 (Issued 15 December 2021)</p>	<p>On site visits to The Bays and Five Dock, the audit team did not observe any blocking of or access disruption to pedestrian or shared user paths.</p> <p>Monitoring of construction parking and access management is undertaken by the ER during site inspections.</p> <p>Section 1 of the construction park and access strategy states "This document has been prepared for the CTP to identified and mitigate impacts resulting from on and off-street parking changes during construction as noted in Condition D90 of the Project Conditions of Approval (CoA) for Sydney Metro West."</p> <p>Section 3.1 Work Sites states, "AFJV will endeavour to maximise car parking facilities within its compound and work areas in order to minimise parking on local roads and streets in accordance with CoA D90"</p> <p>Section 3.2 Worker Parking Availability and Demand states, "AFJV's approach to parking and access is compliant with the requirements of CoA D90 that is, to minimise on street parking by the workforce."</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001656</p> <p>Date of Non-compliance: 16/06/2023</p> <p>Site: Phase B1 - AFJV - Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 16 June 2023 a community complaint was received alleging trucks were parking illegally on Great North Road near Longview Street. The complainant said they had observed a truck stopping in a bus stop zone and other locations. The complainant did not have a record of registration numbers, company name/s or number of trucks.</p> <p>The claims were investigated and it was observed that trucks associated with haulage at the Five Dock construction site had stopped on the side of Great North Road after turning off Parramatta Road. Some trucks were observed to have stopped in front of driveways for a short duration. Great North Road is part of the approved haul route in the Five Dock Construction Traffic Management Plan.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001732</p> <p>Date of Non-compliance: 23/08/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 22 August 2023, a verbal complaint was received by the AFJV employee. The resident said they had lodged a complaint via email to Sydney Metro West on 5 August 2023. AFJV employee raised this complaint internally and it was identified that the complaint hadn't been communicated by Metro to AFJV and subsequently requested a copy of the emailed complaint from Sydney Metro on the 22 August 2023.</p> <p>The non-conformance is that Lansdowne Street and Broughton Street are not part of the approved haul route in the Burwood North Construction Traffic Management Plan.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001733</p> <p>Date of Non-compliance: 18/08/2023</p> <p>Site: Phase B1 - AFJV - Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Five Dock Construction Traffic Management Plan (CTMP) Rev 8 was the approved revision of the CTMP for Five Dock during May 2023. This version of the CTMP permitted 12 heavy vehicle movements (6 trucks) per hour at Five Dock west site between 7am and 10am (AM peak hour); and 4pm and 6pm (PM peak hour).</p> <p>On 3-5, 8-9, 15-16, 22-24, 26 and 30 May 2023 truck movements at Five Dock West exceeded the CTMP numbers during peak hours in the approved CTMP. The maximum exceedance of trucks per hour was 8 trucks during a single hour period during peak hours.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001731</p> <p>Date of Non-compliance: 10/08/2023</p> <p>Site: Phase B1 - AFJV - Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 10 August 2023 at 11:50am a truck was sighted travelling southward on Park Road, Five Dock. This was witnessed during an ER inspection and the traffic warden also identified the driver on an unapproved haul route. This section of Park Road is not part of the approved haul route in the Five Dock Construction Traffic Management Plan</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001681</p> <p>Date of Non-compliance: 21/07/2023</p>	Non-Compliant	<p>10038_IA3_13</p> <p>10038_IA3_14</p> <p>10038_IA3_15</p> <p>10038_IA3_16</p> <p>10038_IA3_17</p> <p>10038_IA3_18</p> <p>10038_IA3_19</p> <p>10038_IA3_20</p>

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			<p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Three spoil haulage trucks from FDK (truck contractor) were identified off the approved haul route. One used the incorrect haul route travelling down Harris St and two trucks were observed to be parked on First Ave.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001657</p> <p>Date of Non-compliance: 23/06/2023</p> <p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: On 23 June 2023 at 11:38am a community complaint was received alleging trucks were parking on First Avenue, Five Dock, outside Domremy College. A photograph provided via email showed three parked trucks.</p> <p>This section of First Avenue is not part of the approved haul route in the Five Dock Construction Traffic Management Plan.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001581</p> <p>Date of Non-compliance: 23/03/2023</p> <p>Site: Phase B1 - AFJV – Five Dock</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: A truck driver from Mulgoa parked/ marshalled in front of resident’s home along First Avenue which is an un-approved haul route. The resident informed the AFJV community team at 7:11am.</p> <p>Mulgoa stated that the driver misread the start time and decided to park on a local road.</p> <p>On 23 March 2023, the Driver from Mulgoa was informed to not marshal or park in residential areas, and to time their entry to site to avoid unnecessary looping and parking/ marshalling. Additionally, a copy of the VMPS’s for FDK West and East was sent to Mulgoa on 23 March 2023 as a reminder, which detailed the approved haulage routes.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001561</p> <p>Date of Non-compliance: 17/02/2023</p> <p>Site: Phase B1 - AFJV - Burwood North</p> <p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Spoil haulage trucks booked for spoil disposal from Burwood North and South used a haul route that was not approved for project haulage.</p>		

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D91	<p>A Construction Parking and Access Strategy must be prepared to identify and mitigate impacts resulting from on- and off-street parking changes during construction. The Construction Parking and Access Strategy must include, but not necessarily be limited to:</p> <p>a) achieving the requirements of Condition D90 above;</p> <p>b) confirmation and timing of the removal of on- and off-street parking associated with construction of Stage 1 of the CSSI;</p> <p>c) parking surveys of all parking spaces to be removed or occupied by the project workforce to determine current demand during peak, off-peak, school drop off and pickup, weekend periods and during special events;</p> <p>d) consultation with affected stakeholders utilising existing on- and off-street parking stock which will be impacted as a result of construction;</p> <p>e) assessment of the impacts to on- and off-street parking stock taking into consideration, occupation by the project workforce, outcomes of consultation with affected stakeholders and considering the impacts of special events;</p> <p>f) identification of reasonable and practicable mitigation measures to manage impacts to stakeholders as a result of on- and off-street parking changes including, but not necessarily limited to, staged removal and replacement of parking, provision of alternative parking arrangements, managed staff parking arrangements and working with relevant council(s) to introduce parking restrictions adjacent to work sites and compounds or appropriate residential parking schemes;</p> <p>g) where residential parking schemes already exist, off-road parking facilities must be provided for the project workforce;</p> <p>h) mechanisms for monitoring, over appropriate intervals (not less than 6 months), to determine the effectiveness of implemented mitigation measures;</p> <p>i) details of shuttle bus service(s) to transport the project workforce to construction sites from public transport hubs and off-site car parking facilities (where these are provided) and between construction sites;</p> <p>j) provision of contingency measures should the results of mitigation or monitoring indicate implemented measures are ineffective; and</p> <p>k) provision of reporting of monitoring results to the Planning Secretary and Relevant Council(s) at six (6) monthly intervals.</p>	Construction Parking and Access Strategy, Revision 1 (Issued 15 December 2021)	<p>Section 5.9.4 of the Construction Parking and Access Strategy states that AFJV has considered staged removal of parking around the station worksite. At Burwood North Station, impact to parking on Burton Street and Loftus Street near the driveways will be delayed till March 2022 (or later) to coincide with the construction of the new access driveways.</p> <p>AFJV has also staged parking removal at North Strathfield station to reduce the impact to surrounding businesses, residents, and impact to public transport. Parking on Queen Street western side will be removed from April 2022 to accommodate the site establishment, while parking around North Strathfield station will only be removed once the construction of early works begin around June 2022.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001525</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Project Wide</p> <p>Non-Compliance type: Heritage</p> <p>Description of Non-compliance: Six monthly CPAS monitoring report was not submitted on time.</p>	Non-Compliant	10038_IA3_22
D92	The Construction Parking and Access Strategy must be submitted to the Planning Secretary for approval at least one (1) month before the commencement of any construction that reduces the availability of existing parking. The approved Construction Parking and Access Strategy must be implemented before impacting on on-street parking and incorporated into the CTMPs.	Construction Parking and Access Strategy, Revision 1 (Issued 15 December 2021)	See finding for condition D90 above.	Compliant	
D93	During construction, all reasonably practicable measures must be implemented to maintain pedestrian, cyclist and vehicular access to, and parking in the vicinity of, businesses and affected properties. Disruptions are to be avoided, and where avoidance is not possible, minimised. Where disruption cannot be minimised, alternative pedestrian, cyclist and vehicular access, and parking arrangements must be developed in consultation with affected businesses and implemented before the disruption. Adequate signage and directions to businesses must be provided before, and for the duration of, any disruption.	Construction Parking and Access Strategy, Revision 1 (Issued 15 December 2021)	See finding for condition D90 above.	Compliant	
D94	Road Safety A Traffic and Transport Liaison Group(s) must be established in accordance with the Construction Traffic Management Framework to inform the development of CTMPs.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023)	Section 3.14 of the Overarching Traffic Management Plan states that, "A Traffic and Transport Liaison Group (TTLG) will be established to discuss with stakeholders in relation to the proposed construction activities, upcoming works and related traffic and transport implications. AFJV Traffic Manager is to participate in monthly TTLG meetings throughout the project, or at an agreed frequency. The Traffic Manager is a member of the TTLG and acts as the authorised representative for the Project in matters related to traffic and transport. The Traffic Manager provides the relevant information relating to the Project to the group".	Compliant	

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D95	Supplementary analysis and modelling as required by TfNSW and / or the Traffic and Transport Liaison Group(s) must be undertaken to demonstrate that construction and operational traffic can be managed to minimise disruption to traffic network operations including changes to and the management of pedestrian, bicycle and public transport networks, public transport services, and pedestrian and cyclist movements. Revised traffic management measures must be incorporated into the CTMPs.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023)	See finding at CoA D94.	Compliant	
D97	Permanent road works, including vehicular access, signalised intersection works, and works relating to pedestrians, cyclists, and public transport users must be subject to safety audits demonstrating consistency with relevant design, engineering and safety standards and guidelines. Safety audits must be prepared in consultation with the relevant Traffic and Transport Liaison Group before the completion and use of the subject infrastructure and must be made available to the Planning Secretary upon request.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023) Interview with Traffic and Transport Advisors (5 September 2023)	During site interviews with Traffic and Transport Advisors on the 5 September 2023, it was advised that road safety audits will be appended to site-specific CTMPs. Once implemented, road safety audits will be conducted (daily and evenings). It was understood from the Traffic and Transport Advisors that no permanent road works have commenced at this stage.	Compliant	
D98	Pedestrian and Cyclist Access Safe pedestrian and cyclist access must be maintained around construction sites during construction. In circumstances where pedestrian and cyclist access is restricted or removed due to construction activities, a proximate alternate route which complies with the relevant standards, must be provided and signposted before the restriction or removal of the impacted access.	Overarching Traffic Management Plan, Revision 5 (Issued 31 January 2023)	Section 3.7 of the Overarching Traffic Management Plan states that AFJV will implement necessary controls to direct pedestrians, to and from bus stops, rail stations, car parks, businesses, homes and any directly affected schools during construction. AFJV recognises the importance of giving consideration to all road users. AFJV has identified pedestrian needs by considering: - Impact of construction works on existing footpaths - Number of pedestrians - Type of pedestrian activity: office, retail, residential, school or recreational - Origin and destination points of the pedestrians and their desired travel path - Existing needs of vulnerable pedestrians, such as young children, the elderly, vision impaired, disabled people and people with prams - Proximity of pedestrian generation developments, such as schools, bus stops and train stations - Requirements of the CTMF.	Compliant	
D99	Spoil Movement Opportunities to maximise spoil material removal by non-road methods must be investigated and implemented where reasonably practicable to minimise movements by road.	Sydney Metro West Strategic Spoil Management Options Assessment, Revision 1.0 (Issued 21 September 2018) Coastal beneficial reuse of Sydney Metro West excavated material Feasibility study for Sydney Metro West (Stage 1) (Issued 18 January 2021) Memorandum— Update on Coastal Beneficial Reuse Option (Issued 14 September 2021) Sydney Metro West reuse of TBM Material for Beach Nourishment Option approval request from Project Director	It was observed that the file note for Non-Road Options for Spoil Removal and other supporting documents included acknowledgement, confirmation and approval email correspondences with key stakeholders associated with the investigation of opportunities to maximise spoil material removal by non-road methods as required per condition D99. However, it was advised that these were not found to be feasible and that efforts will continue to explore opportunities during the delivery of the works, using AFJVs specialist spoil management Consultant.	Compliant	
D101	Utilities, services and other infrastructure potentially affected by construction must be identified before works affecting the item, to determine requirements for access to, diversion protection, and / or support. The relevant owner(s) and / or provider(s) of services must be consulted to make suitable arrangements for access to diversion, protection, and / or support of the affected infrastructure as required. The Proponent must ensure that disruption to any service is minimised and be responsible for advising local residents and businesses affected before any planned disruption of service.	Noise and Vibration Management Plan, Revision 8 (Issued 28 July 2022)	Section 3.6 Document Consultation of the Noise and Vibration Management Plan states that, "AFJV recognises the sensitivity of these locations and concerns from stakeholders, and notes that these will be addressed through a process of ongoing consultation with relevant parties, including the transfer of information to further inform any potential impacts, as well as agreed management measures to be implemented where required. This process will continue throughout construction in accordance with CoA D101".	Compliant	
D102	Utility Coordination Manager A Utility Coordination Manager must be appointed for the duration of work associated with Stage 1 of the CSSI. The role of the Utility Coordination Manager must include, but not be limited to: a) the management and coordination of all utility work associated with the delivery of Stage 1 of the CSSI, to ensure respite is provided to the community; b) providing advice to the Sydney Metro Place Manager regarding upcoming utility work, including the scope of the work and the responsibility for the work; and c) investigating complaints received from the Community Complaints Mediator or the Project communication team relating to utility work and providing a response as required.	CEMP, Revision 6. (Issued 23 December 2022)	Evidence observed during the audit showed that both Sydney Metro and the AFJV have appointed Utilities Co-ordination Managers.	Compliant	
D103	Ancillary Facilities Wayfinding information must be incorporated on temporary hoardings to guide pedestrians around ancillary facilities and enhance their understanding and experience of the locality and space.	Visual Amenity Management Plan, Revision 4 (Issued 9 November 2022)	The site visits undertaken at Five Dock and The Bays, observed that wayfinding information has been incorporated on temporary hoardings to guide pedestrians around ancillary facilities and enhance their understanding and experience of the locality and space. Table 4 of the Visual Amenity Management Plan states, "D103, the hoarding at construction sites will be installed with wayfinding information to guide pedestrians and enhance their understanding and experience of the locality and the space, where necessary. All access points will be visible and managed so they are locked and not able to be accessed during shutdown periods".	Compliant	

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D104	Nothing in this approval permits advertising on any element of Stage 1 of the CSSI.	Visual Amenity Management Plan, Revision 4 (Issued 9 November 2022)	No advertising was observed at the site visits to Five Dock and The Bays.	Compliant	
D105	Temporary Activations The Proponent must undertake temporary placemaking initiatives for the benefit of the community, such as commercial “pop up” spaces, information booths, art installations, around the perimeter or in the vicinity of construction sites at Parramatta and Five Dock with the objective of temporarily enhancing visual amenity, providing gathering places in the local area and creating temporary active frontages to construction sites during Stage 1 of the CSSI.	Five Dock Station Precinct Temporary Activation Strategy 2022-2024 (Issued March 2023) Event Summary and Photos at Five Dock Food Tours (05 June 2023) Five Docks— Grant opportunity outline— Consultation by City of Canada Bay Council (10 November 2022) Addressing the challenges of the Metro— Consultation by City of Canada Bay Council (11 November 2021)	Page 11 of the Five Dock Station Precinct Temporary Activation Strategy 2022-2024 states that, “Conditions of approval for the infrastructure project require these activations around the perimeter or in close proximity to the Five Dock Station site to soften the impact of construction and provide information for locals. Collaboration with City of Canada Bay would include support with event application and approval, contractor and service provider coordination, traffic management and access approvals as well as collaborative marketing and communication development and delivery” On 2 June 2023, two food tours were run in the Five Dock area primarily focused around the construction sites to support local businesses and showcase the exciting food offering available in the area. The event was run by food tour provider Local Source Tours and involved partnership with food blogger @notquitenigella to reach further audiences with the intent of bringing more people to Five Dock amid station construction works. Five businesses were visited during each tour by 12-15 attendees. Assessment of the City of Canada Bay council consultation— Grant Opportunity Outline observed the following: - The objectives of the grant program include: - provide more and better public space that improves walkability and connection, enables day and night activity, and increases footfall - drive collaboration and partnerships between local government and another sector, whether public, private, civic or community, taking a place-based approach - establish and commence delivery of projects by April 2022 - enable long-term changes through trialling innovative and creative approaches, partnerships and engagement. Assessment of the City of Canada Bay council consultation— Presentation: Addressing the challenges of the Metro observed the following: - The presentation prepared by City of Canada Bay Council outlines concerns and ideas, metro status, current and planned village centre improvements, disruption challenges, opportunities to address and mitigate concerns, NSW Government recommendations, approached, targeted programs, streetscape, activations and cultural programs in relation to the construction of the Metro.	Compliant	
D109	Lighting and Security Stage 1 of the CSSI must be constructed with the objective of minimising light spill to surrounding properties including from headlights of construction vehicles. All lighting associated with the construction of Stage 1 of the CSSI must be consistent with the requirements of Australian Standard 4282-1997 Control of the obtrusive effects of outdoor lighting and relevant Australian Standards in the series AS/NZ 1158 – Lighting for Roads and Public Spaces. Additionally, mitigation measures must be provided to manage any residual night lighting impacts to protect properties adjoining or adjacent to the CSSI, in consultation with affected landowners.	Visual Amenity Management Plan, Revision 4 (Issued 9 November 2022)	Table 5 of the Visual Amenity Plan states that it will, “apply the principles of Australian Standard 4282-1997 Control of the obtrusive effects of outdoor lighting and relevant safety design requirements and detail mitigation measures to minimise residual lighting impacts on residential receivers for all permanent, temporary and mobile light sources.”	Compliant	
D110	Visual Amenity Stage 1 of the CSSI must be constructed in a manner that minimises visual impacts of construction sites including, providing temporary landscaping and vegetative screening, minimising light spill, minimising impacts to identified significant view lines in respect of The Bays metro station construction site and incorporating architectural treatment and finishes within key elements of temporary structures that reflect the context within which the construction sites are located, wherever practicable.	Visual Amenity Management Plan, Revision 4 (Issued 9 November 2022)	Section 7.2 of the Visual Amenity Plan states that, “In accordance with CoA D110, the colour chosen for the acoustic, spoil and or segment sheds at all CTP construction sites is in accordance with the colours shown in the photomontages for all sites in the Project EIS (Technical Paper 5). The colour chosen for the CTP construction site acoustic sheds, spoil or segment shed/s is a Colourbond colour called Mangrove (refer to Appendix B). The choice of this colour is a key architectural treatment for the various sheds and has been chosen as it is sympathetic to its surroundings.” Site visits to The Bays and Five Dock observed that boundary fencing was in accordance with Sydney Metro Project Brand Guidelines.	Compliant	
D111	Waste generated during construction and operation must be dealt with in accordance with the following priorities: a) waste generation must be avoided and where avoidance is not reasonably practicable, waste generation must be reduced; b) where avoiding or reducing waste is not possible, waste must be re-used, recycled, or recovered; and c) where re-using, recycling or recovering waste is not possible, waste must be treated or disposed of.	Waste Management Plan, Revision 3 (Issued 9 January 2023) Spoil Management Plan, Revision 6 (Issued 28 July 2022)	Waste storage and management practices were sighted during site visits undertaken by the auditor and no non-compliances were observed. Table 5 of the Waste Management Plan states that “Waste generated during the construction of the CTP will be managed in accordance with the following waste management hierarchy: - Avoidance of unnecessary consumption - Resource recovery including reuse, reprocessing, recycling and energy recovery - Disposal” - Table 5 Mitigation Measures (Ref WM8) states “The re-use and recycling of materials generated on CTP, where suitable, will be prioritised over disposal at landfill facilities” Table 8 of the Spoil Management Plan states “Detailed design packages will be reviewed to minimise waste generation, for example, the reduction of bulk excavation footprints to reduce solid waste, including the reduction in generation of contaminated materials” - Table 8 Spoil Management Mitigation Measures (Ref SMM13) states “100% of usable spoil will be re-used or recycled (both onsite and off-site). Where necessary the off-site re-use of spoil will be in accordance with either existing, or Project specific resource recovery exemptions/orders” - Table 8 Spoil Management Mitigation Measures (Ref SMM14) states that “The re-use and recycling of materials generated on CTP, where suitable, will be prioritised over disposal at landfill facilities.”	Compliant	
D113	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 Operations (Waste) Regulation 2014, or to any other place that can lawfully accept such waste.	Waste Management Plan, Revision 3 (Issued 9 January 2023) Spoil Management Plan, Revision 6 (Issued 28 July 2022)	Section 5.5 of the Waste Management Plan states that, “Clause 91 POEO Waste Regulation enables the EPA to grant exemptions to the licensing and payment of levies for the land application or use of waste”. Table 8 Spoil Management Plan Measures (Ref SMM18) states that, “A waste disposal permit system will be implemented for the authorisation of spoil and or waste to be disposed of off-site at licensed facilities or to any other place that can lawfully accept such waste”.	Compliant	
D114	All waste must be classified in accordance with the EPA’s Waste Classification Guidelines, with appropriate records and disposal dockets retained for audit purposes.	Waste Management Plan, Revision 3 (Issued 9 January 2023) Spoil Management Plan, Revision 6 (Issued 28 July 2022)	Section 5.2 of the waste management plan states that, “Waste generated from excavations and demolition will be assessed and classified in accordance with Figure 1 of the Sydney Metro Waste Classification Procedure (V3.0).” This classification is consistent with the EPA’s Waste Classification Guidelines.	Compliant	

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D115	Work on waterfront land must be carried out in accordance with controlled activity guidelines.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	Site visits to Five Docks and the Bays observed that waterfront works were not part of the CTP scope. Section 6.6 of the soil and water management plan states that, "permanent stormwater design and construction for the construction of Sydney Metro Project is not part of the CTP scope. There are no surface waterway crossings in the CTP scope. Apart from the port and wharf facilities at The Bays, which are not currently proposed to be utilised, there are no waterfront lands associated with the CTP works".	Not triggered	
D116	Stormwater Before undertaking any works and during maintenance or construction activities, erosion and sediment controls must be implemented and maintained to prevent water pollution consistent with LandCom's Managing Urban Stormwater series (The Blue Book).	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	Section 6.2 of the soil and water management plan states that "An Environment Protection Licence (EPL) for Railway activities – railway infrastructure construction and Concrete works under Schedule 1 of the POEO Act will be obtained for the CTP. Once obtained, a review of this plan will be undertaken and updated where required. Soil and water management pre-construction and construction hold points are included within Table 5. With regards to ESCP's, these will be developed with site-specific environmental controls / mitigation measures with site supervisor / engineers for work activities and are to be implemented prior to works commencing (or a new work stage as appropriate). These will not be considered formal hold points but will still be prepared prior to ground disturbance that could cause erosion resulting in off-site impacts". Section 6.6 states that, "Permanent stormwater design and construction for the construction of Sydney Metro Project is not part of the CTP scope. There are no surface waterway crossings in the CTP scope. Apart from the port and wharf facilities at The Bays, which are not currently proposed to be utilised, there are no waterfront lands associated with the CTP works".	Compliant	
D117	Water Quality Stage 1 of the CSSI must be designed and constructed so as to maintain the NSW Water Quality Objectives (NSW WQO) where they are being achieved as at the date of this approval, and contribute towards achievement of the NSW WQO over time where they are not being achieved as at the date of this approval, unless an EPL in force in respect of the CSSI contains different requirements in relation to the NSW WQO, in which case those requirements must be complied with.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Groundwater Management Plan, Revision 4 (Issued 8 September 2022) Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021) Environmental Protection Licence for the Sydney Metro West— Central Tunnelling Package (Licence Number: 21610) EPL Monitoring Discharge Report (September 2022— August 2023)	Appendix B of the Soil and Water Management Plan states that, "in addition, the EIS did not identify any impact on GGBF habitat however any stormwater discharge requirements will need to comply with the EPL, which will be based on a Water Pollution Impact Assessment as required in CoA D119. This Water Pollution Impact Assessment is prepared in consideration of the existing water quality of the receiving waters, and guides the criteria to prevent water quality impacts. In the same manner, unless the EPL specifies otherwise, any groundwater discharge from the Water Treatment Plants needs to comply with the requirements of CoA D118, which sets a standard minimum compliance of water quality criteria which considers 95% species protection level (or 99% for bio accumulative or persistent toxicants). Detail on compliance with this requirement is described in the Groundwater Monitoring Program". Section 6.3 Temporary Water Treatment Plants states that, "Groundwater inflow and water from the TBMs would be collected and treated during construction of the CTP via temporary WTPs. The WTPs will be designed so that discharged water quality is compliant with the relevant discharge criteria to ensure water is of a suitable quality for discharge to the receiving environment. Water to be discharged from the water treatment plant must comply with CoA D117, D118, D119 unless the EPL specifies alternative criteria." The contractor has an EPL in force in respect to stage 1 of the CSSI which details alternative criteria and discharges from wastewater treatment plants. It is recognised that the EPL delivers the requirements of NSW <i>Protection of the Environment Operations Act 1997 (POEO)</i> . The Independent Audit Post Approval Requirements (DPE 2020), Section 3.3(c) states that assessment of compliance with EPLs issued via POEO is excluded from the scope of the IEA. As such, any EPL-related documentation has not been considered in the assessment of this CoA.	Compliant	
D118	Unless an EPL is in force in respect to Stage 1 of the CSSI and that licence specifies alternative criteria, discharges from wastewater treatment plants to surface waters must not exceed: a) the Australian and New Zealand Guidelines for Fresh and Marine Water Quality 2018 (ANZG (2018)) default guideline values for toxicants at the 95 per cent species protection level; b) for physical and chemical stressors, the guideline values set out in Tables 3.3.2 and 3.3.3 of the Australian and New Zealand Guidelines for Fresh and Marine Water Quality 2000 (ANZECC/ARMCANZ); and c) for bio accumulative and persistent toxicants, the ANZG (2018) guidelines values at a minimum of 99 per cent species protection level. Where the ANZG (2018) does not provide a default guideline value for a particular pollutant, the approaches set out in the ANZG (2018) for deriving guideline values, using interim guideline values and/or using other lines of evidence such as international scientific literature or water quality guidelines from other countries, must be used.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Groundwater Management Plan, Revision 4 (Issued 8 September 2022) Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021) Environmental Protection Licence for the Sydney Metro West— Central Tunnelling Package (Licence Number: 21610) EPL Monitoring Discharge Report (September 2022— August 2023)	As stated in D117, the contractor has an EPL in force in respect to stage 1 of the CSSI which details alternative criteria and discharges from wastewater treatment plants. It is recognised that the EPL delivers the requirements of NSW <i>Protection of the Environment Operations Act 1997 (POEO)</i> . The Independent Audit Post Approval Requirements (DPE 2020), Section 3.3(c) states that assessment of compliance with EPLs issued via POEO is excluded from the scope of the IEA. As such, any EPL-related documentation has not been considered in the assessment of this CoA.	Compliant	
D119	If construction stage stormwater discharges are proposed, a Water Pollution Impact Assessment will be required to inform licensing consistent with section 45 of the POEO Act. Any such assessment must be prepared in consultation with the EPA and be consistent with the National Water Quality Guidelines, with a level of detail commensurate with the potential water pollution risk.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022) Groundwater Management Plan, Revision 4 (Issued 8 September 2022) Surface Water Monitoring Program, Revision 2 (Issued 1 October 2022) Groundwater Monitoring Program, Revisions 2 (Issued 25 October 2021) Environmental Protection Licence for the Sydney Metro West— Central Tunnelling Package (Licence Number: 21610) EPL Monitoring Discharge Report (September 2022— August 2023) Water Pollution Impact Assessment—	Section 6.3.5 of the Groundwater Management Plan WTP Discharge Performance Criteria states that, "The default guidelines for 95 per cent species protection and 99 per cent species protection for toxicants that bioaccumulate will be adopted unless other discharge criteria are identified as part of the Water Pollution Impact Assessment, required by CoA D119, or agreed with relevant authorities as part of the EPL. To date The Bays is the only site that is subject to an approved Water Pollution Impact Assessment under CoA D119. The water treatment plant discharge criteria for The Bays, as per the EPL, are included in Table 6-5". Section 6.3.5 WTP Discharge Performance Criteria of the Groundwater Monitoring Program states that, "The default guidelines for 95 per cent species protection and 99 per cent species protection for toxicants that bioaccumulate will be adopted unless other discharge criteria are identified as part of the Water Pollution Impact Assessment, required by CoA 119, or agreed with relevant authorities as part of the EPL application".	Compliant	

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		Construction Water Treatment Plants, Revision 02 (Issued 12 August 2022)			
D120	Drainage feature crossings (permanent and temporary watercourse crossings and stream diversions) and drainage swales and depressions must be carried out in accordance with relevant guidelines and designed by a suitably qualified and experienced person.	Soil and Water Management Plan, Revision 5 (Issued 8 September 2022)	Section 6.6 of the Soil and Water Management Plan states that, "Permanent stormwater design and construction for the construction of Sydney Metro Project is not part of the CTP scope. There are no surface waterway crossings in the CTP scope. Apart from the port and wharf facilities at The Bays, which are not currently proposed to be utilised, there are no waterfront lands associated with the CTP works".	Not triggered	
D121	Groundwater Make good provisions for groundwater users must be provided in the event of a material decline in water supply levels, quality or quantity from registered existing bores associated with groundwater changes from construction.	Groundwater Management Plan, Revision 4 (Issued 8 September 2022) Groundwater Monitoring Program, Revision 2 (Issued 25 October 2021)	Table 6.1 of the Groundwater Management Plan states that, "Site inspection would be carried out on private domestic supply bore GW305646 near Burwood North to confirm the current viability of that bore. If the bore is found to be viable, and predicted to be significantly impacted by the Project, make good measures would be implemented if a loss of yield were to occur. If required, make good options will be determined and agreed to by the registered user prior to being implemented" Table 6-1 Mitigation and Management Measures (ref GWMM5) states that "Monitoring of groundwater levels and quality at the site would occur during construction. This would also include monitoring of potential contaminants of concern. Monitoring and reporting of groundwater levels and quality will be carried out in accordance with the Groundwater Monitoring Program. Groundwater level data would be regularly reviewed during and for a period of one year after construction by a qualified hydrogeologist" Section 6.3.4 of the Groundwater Monitoring Program states that, "If registered groundwater users are impacted by a material decline in groundwater supply levels, quality or quantity, make good provisions will be provided to those groundwater users in accordance with the Groundwater Management Plan".	Compliant	
D122	The Proponent must submit a revised Groundwater Modelling Report in association with Stage 1 of the CSSI to the Planning Secretary for information before bulk excavation at the relevant construction location. The Groundwater Modelling Report must include: a) for each construction site where excavation will be undertaken, cumulative (additive) impacts from nearby developments, parallel transport projects and nearby excavation associated with the CSSI; b) predicted incidental groundwater take (dewatering) including cumulative project effects; c) potential impacts for all latter stages of the CSSI or detail and demonstrate why these later stages of the CSSI will not have lasting impacts to the groundwater system, ongoing groundwater incidental take and groundwater level drawdown effects; d) actions required after Stage 1 to minimise the risk of inflows (including in the event latter stages of the CSSI are delayed or do not progress) and a strategy for accounting for any water taken beyond the life of the operation of the CSSI; e) saltwater intrusion modelling analysis, from estuarine and saline groundwater in shale, into The Bays metro station site and other relevant metro station sites; and f) a schematic of the conceptual hydrogeological model.	Groundwater Management Plan, Revision 4 (Issued 8 September 2022) Groundwater Monitoring Program, Revision 2 (Issued 25 October 2021)	Section 3.4 of the Groundwater Management Plan states that the "Revised Groundwater Modelling Reports (Section 6.2) as required by CoA D122 will confirm the anticipated extent of the any aquifer interference that may occur as a result of the Project. This Revised Modelling Report will be completed prior to discussing the requirements of an aquifer interference approval with DPIE – Water". Section 6.2.2 of the Groundwater Monitoring Program states that the "primary reason for sentinel monitoring bores is to identify where saltwater migration from saline sources such as the river, estuaries or White Bay may migrate into the station boxes or tunnels and effect the design. Sentinel groundwater monitoring bore locations will be identified as part of the detailed Groundwater Model and in consultation with the design team as required by CoA D122." Section 6.3.4 states that "Station boxes are expected to be open for much longer periods of time and therefore, greater inflows are expected at these locations. Section 5.1.2 outlines the expected groundwater inflow rates at each of the station boxes as predicted as part of the EIS and by the Revised Groundwater Modelling Reports required under CoA D122".	Compliant	

Phase F – Western Tunnelling Package – Gamuda Australia and Laing O’Rourke Joint Venture (GLC):

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A16	<p>Ancillary Facilities Ancillary facilities that are not identified by description and location in the documents listed in Condition A1 of this schedule can only be established and used in each case if:</p> <p>a) they are located within or immediately adjacent to the Construction Boundary; and</p> <p>b) they are not located next to sensitive land user(s) (including where an access road is between the facility and the receiver), unless the landowner and occupier have given written acceptance to the carrying out of the relevant facility in the proposed location; and</p> <p>c) they have no impacts on Heritage items (including areas of archaeological sensitivity), threatened species, populations or ecological communities beyond the impacts approved under the conditions of this approval; and</p> <p>d) the establishment and use of the facility can be carried out and managed within the outcomes set out in the conditions of this approval, including in relation to environmental, social and economic impacts.</p> <p>Note: This condition does not apply to any ancillary facilities or work that are exempt or complying development, established before the commencement of construction under this approval or minor ancillary facilities established under Condition A21 of this schedule.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022)</p>	<p>Interviews with the Environmental Representative (ER) on the 4 September 2023, and assessment of the Construction Environmental Management Plan (CEMP), and supporting plans, identified no non-compliances with respect to ancillary facilities associated with Gamuda Laing O’Rourke’s (GLC) works.</p> <p>This finding also applies to condition A17, A21 and A22.</p>	Compliant	
A17	<p>Site Establishment Management Plan Before establishment of any ancillary facility (excluding exempt or complying development, minor ancillary facilities determined by the ER to have minimal environmental impact and those established under Condition A21 of this schedule, and those considered in an approved CEMP), the Proponent must prepare a Site Establishment Management Plan which outlines the environmental management practices and procedures to be implemented for the establishment of the ancillary facilities. The Site Establishment Management Plan must be prepared in consultation with the Relevant Council(s) and relevant government agencies. The Site Establishment Management Plan must include:</p> <p>a) a description of activities to be undertaken during establishment of the ancillary facility (including scheduling and duration of work to be undertaken at the site);</p> <p>b) figures illustrating the proposed operational site layout and the location of the closest sensitive land user(s);</p> <p>c) a program for ongoing analysis of the key environmental risks arising from the site establishment activities described in subsection (a) of this condition, including an initial risk assessment undertaken before the commencement of site establishment work;</p> <p>d) details of how the site establishment activities described in subsection (a) of this condition will be carried out to:</p> <p>I. meet the performance outcomes stated in the documents listed in Condition A1 of this schedule, and</p> <p>II. manage the risks identified in the risk analysis undertaken in subsection (c) of this condition; and</p> <p>e) a program for monitoring the performance outcomes, including a program for construction noise monitoring, where appropriate or required. Nothing in this condition prevents the Proponent from preparing individual Site Establishment Management Plans for each ancillary facility.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022)</p>	<p>Sydney Metro and the ER advised that the minor ancillary facilities had minimal environmental impact with respect to waste management and flooding, and had no impacts on biodiversity, soil and water, and Heritage items beyond those already approved under other conditions of this approval. Observations during site visits undertaken at Parramatta, Westmead and Clyde observed minimal impact of ancillary facilities due to the existing environment of the surrounding area being extensively developed.</p>	Compliant	
A20	<p>Use of Ancillary Facilities The use of an ancillary facility for construction must not commence until the CEMP required by Condition C1 of this schedule, relevant CEMP Sub- plans required by Condition C5 of this schedule and relevant Construction Monitoring Programs required by Condition C14 of this schedule have been approved by the Planning Secretary or endorsed by the ER (whichever is applicable). Note: This condition does not apply to Condition A21 of this schedule or where the use of an ancillary facility is Low Impact Work or for Low Impact Work.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022)</p>	<p>Assessment of the Construction Environmental Management Plan and supporting plans observed that the use of ancillary facility for construction commenced post endorsement of these documents by the ER.</p> <p>See detailed findings for conditions A16 above.</p>	Compliant	
A21	<p>Minor Ancillary Facilities Lunch sheds, office sheds, portable toilet facilities, and the like, can be established and used where they have been assessed in the documents listed in Condition A1 of this schedule or satisfy the following criteria:</p> <p>a) are located within or adjacent to the Construction Boundary; and</p> <p>b) have been assessed by the ER to have:</p> <p>I. minimal amenity impacts to surrounding residences and businesses, after consideration of matters such as compliance with the ICNG, traffic and access impacts, dust and odour impacts, and visual (including light spill) impacts, and</p> <p>II. minimal environmental impact with respect to waste management and flooding, and</p> <p>III. no impacts on biodiversity, soil and water, and Heritage items beyond those already approved under other conditions of this approval.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022)</p>	<p>Assessment of the Construction Environmental Management Plan, and supporting plans, observed that minor ancillary facilities aligned with CoA A21. Information provided during interviews with Sydney metro and the ER identified no non-compliances.</p> <p>See detailed findings for conditions A16 above.</p>	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
A22	Boundary Screening Boundary screening must be erected around ancillary facilities that are adjacent to sensitive land user(s) for the duration that the ancillary facility is in use unless otherwise agreed with relevant affected residents, business operators or landowners.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022)	Assessment of the Construction Environmental Management Plan and the Visual Amenity Management Plan observed that they include controls to meet the requirements of CoA A22 and A23. During Site inspections at Westmead, Parramatta and Clyde, the auditor observed boundary screening around ancillary facilities as per Section 7.2.2 of the Visual Amenity Plan, which states that, "Boundary screening will be installed within construction sites adjoining or adjacent to sensitive land users in accordance with CoA A22 and A23. The boundary screening will minimise visual impacts on adjacent sensitive receivers. Noise barriers may be incorporated into the boundary screening and will be installed at construction sites generally in accordance with the EIS (between 3-5m in height). However, final design and location of noise barriers will be determined through the Detailed Noise and Vibration Impact Statement as detailed in the Noise and Vibration Management Plan". This finding also applies to condition A16, A17 and A23.	Compliant	
A23	Boundary screening required under Condition A22 of this schedule must minimise visual impacts on adjacent sensitive land user(s).	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022)	See findings for condition A22 above.	Compliant	
A43	The Planning Secretary must be notified via phone or in writing via the Major Projects website immediately after the Proponent becomes aware of an incident. Any notification via phone must be followed up by a notification in writing via the Major Projects website within 24 hours of the initial phone call. The written 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 general nature of the incident.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Email Correspondence with Environmental Manager (04/10/2023)	Assessment of the CEMP observed that it includes incident management notification requirements as per CoA A43. The Environmental Incident and Non-compliance Notification Report as per section 3.8 Incident Notification Management states, "The Project Director or the Environment Manager would notify the Sydney Metro Environmental Manager and the ER of incidents (and the AA with regards to any noise or vibration related incidents) as soon as practicable in the event of a notifiable incident, to enable Sydney Metro to make immediate notification to the Planning Secretary under CoA A43". During site interviews, the auditors were advised that in the event of an incident, the GLC Environment Manager would notify the EPA and other relevant regulatory authorities. The Environment Manager would provide written notification to Sydney Metro within 24 hours of the initial incident notification. Sydney Metro would notify the Planning Secretary in accordance with CoA A43, which requires notification to the Planning Secretary in writing within 24 hours of the initial phone call. The audit team was advised during site interviews that no environmental incidents, which met the definition of "incident" under SSI 10038, were associated with Phase F during the audit period. Observations of incident data extracted from SAI360, identified no environmental incidents during the audit period. This finding also applies to condition A44.	Compliant	
A44	Subsequent notification must be given and reports submitted in accordance with the requirements set out in Appendix A.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Email Correspondence with Environmental Manager (04/10/2023)	Assessment of the CEMP observed the Incident management notification and investigation report requirements as per CoA A43 and A44. During site interviews, Sydney Metro and the contractor environment teams advised SAI360 reporting software is used to manage incidents, report non-compliances and notify the Department. Sydney Metro confirmed only Class 1 incidents are required to be reported to DPE. Class 2 incidents and below lower incidents are documented for closure, with parallel management for Non-Compliance Reports (NCRs). A assessment of incident data by the auditor extracted from SAI360, identified no incidents which meet the definition of "incident" under SSI 10038 during the audit period.	Compliant	
A45	The Planning Secretary must be notified in writing via the Major Projects website within seven (7) days after the Proponent becomes aware of any non-compliance with the conditions of this approval.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Email Correspondence with Environmental Manager (04/10/2023) Report WTP Complaint Register 23 September 2022 to 31 August 2023	Assessment of the Phase F (Western Tunnelling Package) Non-Compliances_SAI360 extract report, Environmental Incident and Non-compliance Notification Reports and DPE lodgment confirmation email observed that seven (7) non-compliances had been identified during the audit period. The notifications were observed to have been submitted within the seven (7) day notification period.	Compliant	
A46	A non-compliance notification must identify the CSSI (including the application number for it), set out the condition of approval that the development is non-compliant with, the way in which it does not comply and the reasons for the non-compliance (if known) and what actions have been, or will be undertaken to address the non-compliance. Note: A non-compliance which has been notified as an incident does not need to also be notified as a non-compliance.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Email Correspondence with Environmental Manager (04/10/2023) Report WTP Complaint Register 23 September 2022 to 31 August 2023	Assessment of a non-compliance notification observed that it identified the CSSI including the application number, set out the condition of approval that the development is non-compliant with, the way in which it does not comply and the reasons for the non-compliance and what actions have been, or will be undertaken to address the non-compliance.	Compliant	
A47	All Heavy Vehicles used for spoil haulage must be clearly marked on the sides and rear with the project name and application number to enable immediate identification by a person viewing the Heavy Vehicle standing 20 metres away.	Spoil Management Plan, Revision F (Issued on 7 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The auditors observed during site inspections that heavy vehicles were clearly marked with project name and application number to enable immediate identification as detailed in the Spoil Management Plan. Refer to Appendix E – Site Inspection Photographs. Self-reported Non-compliance Non-compliance number: EVT-0001495 Date of Non-compliance: 09/11/2022 Site: Phase F - Gamuda - Rosehill	Non-Compliant	10038_IA3_33

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
			<p>Non-Compliance type: Traffic, Transport and Access</p> <p>Description of Non-compliance: Trucks used for spoil haulage did not have identification according to condition A47.</p>		
A48	The CSSI name, application number, telephone number, postal address and email address required under Condition B3 of this schedule must be available on-site boundary fencing / hoarding at each ancillary facility before the commencement of construction. This information must also be provided on the website required under Condition B11 of this schedule.	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022)</p>	<p>During the site visits, it was observed that boundary fencing signage was in place as per Section 3.7.4 of the CEMP which states "The following information will be available to facilitate community enquiries (in accordance with CoA B3) throughout the delivery of the WTP:</p> <ul style="list-style-type: none"> - A 24-hour telephone line - A postal address - An email address - A community complaints mediation system. <p>Details of this information will be available on the Sydney Metro webpage required in accordance with CoA B11 as well as on site hoarding at construction sites, in accordance with CoA A48.</p> <p>This finding also applies to condition B3.</p> <p>Refer to Appendix E – Site Inspection Photographs.</p>	Compliant	
B1	Community Communication The Overarching Community Communication Strategy as provided in the documents listed in Condition A1 of this schedule must be implemented for the duration of the work.	<p>Overarching Community Communication Strategy, Revision 3 (Issued on 3 August 2022)</p> <p>CEMP, Revision C. (Issued 20 April 2022)</p>	<p>Assessment of the Overarching Community Communications Strategy (OCCS) observed that the community information, consultation and involvement process and tools intend to be implemented for the duration of the work.</p> <p>It was observed that the Community Communications Strategy (CCS) identifies internal and external communication processes, communication tools and is specific to areas within the WTP work site. Section 9.2.1 Noise Disturbance states, "In the event that conflict arises between the GLC and the community in relation to the noise and vibration performance of site establishment works, the AA will follow the procedure in the Overarching Community Communication Strategy referenced in CoA B1 of the Planning Approval to attempt to resolve the conflict, and if it cannot be resolved, notify the Planning Secretary."</p> <p>The GLC CCS provides an integrated approach incorporating the Sydney Metro project communication and engagement objectives listed in the OCCS and is underpinned by the Sydney Metro and AFJV plans, policies and values.</p> <p>Non-compliance number: EVT-0001701</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Community, Stakeholder and Business</p> <p>Description of Non-compliance: A Westmead resident called the project 1800 number (1800 612 173) to register a noise complaint at 1:46 am on 16 November 2022. At 1:50am the call centre called the GLC hotline number to advise of the complaint but received no response.</p> <p>The call centre continued to call the GLC hotline number until a response was received. The GLC representative responded to the call centre at 4:02am and received a text message confirming the resident's details and reason for the complaint at this time.</p> <p>The GLC representative had inadvertently toggled the hotline phone on to silent mode the previous day without realising and therefore was unaware of the attempted calls being made by the call centre.</p> <p>The GLC representative called the resident at 4:05am with no response. This attempted contact with the complainant occurred two hours and 15 minutes after the initial phone call from the call centre to notify GLC of the complaint. This timeframe is a non-compliance with the 2-hour verbal response time stipulated in the Overarching Community Communication Strategy required under Ministers Condition of Approval B1.</p> <p>GLC contacted the resident at 8:50am to acknowledge the complaint and advised that provided information relating to their complaint, monitoring undertaken and mitigation in place. The resident appreciated the information and did not raise any concern about the delay in responding to the complaint.</p> <p>In response to this occurrence, GLC will recommend that Sydney Metro provide the call centre with an alternative GLC contact number as an escalation point in the event they receive no response from the primary GLC hotline number.</p>	Non-Compliant	10038_IA3_32

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
B2	A Complaints Management System must be prepared and implemented before the commencement of any work and maintained for the duration of construction and for a minimum for 12 months following completion of construction of Stage 1 of the CSSI.	<p>Overarching Community Communication Strategy, Revision 3 (Issued on 3 August 2022)</p> <p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)</p> <p>Interview with Environmental Representative (4 September 2023)</p> <p>Email Correspondence with Environmental Manager (04/10/2023)</p> <p>Report WTP Complaint Register 23 September 2022 to 31 August 2023</p>	<p>The Sydney Metro Construction Complaints Management System forms part of the Sydney Metro Communication and Engagement Management System and was observed to outline the procedure for managing complaints across Sydney Metro West, Sydney International Speedway (construction related complaints) and Sydney Metro Central Sydney Airport. This includes:</p> <ul style="list-style-type: none"> - Receiving complaints - Classifying complaints - Responding to complaints - Escalation - Mediation - Recording complaints - Reporting. <p>Testing of the CEMP, the GLC CCS and the OCCS observed no non-compliance with the Construction Complaints Management System.</p> <p>This finding also applies to condition B3.</p>	Compliant	
B3	<p>The following information must be available to facilitate community enquiries and manage complaints 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>c) an email address to which electronic complaints and enquiries may be transmitted; and</p> <p>d) a mediation system for complaints unable to be resolved. This information must be accessible to all in the community regardless of age, ethnicity, disability or literacy level.</p>	<p>Overarching Community Communication Strategy, Revision 3 *Issued on 3 August 2022)</p> <p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)</p> <p>Interview with Communications team (6 September 2023)</p>	<p>The following details facilitate community enquiries and manage complaints across WTP:</p> <p>Phone: 1800 612 173 (available 24 hours) Email: metrotunnelsGLC@transport.nsw.gov.au</p> <p>The Sydney Metro Construction Complaints Management System was observed to outline a detailed complaint escalation procedure which includes complaint escalation and independent mediation to help facilitate communication between parties in conflict to help them reach a voluntary and mutually agreeable outcome to a dispute.</p> <p>Section 5.1 of the Complaints Management System states when to escalate a complaint which states, "Complaints may be subject to an internal escalation process in circumstances when:</p> <ul style="list-style-type: none"> - "The complaint cannot be resolved using the procedure in section 4, within a reasonable timeframe agreed to by the complainant" and "Complainants will work with Sydney Metro management representatives and any other internal or external subject matter experts with the view to working together to resolve their complaints. - The contractor is required to satisfy Sydney Metro representatives that considerations and recommendations have been implemented and all avenues available to them have been exhausted prior to seeking further escalation". 	Compliant	
B4	<p>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:</p> <p>a) number of complaints received;</p> <p>b) date and time of the complaint;</p> <p>c) number of people in the household affected in relation to a complaint, if relevant;</p> <p>d) method by which the complaint was made;</p> <p>e) any personal details of the complainant which were provided by the complainant or, if no such details were provided, a note to that effect;</p> <p>f) issue of the complaint;</p> <p>g) means by which the complaint was addressed and whether resolution was reached, with or without mediation; and</p> <p>h) if no action was taken, the reason(s) why no action was taken.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)</p>	<p>Section 7.4.1 of the CEMP Environmental Representative was observed to outline that, "They are the principle point of advice for the environmental management of the delivery of the Project. GLC will provide a copy of the Complaints Register on a weekly basis or as requested". This is supported by Section 6 of the Complaints Management System which states that, "In accordance with project planning approvals, all complaints are recorded within a complaint register. For the purposes of Sydney Metro, complaints are recorded on the Consultation Manager database. The Complaints Register will be provided to the Secretary upon request, within the timeframe stated in the request."</p> <p>A complaints register has been prepared and is being maintained by Sydney Metro. Assessment of the Complaints register observed that it includes the details specified in Condition B4.</p> <p>This finding also applies to conditions B5 and B6.</p>	Compliant	
B5	<p>Complainants must be advised of the following information before, or as soon as practicable after, providing personal information:</p> <p>a) the Complaints Register may be forwarded to government agencies, including DPE(Department of Planning Industry and Environment, 4 Parramatta Square, 12 Darcy Street, Parramatta NSW 2150), to allow them to undertake their regulatory duties;</p> <p>b) by providing personal information, the complainant authorises the Proponent to provide that information to government agencies;</p> <p>c) the supply of personal information by the complainant is voluntary; and</p> <p>d) the complainant has the right to contact government agencies to access personal information held about them and to correct or amend that information (Collection Statement). The Collection Statement must be included on the Proponent or development website to make prospective complainants aware of their rights under the Privacy and Personal Information Protection Act 1998 (NSW). For any complaints made in person, the complainant must be made aware of the Collection Statement.</p>	<p>Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)</p>	<p>The Sydney Metro Construction Complaints Management System was observed to detail complaint handling processes for the Construction Complaints Management System as per CoA B5. Sections 1.4.2 and 1.4.3. the Sydney Metro Complaints Privacy Collection Notice were observed to detail the collection of personal information and the purpose of investigation and managing a complaint.</p> <p>This finding also applies to condition B6.</p>	Compliant	
B6	The Complaints Register must be provided to the Planning Secretary upon request, within the timeframe stated in the request. Note: Complainants must be advised that the Complaints Register may be forwarded to Government agencies to allow them to undertake their regulatory duties.	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022)</p>	<p>The CEMP and the Sydney Metro Construction Complaints Management System, were observed to include the requirement for providing the Complaints register to the Planning Secretary upon request.</p> <p>See detailed findings for conditions B4 and B5 above.</p>	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
B7	A Community Complaints Mediator that is independent of the design and construction personnel must be engaged by the Proponent, upon the referral of the complaint by the ER in accordance with the Overarching Community Communication Strategy.	Overarching Community Communication Strategy, Revision 3 (Issued on 3 August 2022) CEMP, Revision C. (Issued 20 April 2022) Sydney Metro Construction Complaints Management System (CCMS), Revision 2 (Issued 5 Feb 2022) Sydney Metro West – Statement of Independence dated 21 March 2022) Sydney Metro – Mediation Services – Standing Offer Deed – Contract No. SMC-21-0232– 14 December 2021	During the Independent Audit a letter from Sydney Metro was observed which accepted a mediation proposal dated 30 September 2021 to provide Mediation Services for Sydney Metro by Steve Lancken Conflict Management Pty Limited t/as Negocio Resolutions. The letter stated that neither Negocio Resolutions nor its contractors had provided any other services to or at the request of Sydney Metro West Project and that Negocio Resolutions does not provide any services to any contractor or subcontractor for the Sydney West Project. This finding also applies to conditions B8, B9 and B10.	Compliant	
B8	The role of the Community Complaints Mediator is to provide independent mediation services for any reasonable and unresolved complaint referred by the ER where a member of the public is not satisfied by the Proponent's response. Where a Community Complaints Mediator is required, a mediator accredited under the National Mediator Accreditation System (NMAS), administered by the Mediator Standards Board must be appointed.	Overarching Community Communication Strategy, Revision 3 (Issued on 3 August 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Mediator Standards Board website (https://msb.org.au/mediators) confirms that Mr. Stephen Lancken is accredited under the NMAS (ref. 130-3710) by the Resolution Institute. See detailed findings for conditions B7 above.	Compliant	
B9	Community Complaints Mediation will: a) review any unresolved disputes, referred by the ER in accordance with the Overarching Community Communication Strategy; b) make recommendations to the Proponent to satisfactorily address complaints	Overarching Community Communication Strategy, Revision 3 (Issued on 3 August 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Sydney Metro Overarching Community Communications Strategy and the Sydney Metro Construction Complaints Management System, were observed which detail the engagement of the Community Complaints Mediator to review any unresolved disputes, referred by the ER aligned with the Overarching Community Communication Strategy and make recommendations to the Proponent to satisfactorily address complaints in accordance with the requirements for CoA B9. The auditors were advised during site interviews that no incidents had been escalated to the mediator.	Compliant	
B10	Community Complaints Mediation will not be enacted before the Complaints Management System required by Condition B2 of this schedule 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 this CSSI.	Overarching Community Communication Strategy, Revision 3 (Issued on 3 August 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Refer to finding B10.	Compliant	
B11	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 24 months following the completion of all phases of construction of Stage 1 of the CSSI. Up-to-date information (excluding confidential, private, commercial information or other documents as agreed to by the Planning Secretary) must be published before the relevant work commencing and maintained on the website or dedicated pages including: a) information on the current implementation status of Stage 1 of the CSSI; b) a copy of the documents listed in Condition A1 of this schedule, and any documentation relating to any modifications made to the CSSI or the conditions of this approval; 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 conditions), and copies of any approval granted by the Minister to a modification of the conditions of this approval, or links to the referenced documents where available; d) a copy of each statutory approval, licence or permit required and obtained in relation to Stage 1 of the CSSI, or where the issuing agency maintains a website of approvals, licences or permits, a link to that website; e) a current copy of each document required under the conditions of this approval, which must be published within one (1) week of its approval or before the commencement of any work to which they relate or before their implementation, as the case may be; and f) a copy of the audit reports required under this approval. Where the information / document relates to a particular work or is required to be implemented, it must be published before the commencement of the relevant work to which it relates or before its implementation. All information required in this condition is to be provided on the website or webpage, and easy to navigate.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	In accordance with Section 10.2 of the CEMP, the auditor has observed up to date information which identified no non-compliances with the requirements of Condition B11. This information is available on the Sydney Metro webpage as per CoA B11 as well as on site hoarding at construction sites, in accordance with CoA A48 and that "GLC will also host a website, which will provide public access to approval documents prepared by GLC, in accordance with CoA B11. A link will be available between the Sydney Metro website and the GLC website".	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
C1	Construction Environmental Management Plans (CEMPs) and CEMP Sub-plans must be prepared in accordance with the Construction Environmental Management Framework (CEMF) included in the documents listed in Condition A1 of this schedule to detail how the performance outcomes, commitments and mitigation measures specified in the documents listed in Condition A1 of this schedule will be implemented and achieved during construction	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Assessment of The CEMP observed that it that the CEMP and CEMP Sub-plans had been prepared to align with the CEMF and that these documents have been endorsed and approved by the ER. During interviews with the contractor, the auditor was advised that updates were being made to the CEMP to align with the construction phase of the project and would be finalised outside the audit period.	Compliant	
C2	With the exception of any CEMPs expressly nominated by the Planning Secretary to be endorsed by the ER, all CEMPs must be submitted to the Planning Secretary for approval.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 3 of the CEMP provides the details of the endorsement/approval of the Planning Secretary for the CEMP and CEMP Sub-plans.	Compliant	
C3	The CEMP(s) not requiring the Planning Secretary's approval must be submitted to the ER for endorsement no later than one (1) month before the commencement of construction or where construction is phased no later than one (1) month before the commencement of that phase. That CEMP must obtain the endorsement of the ER as being consistent with the conditions of this approval and all undertakings made in the documents listed in Condition A1 of this schedule.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Refer to Condition C1.	Compliant	
C4	Any CEMP to be approved by the Planning Secretary must be endorsed by the ER and then submitted to the Planning Secretary for approval no later than one (1) month before the commencement of construction or where construction is phased no later than one (1) month before the commencement of that phase.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 4.2 of the CEMP states that, "This CEMP, CEMP sub-plans and Construction Monitoring Programs will be submitted for endorsement no later than one (1) month before the commencement of construction for the Project, or where construction is phased no later than one (1) month before the commencement of that phase. In accordance with CoA C3, if the CEMP does not require the Planning Secretary's approval it must be lodged with the ER for endorsement no later than one month before the commencement of construction".	Compliant	
C5	Of the CEMP Sub-plans required under Condition C1 of this schedule, the following CEMP Sub-plans must be prepared in consultation with the relevant government agencies identified for each CEMP Sub-plan. Details of issues raised by a government agency during consultation must be included in the relevant CEMP Sub-plan, including copies of all correspondence from those government agencies as required by Condition A6 of this schedule. Where a government agency (is) request(s) is not included, the Proponent must provide the Planning Secretary / ER (whichever is applicable) justification as to why: a. noise and vibration - SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s) b. flora and fauna— DPE BCD, DPI Fisheries, SOPA (in respect of Sydney Olympic Park) and Relevant Council(s) c. soil and water - DPE BCD, Relevant Council(s), SOPA (in respect of Sydney Olympic Park) and Sydney Water (if Sydney Water's assets are affected) d. heritage— Heritage NSW, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s) e. spoil— Relevant Council(s) and SOPA (in respect of Sydney Olympic Park).	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Construction Monitoring Report, Revision B (Issued 13 April 2023) DPE Letter of Approval for WTP CEMP, CEMP Sub-Plans and Monitoring Programs, 11/07/22.	It was observed that the CEMP Sub-plans have been prepared in consultation with the relevant government agencies as required under Condition C1. A letter from DPE, dated 11 July 2022, approving the CEMP and CEMP sub-plans was observed.	Compliant	
C6	The CEMP Sub-plans must state how: a) the environmental performance outcomes identified in the documents listed in Condition A1 of this schedule will be achieved; b) the mitigation measures identified in the documents listed in Condition A1 of this schedule will be implemented; c) the relevant conditions of this approval will be complied with; and d) issues requiring management during construction (including cumulative impacts), as identified through ongoing environmental risk analysis, will be managed through SMART principles.	Flora and Fauna Sub-Plan, Revision F (Issued on 04 October 2022) Heritage Sub-Plan Revision G (Issued on 10 October 2022) Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022) Soil and Water Sub-Plan Revision E (issued on 21 November 2022) Spoil Management Sub-Plan Revision F (Issued on 7 November 2022)	The CEMP sub-plans were observed to detail how the requirements of Condition C6 have been met given their endorsement by the ER and approval by the Planning Secretary.	Compliant	
C7	With the exception of any CEMP Sub-plans expressly nominated by the Planning Secretary to be endorsed by the ER, all CEMP Sub-plans must be submitted to the Planning Secretary for approval.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) DPE Letter of Approval for WTP CEMP, CEMP Sub-Plans and Monitoring Programs, 11/07/22. Flora and Fauna Sub-Plan, Revision F (Issued on 04 October 2022) Heritage Sub-Plan Revision G (Issued on 10 October 2022) Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022) Soil and Water Sub-Plan Revision E (issued on 21 November 2022) Spoil Management Sub-Plan Revision F (Issued on 7 November 2022)	Assessment of the CEMP and the CEMP sub-plans observed that they have been endorsed and approved. This finding also applies to conditions C8, C9 and C10.	Compliant	

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C8	The CEMP Sub-plans not requiring the Planning Secretary's approval must obtain the endorsement of the ER as being in accordance with the conditions of approval and all relevant undertakings made in the documents listed in Condition A1 of this schedule. Any of these CEMP Sub-plans must be submitted to the ER with, or subsequent to, the submission of the CEMP but in any event, no later than one (1) month before construction or where construction is phased no later than one (1) month before the commencement of that phase.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Assessment of the CEMP and the CEMP sub-plans observed that they have been endorsed and approved.	Compliant	
C9	Any of the CEMP Sub-plans to be approved by the Planning Secretary must be submitted to the Planning Secretary with, or subsequent to, the submission of the CEMP but in any event, no later than one (1) month before construction or where construction is phased no later than one (1) month before the commencement of that phase.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) DPE Letter of Approval for WTP CEMP, CEMP Sub-Plans and Monitoring Programs, 11/07/22.	Assessment of the CEMP and the CEMP sub-plans observed that they were submitted to the Planning Secretary within a month prior to construction.	Compliant	
C10	Construction must not commence until the CEMP and all CEMP Sub-plans have been approved by the Planning Secretary or endorsed by the ER (whichever is applicable), unless otherwise agreed by the Planning Secretary. The CEMP and CEMP Sub-plans, as approved by the Planning Secretary or endorsed by the ER (whichever is applicable), including any minor amendments approved by the ER, must be implemented for the duration of construction. Where construction of Stage 1 of the CSSI is phased, construction of a phase must not commence until the CEMP and CEMP Sub-plans for that phase have been approved by the Planning Secretary or endorsed by the ER upon nomination by the Planning Secretary (whichever is applicable).	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 4.2 of the CEMP states: "Construction will not commence until the CEMP and CEMP sub-plans have been endorsed by the ER, unless otherwise agreed by the Planning Secretary. Additionally, construction will not commence until the ER has endorsed all of the required Construction Monitoring Programs, and all relevant baseline data for the specific construction activity has been collected. Additionally, construction will not commence until the ER has endorsed all of the required Construction Monitoring Programs, and all relevant baseline data for the specific construction activity has been collected. The ER will approve any minor amendments to this Plan. Any amendments which are more than minor will be approved by the Planning Secretary. This CEMP, as submitted to the ER, including any minor amendments approved by the ER, will be implemented for the duration of construction."	Compliant	
C11	In addition to the relevant requirements of the CEMF, the Flora and fauna CEMP Sub-plan must include, but not be limited to: a) site specific mitigation measures to manage impacts (including proposed techniques, timing, frequency and responsibility of implementing); b) measures to minimise disturbance to habitat associated with Myotis Macropus / Southern Myotis, including demolition inspections by a suitably qualified ecologist of any vegetation to be cleared and any buildings or structures identified as potential roosting habitat for microbats that are to be demolished or refurbished; c) measures to minimise and mitigate disturbance to mangrove forests at the Clyde Maintenance and Stabling construction site to the extent necessary; and d) details for undertaking and mitigating vegetation clearance through improved environmental outcomes.	CEMP, Revision C (Issued on 20 April 2022) Flora and Fauna Sub-Plan, Revision F (Issued on 04 October 2022) Clyde Pre-Inspection checklists	The Flora and Fauna CEMP Sub-plan, and pre-inspection checklist, in addition to CEMF requirements, were observed to include site-specific mitigation measures for impact management, including proposed techniques, timing, frequency, and responsibility, and measures to minimize disturbance to Myotis Macropus / Southern Myotis habitat, involving inspections by a qualified ecologist for vegetation clearance and demolition or refurbishment of potential roosting structures. Furthermore, the plan outlines measures to minimize and mitigate disturbance to mangrove forests at the Clyde Maintenance and Stabling construction site, as well as provide details for vegetation clearance with an emphasis on improved environmental outcomes. Additional Documentation in relation to Flora and Fauna Management provided to the auditor for assessment included pre-clearance and post-clearance permits with additional documentation pertaining to Rosehill vegetation removal. This included a preclearing inspection, permit to clear and pre clearance inspection dated 30 May 2022, 6 June 2022, and 7 June 2022, with mangrove removal being undertaken outside of audit period. Site visits and interviews with stakeholders have identified a modification to increase the area of clearance of mangroves at Clyde MSF. GLC has surveyed the site to identify the location of the mangroves, and the modification is currently pending approval from the Department. The Flora and Fauna sub-plan includes mitigation measures to manage the additional impact to the mangrove forest.	Compliant	
C12	In addition to the relevant requirements of the CEMF, the Soil and Water CEMP Sub-plan must include, but not be limited to: a) details of construction activities and their locations which have the potential to expose areas known to contain, or potentially contain, contaminated soils and / or materials; b) measures for the handling, treatment and management of hazardous and contaminated soils and materials including measures to manage and / or minimise worker and public health and safety with regards to exposure to contamination; and c) confirmation of how the effectiveness of the actions and measures for managing contamination impacts would be monitored during the proposed works, clearly indicating how often this monitoring would be undertaken, the locations where monitoring would take place, and how the results of the monitoring would be recorded and reported.	Soil and Water Sub-Plan Revision E (issued on 21 November 2022) CEMP, Revision C (Issued on 20 April 2022)	Assessment of the Soil and Water Management Plan (SWMP) observed that it has been prepared to meet the requirements of the CEMF, and that it has been endorsed by the ER and approved by the Planning Secretary.	Compliant	

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C13	<p>In addition to the relevant requirements of the CEMF, the Heritage CEMP Sub-plan must include, but not be limited to:</p> <p>a) be prepared in consultation with a suitably qualified and experienced heritage expert;</p> <p>b) identify exclusion zones, archival recording requirements, baseline and periodic monitoring protocols (including before and during construction);</p> <p>c) identify and assess the heritage significance of the ancillary structures proposed to be demolished or significantly impacted that are within the curtilage of White Bay Power Station and other items identified as retaining 'potential heritage significance' in the documents listed in Condition A1 of this schedule and which will be impacted by the CSSI;</p> <p>d) in association with Condition D61 of this schedule, set out the final site inspections to be conducted within three (3) months of completion of construction for the following heritage sites unless otherwise agreed by the Planning Secretary:</p> <p>I. the Roxy Theatre (SHR I00711);</p> <p>II. White Bay Power Station (SHR I01015);</p> <p>III. the former State Abattoirs (State Environmental Planning Policy (State Significant Precincts) 2005 Item 141); and</p> <p>IV. the RTA Depot fronting Unwin Street (Parramatta Local Environmental Plan 2011 I576); and</p> <p>e) set out means of rectification of any damage by the CSSI to Heritage items (d)(i) to (d)(iv) above within six (6) months of the completion of construction at the construction site identified in the relevant Heritage CEMP Sub-plan. This rectification work must be in consultation with a suitably qualified and experienced heritage consultant to ensure the use of appropriate materials, appropriate conservation practices and in accordance with existing heritage management documents (for example, conservation management plans or strategies) to protect and conserve the heritage significance of the items. The Heritage CEMP Sub-plan must include Aboriginal cultural heritage management and mitigation measures (that may include conservation, archaeological salvage excavation and community collection) based on the Aboriginal Cultural Heritage Excavation Report and continuing Aboriginal community consultation.</p>	<p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>CEMP, Revision C (Issued on 20 April 2022)</p> <p>Heritage Management Plan, Revision G, Issued on 4 October 2022</p>	<p>Assessment of the Heritage Management Plan observed that it has been prepared to meet the requirements of the CEMF and that it has been endorsed by the ER and approved by the Planning Secretary. This includes the following observations by the auditor:</p>	Compliant	
C14	<p>The following Construction Monitoring Programs must be prepared in consultation with the relevant government agencies identified for each to compare actual performance of construction of Stage 1 of the CSSI against the performance predicted in the documents listed in Condition A1 of this schedule or in the CEMP:</p> <p>a. noise and vibration - EPA, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s).</p> <p>b. blasting - SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</p> <p>c. surface water quality - DPE Water, Relevant Council(s) and Sydney Water (if any Sydney Water assets are impacted)</p> <p>d. groundwater - DPE Water and SOPA (in respect of Sydney Olympic Park).</p> <p>Note: The Blasting Construction Monitoring Program is only required to be prepared if blasting is proposed to be conducted during construction.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>DPE Letter of Approval for WTP CEMP, CEMP Sub-Plans and Monitoring Programs, 11/07/22.</p>	<p>Assessment of the CEMP and the Construction Monitoring plans observed that they address the requirements for consultation with the relevant government agencies. The Letter of approval from DPE dated 11 July 2022 states that the documents "have been prepared in accordance with the consultation requirements of Conditions C5 and C14 of the approval".</p>	Compliant	
C15	<p>Each Construction Monitoring Program must provide:</p> <p>a) details of baseline data available including the period of baseline monitoring;</p> <p>b) details of baseline data to be obtained and when;</p> <p>c) details of all monitoring of the project to be undertaken;</p> <p>d) the parameters of the project to be monitored;</p> <p>e) the frequency of monitoring to be undertaken;</p> <p>f) the location of monitoring;</p> <p>g) the reporting of monitoring results and analysis results against relevant criteria;</p> <p>h) details of the methods that will be used to analyse the monitoring data;</p> <p>i) procedures to identify and implement additional mitigation measures where the results of the monitoring indicated unacceptable project impacts;</p> <p>j) a consideration of SMART principles; and</p> <p>k) any consultation to be undertaken in relation to the monitoring programs; and</p> <p>l) any specific requirements as required by Conditions C16 to C17 of this schedule.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	<p>Assessment of the CEMP and the Construction Monitoring plans identified no non-compliances with the requirements of CoA C15 and that they have been endorsed by the ER.</p>	Compliant	

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C16	The Noise and Vibration Construction Monitoring Program and Blasting Construction Monitoring Program must include: a) noise and vibration monitoring determined in consultation with the AA to confirm the best achievable construction noise and vibration levels with consideration of all reasonable and feasible mitigation and management measures that will be implemented; b) for the purposes of (a), noise monitoring must be undertaken during the day, evening and night-time periods and within the first month of work as well as throughout the construction period and cover the range of activities being undertaken at the sites; and c) a process to undertake real time noise and vibration monitoring. The results of the monitoring must be readily available to the construction team, the Proponent, ER and AA. The Planning Secretary and EPA must be provided with access to the results on request.	CEMP, Revision C. (Issued 20 April 2022) Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022), Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Environmental Representative (4 September 2023)	Assessment of the Noise and Vibration Monitoring Program identified no non-compliances with the requirements of CoA C16 and that it has been endorsed by the ER.	Compliant	
C22	The Construction Monitoring Programs, as approved by the Planning Secretary or the ER has endorsed (whichever is applicable), including any minor amendments approved by the ER, must be implemented for the duration of construction and for any longer period set out in the monitoring program or specified by the Planning Secretary or the ER (whichever is applicable), whichever is the greater.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Construction Monitoring Programs were observed to have been approved the Planning Secretary and/or endorsed by the ER. The Construction Monitoring Programs, as endorsed by the ER, were observed to include the intent that they will be implemented for the duration of construction and for any longer period set out in the monitoring program or specified by the ER, whichever is the greater.	Compliant	
C23	The results of the Construction Monitoring Programs must be submitted to the Planning Secretary, ER and relevant regulatory agencies, for information in the form of a Construction Monitoring Report at the frequency identified in the relevant Construction Monitoring Program. Note: Where a relevant CEMP Sub-plan exists, the relevant Construction Monitoring Program may be incorporated into that CEMP Sub-plan.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The auditor observed evidence of numerous monitoring programs as per the Construction Monitoring Programs submitted to the Planning Secretary, ER and relevant regulatory agencies which includes AA reports, ER reports and water monitoring.	Compliant	
D1	All reasonably practicable measures must be implemented to minimise the emission of dust and other air pollutants during construction.	CEMP, Revision C. (Issued 20 April 2022) Visual Amenity Plan, Revision C (Issued on 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Visual Amenity Management Plan was observed to include mitigation and management measures to minimise the emission of dust and other air pollutants during construction. During the site visits, the audit team observed that dust management measures were being applied including water carts, street sweepers and truck wash facilities.	Compliant	
D2	Biodiversity Credits The clearing of native vegetation must be minimised to the greatest extent practicable with the objective of reducing impacts to threatened ecological communities and threatened species habitat.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Clyde Pre-Inspection checklists	The Flora and Fauna Management Plan and Visual Amenity Plan were observed to include mitigation and management measures for clearing of native vegetation. The site visits undertaken by the auditors observed minimal vegetation on the sites.	Compliant	
D3	Impacts to plant community types must not exceed those identified in the documents listed in Condition A1 of this schedule, unless otherwise approved by the Planning Secretary. In requesting the Planning Secretary's approval, an assessment of the additional impact(s) to plant community types and an updated ecosystem and / or species credit requirement under Condition D4 below, if required, must be provided	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 5.2 Native Vegetation of the Flora and Fauna Management Plan states that, "According to the Sydney Metro West – Stage 1 EIS, the Project construction sites support two Plant Community Types (PCTs), including PCT 920 at Clyde MSF and PCT 849 at Westmead Metro Station. The location of each PCT across the sites and their conformity to threatened ecological communities is outlined in Table 3 and shown on Figure 2 and Figure 3. Since the preparation of the EIS, the construction boundary for Westmead Metro Station has been refined to avoid the clearing of any PCT 849 vegetation. Planted native vegetation that does not conform to a NSW PCT occurs at Parramatta metro station construction site, and Sydney Olympic Park metro station construction site". The site visits undertaken during the audit did not observe any impacts to plant community types exceeding those identified and the audit team was not advised of any further impacts.	Compliant	
D4	Before any vegetation clearing or tree removal that must be offset, the relevant credits specified in Table 3 below must be purchased and retired. The retirement of credits must be carried out in accordance with the offset rules of the BC Act.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Statement confirming payment into the Biodiversity Conservation Fund for an offset obligation, Dated 19 July 2022	The most recent offsetting of vegetation clearance was undertaken and finalised prior to the audit period. Sydney Metro and GLC advised that they have made payment to the Biodiversity Conservation Fund, which satisfies the requirement in condition D4 with respect to Acacia pubescens (Downy Wattle). The Certificate was subsequently provided to DPE as required by condition D6.	Compliant	
D5	The requirement to retire credits in Condition D4 above may be satisfied by payment to the Biodiversity Conservation Fund of an amount equivalent to the class and number of species credits, as calculated by the Biodiversity Offsets Payment Calculator.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding for condition D4 above.	Compliant	

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D6	The Proponent must submit evidence of the retirement of credits required by Condition D4 above to the Planning Secretary for information within one (1) month of receiving evidence of the retirement of credits and / or a certificate confirming payment under Condition D5 above before any vegetation clearing or tree removal that must be offset.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Flora and Fauna Management Plan was observed to include detail that The Proponent must submit evidence of the retirement of credits to the Planning Secretary for information within one (1) month of receiving evidence of the retirement of credits. Sydney Metro and GLC advised that they have made payment to the Biodiversity Conservation Fund, which satisfies the requirement in condition D4 with respect to Acacia pubescens (Downy Wattle). The Certificate was subsequently provided to DPE. This was the most recent offsetting of vegetation clearance undertaken and was finalised prior to the audit period.	Compliant	
D7	Microbat Management Before the removal or clearing of any vegetation, or the demolition of structures identified as potential roosting sites for microbats at the Clyde Stabling and Maintenance Facility site commences, pre-clearing / demolition inspections for the threatened species must be undertaken. The inspections, and any subsequent relocation of fauna and associated management / offset measures, must be undertaken under the guidance of a suitably qualified and experienced ecologist. Survey and relocation methodologies and management / offset measures must be included in the Flora and fauna CEMP Sub-plan required under Condition C5 of this schedule or the relevant Site Establishment Management Plan required by Condition A17 of this schedule.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.6 within the Flora and Fauna Management Plan states that Microbat management is mandated at Clyde Maintenance and Stabling Facility within microbat sensitivity zones. An ecological survey is undertaken prior to vegetation clearing and building demolition to identify potential microbat roosting sites. If microbat roosts are found, qualified ecologists handle live microbats, adhering to specific requirements, and either relocate them to bat boxes or house them temporarily. Microbats captured are housed in a controlled environment and released in the Fauna Relocation Zone, north of the confluence with Duck Creek and Duck River, within 24 hours of capture.	Compliant	
D8	In the event roosting sites have been identified under Condition D7 above, bat boxes must be provided or suitable habitat built within the Clyde Stabling and Maintenance Facility site.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Flora and Fauna Management Plan states that in the event microbat roosting sites have been identified, bat boxes must be provided or suitable habitat built within the Clyde Stabling and Maintenance Facility site. Table 11 of the Flora and Fauna Management Plan states that in the event microbat roosting sites have been identified a survey will be undertaken to determine what species is present and that bat boxes will be installed, or suitable habitat built within the Clyde MSF.	Compliant	
D9	Tree Removal As many mature trees and as much urban canopy as practicable must be retained during construction. Canopy trimming should be considered where practicable prior to any mature tree removal.	CEMP, Revision C. (Issued 20 April 2022) Flora and Fauna Management Plan, Revision F (Issued on 4 October 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Flora and Fauna Management Plan was observed to include mitigation and management measures for the retention of mature trees and urban canopy during construction and consideration for canopy trimming prior to any mature tree removal. In addition, the site visits observed minimal vegetation present at Westmead, Parramatta and Clyde and Five Dock sites. During the site inspection trees being retained at the Project worksites were observed and it appeared that tree trimming had been minimised. See detailed finding for condition D2 above.	Compliant	
D10	Unless otherwise agreed by the Planning Secretary, Stage 1 of the CSSI must be designed and constructed to not worsen flooding characteristics within and in the vicinity of the CSSI. Not worsen existing flooding characteristics means the following: a) a maximum increase in inundation time of one hour in a one (1) per cent Annual Exceedance Probability (AEP) flood event; b) a maximum increase of 10 mm in inundation at properties where floor levels are currently exceeded in a one (1) per cent AEP flood event; c) a maximum increase of 50 mm in inundation of land at properties where floor levels would not be exceeded in a one per cent AEP flood event; and d) no inundation of floor levels which are currently not inundated in a one (1) per cent AEP flood event. Measures identified in the documents listed in Condition A1 of this schedule to not worsen flooding characteristics or measures that achieve the same outcome must be incorporated into the detailed design of Stage 1 of the CSSI. The incorporation of these measures must be reviewed and endorsed by a suitably qualified and experienced person in consultation with directly affected landowners, DPE Water, DPI Fisheries, DPE BCD, NSW State Emergency Service (SES), SOPA (in respect of Sydney Olympic Park) and Relevant Council(s). Where flooding characteristics exceed the levels identified in (a), (b), (c), (d) above, the Proponent must undertake the following: a) consult with property owners for properties adversely flood affected as a result of Stage 1 of the CSSI and mitigate where necessary; and b) consult with the NSW State Emergency Service (SES), SOPA (in respect of Sydney Olympic Park) and Relevant Council(s) regarding the management of any residual flood risk beyond the 1 per cent AEP flood event and up to the probable maximum flood.	CEMP, Revision C. (Issued 20 April 2022) Soil and water management plan, Revision E, (Issued on 21 November 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Construction Environmental Management Plan, and supporting plans, state that Stage 1 of the CSSI has been designed and constructed to not worsen flooding characteristics within and in the vicinity of the CSSI. The Soil and Water Management Plan states that according to the EIS, the drainage catchments across the Project are highly urbanised, with large impervious surfaces created by roads, footpaths and buildings. These impervious surfaces are interspersed with permeable surfaces associated with parkland areas and other unsealed surfaces (such as vacant land and landscaped areas).	Compliant	
D12	Flood information including flood reports, models and geographic information system outputs must be provided to the Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD and the SES in order to assist in preparing relevant documents and to reflect changes in flood behaviour as a result of Stage 1 of the CSSI. The Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD and the SES must be notified in writing that the information is available no later than one (1) month following the completion of construction. Information requested by the Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD or the SES must be provided no later than six (6) months following the completion of construction or within another timeframe agreed with the Relevant Council(s), SOPA (in respect of Sydney Olympic Park), DPE BCD and the SES. The project flood models and data must be uploaded to the NSW Flood Data Portal and access must be provided to the Relevant Council(s), DPE BCD, SES and SOPA (in respect of Sydney	CEMP, Revision C. (Issued 20 April 2022) Soil and water management plan, Revision E, (Issued on 21 November 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	It was observed that the Construction Environmental Management Plan, and supporting plans, including the Soil and Water Management Plan do not consider that this CoA is applicable as it will "be addressed through detailed design" and "does not apply to construction and therefore does not form part of this Plan."	Not triggered	

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	Olympic Park) no later than one (1) month following the completion of construction.				
D13	<p>Non-Aboriginal Heritage</p> <p>The Proponent must not destroy, modify or otherwise physically affect any Heritage item not identified in documents referred to in Condition A1 of this schedule. Unexpected heritage finds identified by Stage 1 of the CSSI must be managed in accordance with the Unexpected Finds Protocol outlined in Conditions D31 to D33 of this schedule. Consideration of avoidance and redesign to protect state significant unexpected finds must be addressed where this condition applies.</p> <p>Note: Affect in this condition means any "impact above "little to no impact" as defined in the Material Threshold Policy (Heritage NSW, 2020)</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Heritage Management Plan, Revision G, Issued on 4 October 2022</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Report WTP Complaint Register 23 September 2022 to 31 August 2023</p>	<p>During interviews with Sydney Metro heritage advisors and the contractor it was advised that no unexpected finds occurred during the audit period.</p> <p>Section 7.6.4 of the Heritage Management Plan states "The Sydney Metro Unexpected Heritage Finds Procedure will be implemented for the duration of the construction works. The procedure will be outlined in the site induction package for all Project construction sites, including outlining responsibilities and reporting requirements. An unexpected find includes an object, place or archaeological remains that is discovered during the carrying out of the CSSI that may be a heritage item or archaeological remains of local or State significance, but was not identified in the EIS (Chapter 12 and 13, Technical Papers 3 and 4)".</p>	Compliant	
D14	<p>Before installing protective site boundary hoarding or equipment used for vibration and noise monitoring at any Heritage item identified in the documents listed in Condition A1 of this schedule, the advice of a suitably qualified and experienced built heritage expert must be obtained and implemented to ensure any such work does not have an adverse impact on the heritage significance of the item. The installation must also consider and avoid impacts to potential historical archaeology and seek advice from the Excavation Director approved under Condition D27 below.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Heritage Management Plan, Revision G, Issued on 4 October 2022</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	<p>The Heritage Management Plan was observed to include details of the advice the heritage specialist is to provide with regards to methods and location for installation of site boundary hoarding or monitoring equipment on Heritage items and, methods and location for installation of site boundary hoarding or monitoring equipment on Heritage items. The auditors observed locations of vibration monitors during site inspections at Westmead, Parramatta, and Clyde at heritage buildings.</p>	Compliant	
D15	<p>Before commencement of any excavation at the Parramatta metro station construction site, a detailed investigation must be undertaken to precisely locate the Parramatta Convict Drain. All options available to retain the Parramatta Convict Drain in situ must be considered. If retention of any part of the Parramatta Convict Drain located in situ is not feasible, the Proponent must satisfactorily demonstrate to the Planning Secretary why its removal is appropriate. If it is not feasible to retain the Parramatta Convict Drain in situ, archival recording must be undertaken on the affected section of the item in accordance with Heritage Council of NSW guidelines.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Heritage Management Plan, Revision G, Issued on 4 October 2022</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Detailed Noise & Vibration Impact Statement – Parramatta Water Treatment Plant Discharge Line, Revision C (Issued 26 July 2023)</p> <p>Request for Approval to Remove Heritage Convict Town Drain, Approved 24 May 2023.</p>	<p>GLC advised that an archaeological assessment was undertaken prior to enabling works. Three separate approvals have been obtained which includes, timber capping, and the convict drain on 24 May 2023. These approvals have been published on the project website. The documentation was also observed to include options to retain the Parramatta Convict Drain and mitigation measures to prevent damage.</p> <p>However, a request was made to DPE by the project to remove remaining physical elements and archaeological deposits associated with the Convict Town Drain. On 24 May 2023, the Associate Director of Environment from DPE subsequently approved the request to remove the heritage convict town drain at the Parramatta site.</p>	Compliant	
D16	<p>During construction, the Proponent must implement protective measures to prevent adverse impacts on the heritage significance of the Victorian Regency terraced shops at 41-45 George Street, Parramatta and Kia Ora Georgian House at 64 Macquarie Street, Parramatta. Before installing such measures, the advice of a suitably qualified and experienced built heritage expert must be obtained and implemented to ensure any such work does not have an adverse impact on the heritage significance of the item.</p> <p>Protection measures must also consider and avoid potential impacts to significant historical archaeology and seek the advice from the Excavation Director approved under Condition D27 below.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Heritage Management Plan, Revision G, Issued on 4 October 2022</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	<p>The Heritage Management Plan was observed to include protective measures to prevent adverse impacts on the heritage significance of the Victorian Regency terraced shops at 41-45 George Street, Parramatta and Kia Ora Georgian House at 64 Macquarie Street, Parramatta. The auditors observed locations of vibration monitors during site inspections at Westmead, Parramatta, and Clyde at heritage buildings.</p> <p>This finding also applies to D17.</p>	Compliant	
D17	<p>The Roxy Theatre, White Bay Power Station, the former State Abattoirs and the former Depot facade fronting Unwin Street must not be destroyed, modified or otherwise adversely affected, except as identified in the documents listed in Condition A1 of this schedule.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Heritage Management Plan, Revision G, Issued on 4 October 2022</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	<p>The Roxy Theatre, White Bay Power Station, the former State Abattoirs, and the RTA Depot facade fronting Unwin Street have not been destroyed, modified, or otherwise adversely affected by the construction works. The Heritage Management Plan was observed to include heritage management measures for White Bay Power Station and the former State Abattoirs in. The auditors observed locations of vibration monitors during site inspections at Westmead, Parramatta, and Clyde at heritage buildings.</p>	Compliant	

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D18	Where Heritage items, or items assessed to be of local heritage significance in the documents listed in Condition A1 of this schedule, are proposed to be fully or partially destroyed, heritage salvage must occur in consultation with a suitably qualified heritage specialist. The Proponent must develop a significant fabric and moveable heritage salvage register. The register must identify significant items to be salvaged. Salvage must occur for items that are assessed as having heritage significance and where significance is retained or the potential for re-use, reinstatement or re-sale has been identified. The salvage from any State listed items must be undertaken in consultation with Heritage NSW.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June – 022) Sydney Metro West - Western Tunnelling–Package Clyde Dive Site - Significant Heritage Fabric Salvage Report, Issued 11 July 2022	Assessment of the Sydney Metro West - Western Tunnelling–Package Clyde Dive Site - Significant Heritage Fabric Salvage Report prepared by Umwelt for the Rosehill Railway Station Footbridge observed that the report notes the following: - Section 1.2 Purpose of this Report states "The previous heritage assessments prepared as part of the EIS and subsequent Mod 2 submissions identified two items of heritage significance within the Clyde Dive Site. This includes: - Rosehill Railway Station Footbridge – Item 4801762 on the TAHE Section 170 Heritage Register - Rosehill Railway Station – Identified as a potential heritage item (Artefact 2021). This report was prepared in response to the modified condition of approval (MCoA and REMMs) for the Project, received 3 June 2022 and provides recommendations for the salvage of significant fabric at the Clyde Dive Site including "Salvaged items or elements may be relocated, reconstructed and/or reused within the wider Parramatta LGA or managed via other suitable options as identified during the course of the Project. Items or elements not salvaged will be disposed of in accordance with the waste and sustainability requirements of the Project".	Compliant	
D18.1	The Proponent must investigate opportunities to relocate the Rosehill Railway Station Footbridge to an alternate location in the City of Parramatta LGA in consultation with City of Parramatta Council before the dismantled footbridge can be removed from the Clyde Stabling and Maintenance Facility Site. The Railway Footbridge Heritage Conservation Strategy 2016 (GAO Heritage Group, 2016) and any other relevant guideline or plan must be considered when assessing alternate locations. The Rosehill Railway Station Footbridge must be stored in accordance with relevant Heritage NSW guidelines and, where a suitable location is found, must be reinstated no later than 12 months following the completion of construction, unless otherwise agreed with the Planning Secretary. If an alternate location cannot be agreed to between the Proponent and Relevant Council, evidence of consultation, including consideration of alternative sites, must be submitted to the Planning Secretary for information before the dismantled Rosehill Railway Station Footbridge is removed from the Clyde Stabling and Maintenance Facility Site.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2–22) Sydney Metro West - Western Tunnelling–Package Clyde Dive Site - Significant Heritage Fabric Salvage Report, Issued 11 July 2022	The Heritage Management Plan was observed to include opportunities to relocate Rosehill Railway station footbridge to an alternative location has been investigated. Section 7.6.2.1 of the Heritage Management Plan states that a Heritage Salvage Methodology report has been prepared by GLC for the relocation of the Rosehill Railway Station Footbridge in accordance with MCoA D18.1. This identifies the significant fabric to be retained, as well as the methodology for salvage of the fabric, developed in collaboration with GLC engineering team members. GLC, in consultation with Sydney Metro and the City of Parramatta Council, will investigate opportunities to relocate the footbridge. When a suitable location for the footbridge is identified, a Heritage Asset Action Plan, including an updated statement of significance, will be prepared to reflect the new setting of the heritage item. This will be undertaken within 12 months of its relocation.	Compliant	
D18.2	Where an alternative location for the Rosehill Railway Station Footbridge is agreed to, a Heritage Asset Action Plan, including an updated statement of significance, in accordance with Statement of Best Practice for Heritage Asset Action Plans (Heritage Council of NSW 2021), must be prepared to reflect its new setting within 12 months of relocation and at no cost to council. The Proponent is responsible for maintenance of the Rosehill Railway Station Footbridge until ownership is transferred to Council. Note: This condition does not prevent the Proponent from providing funding or similar to Council for the preparation of the required documents and does not prevent Council from preparing them.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2–22) Sydney Metro West - Western Tunnelling–Package Clyde Dive Site - Significant Heritage Fabric Salvage Report, Issued 11 July 2022	See finding at CoA D18.1	Compliant	
D19	Aboriginal Heritage All reasonable steps must be taken not to harm, modify or otherwise impact Aboriginal objects except as authorised by this approval.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.4.2 of the Heritage Management Plan states "All reasonable steps will be undertaken to ensure no impacts to Aboriginal heritage occur beyond what has been approved in the EIS and Technical Paper 4. In areas where Aboriginal archaeological potential has been identified – being Clyde Maintenance and Stabling Facility, and Parramatta Metro Station construction site, no ground disturbing works will be undertaken prior to receiving written clearance from the Aboriginal archaeological. Excavation Director and Sydney Metro confirming that all archaeological investigations have been completed in an area and that construction works have been commenced" Further, GLC staff have received heritage induction training outlining the project requirements for protecting Aboriginal heritage and the approved areas of impact. This induction also includes the Unexpected Finds protocol in the unlikely event that Aboriginal archaeology or objects are encountered following completion of the archaeological investigations.	Compliant	
D20	The Registered Aboriginal Parties (RAPs) must be kept informed about Stage 1 of the CSSI. The RAPs must continue to be provided with the opportunity to be consulted about the Aboriginal cultural heritage management requirements of Stage 1 of the CSSI.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022) Substantiation emails to RAPs	Section 1.4.2 of the Heritage Management Plan states that "Consultation with the Registered Aboriginal Parties (RAPs) has been undertaken during the preparation of the EIS and technical studies, as well as the AHR 2021. GLC is required to continue this consultation for the duration of the Project in relation to Aboriginal cultural heritage. A list of the RAPs consulted on the Project is included in Attachment 4. The auditor observed correspondence with RAPs.	Compliant	
D21	Aboriginal archaeological test excavation must be undertaken at those areas identified in Table 25 of the revised Aboriginal Cultural Heritage Assessment Report (ACHAR) prepared by Artefact Heritage and dated November 2020.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 1.2 of the Heritage Management Plan was observed to include Aboriginal Archaeological Test Excavation Methodology prepared by Sydney Metro, which is outlined in the AHR (GML, 2021). The Aboriginal Archaeological Salvage Excavation Methodology will be revised by Sydney Metro following analysis of the test excavation results. Section 7.5.1 of the plan states, "The archaeological investigations will be undertaken in accordance with the AHR 2021, which outlines the Aboriginal test excavation methodology and provides a standard Salvage methodology which will be updated following the results of the testing phase. The full methodology can be found in Section 5.2 of the AHR 2021."	Compliant	

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D22	An Aboriginal Archaeological Test Excavation Methodology(s) must be prepared and appropriately integrated with the revised Archaeological Research Design and Excavation Methodology. The Aboriginal Archaeological Salvage Excavation Methodology(s) must be prepared after analysis of the test excavation results.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022) Paramatta Station Construction Site - Archaeological Research Design & Excavation Methodology, Issued 3 November 2021	Section 1.8 of the Paramatta Station Construction Site - Archaeological Research Design & Excavation Methodology was observed to include a compliance checklist and a summary of the Aboriginal archaeological potential is provided in Section 3. Research questions for Aboriginal archaeology are included in Section 5. The integrated approach to archaeological excavation methods for both historical and Aboriginal archaeological investigations are also included in Section 6.	Compliant	
D24	Where previously unidentified Aboriginal objects are discovered, all work must immediately stop in the vicinity of the affected area and a suitably qualified and experienced Aboriginal heritage expert must be contacted to provide specialist heritage advice before construction recommences. The measures to consider and manage this process must be specified in the Heritage CEMP Sub-plan required by Condition C5 of this schedule and, where relevant, include registration in the Aboriginal Heritage Information Management System (AHIMS).	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022) Paramatta Station Construction Site - Archaeological Research Design & Excavation Methodology, Issued 3 November 2021	Site interviews with GLC personnel advised that a process has been defined in the ARDEM (evidence folder D24) and as per ACHAR. Sydney Metro has submitted, as part of its EIS, technical papers for Aboriginal heritage including the ACHAR by Artefact (2020). Assessment of the Paramatta Station Construction Site - Archaeological Research Design & Excavation Methodology observed that the report has been prepared to guide archaeological investigations and management for the Paramatta station construction site. It includes a detailed site history outlining the development of each allotment, comparative analysis, a revised historical archaeological potential and significance assessment, and a site-specific archaeological research design and methodology.	Compliant	
D25	Excavation and Archaeology Before the commencement of any excavation at Parramatta and The Bays metro station construction sites, a revised Archaeological Research Design and Excavation Methodology(s) must be prepared in accordance with Heritage Council of NSW guidelines and with reference to the design of Stage 1 construction of the CSSI to guide archaeological excavation. The revised Archaeological Research Design and Excavation Methodology(s) must be prepared by the Excavation Director (approved under Condition D27 below) and must include: a) site specific research for the Parramatta and The Bays metro station construction sites which is conducted by a professional historian to clearly articulate the historical development of the allotments to assist with the reassessment of potential and significance; b) comparative analysis from archaeological investigations in Parramatta (including theses, publications and grey literature reports); c) preparation of research questions based on the additional site-specific research required by this condition, and relevant research agendas from previously excavated early historical occupation in Parramatta including recovered artefact assemblages; and d) a reconsideration of archaeological methods based on this additional assessment. The revised Archaeological Research Design and Excavation Methodology(s) must apply to both Parramatta and The Bays metro station construction sites and be prepared in consultation with Heritage NSW and Place Management NSW (in respect of The Bays) and submitted to the Planning Secretary for approval. The revised Archaeological Research Design and Excavation Methodology(s) must be implemented throughout the archaeological excavation programs. Note: Nothing in these conditions prevents the Archaeological Research Design and Excavation Methodology to be separate procedures.	EMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022) Paramatta Station Construction Site - Archaeological Research Design & Excavation Methodology, Issued 3 November 2021	Section 5.2.1.3 of the Heritage Management Plan states that, "the ARDEM 2021 subsequently prepared provided a more detailed assessment of non-Aboriginal archaeological potential and identified areas ranging from low to high potential to contain historical archaeological remains. Figure 4 shows the mapping of archaeological potential for the construction site, including the approximate location of the Convict Drain which will not be impacted by the Project. Archaeological investigations, including testing and salvage excavations is required prior to the commencement of construction impacts on the site. This has commenced as part of the Early Works package by Sydney Metro, and will be continued as part of the Project. The location of the Convict Drain has been confirmed as part of the Early Works archaeological investigations." Section 1.8 Compliance checklist states, "The revised ARD for the Parramatta Station construction site has been prepared prior to excavation at the site. This report has been prepared by experienced historical archaeologists and Excavation Directors approved under Condition D27—Abi Cryerhall and Sophie Jennings. - Section 7.5.1.1 Excavation Director states "All Aboriginal archaeological investigations will be undertaken in accordance with the methodology contained in the AHR 2021, which was prepared by the nominated Aboriginal archaeological Excavation Director. The nominated Aboriginal archaeological Excavation Director for the Project is Dr Tim Owen." - Attachment 7 ARDEM 2021 states "GML Heritage Pty Ltd, Sydney Metro West Parramatta Station Construction Site Archaeological Research Design and Excavation Methodology, report prepared for Sydney Metro November 2021."	Compliant	
D26	The revised Archaeological Research Design and Excavation Methodology(s) must include provision for early physical investigation of areas of impact identified as likely to contain State significant archaeology or subterranean Heritage items in the research design to inform excavation in these areas. This must include the Parramatta and The Bays metro station sites, including Parramatta Convict Drain, Parramatta Sand Body, White Bay Power Station (inlet) Canal and Beattie Street Stormwater Channel.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	The 4th Interim heritage report (Aboriginal Cultural Heritage Excavation Report) states that GLC are required to be prepared by Archaeological Research Design. Site interviews with GLC advised that the report is currently being prepared and finalised in Q3 FY2024.	Compliant	
D27	Before commencement of archaeological excavation, the Proponent must nominate a suitably qualified Excavation Director, who complies with Heritage Council of NSW's Criteria for Assessment of Excavation Director (September 2019), to oversee and advise on matters associated with historical archaeology for the approval of the Planning Secretary, in consultation with Heritage NSW. The Excavation Director must be present to oversee excavation, advise on archaeological issues, advise on the duration and extent of oversight required during archaeological excavations consistent with the approved Archaeological Research Design and Excavation Methodology(s) required under Condition D25 of this schedule. Aboriginal archaeological excavations must be conducted by a suitably qualified person in accordance with the requirements of the Code of Practice for Archaeological Investigation of Aboriginal Objects in New South Wales (DECCW 2010). More than one Excavation Director may be engaged for Stage 1 of the CSSI to exercise the functions required under the conditions of this approval.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022) Appointment of Expert Letter, Dated 17 May 2021	On 17 May 2021, DPE approved Excavation Director, Abi Cryerhall of GML Heritage Pty Ltd as the Excavation Director or Stage 1 of SSI 10038 in accordance with conditions of Approval D27.	Compliant	

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D28	Following completion of archaeological excavation programs, a Final Excavation Report and an Aboriginal Cultural Heritage Excavation Report must be prepared that includes further detailed and site-specific historical research undertaken to enhance the final reporting, and results of archaeological excavations. The report must include details of any significant artefacts recovered (salvaged), where they are located and details of their ongoing conservation. The Final Excavation Report must document significant results and artefacts which may be re-used in future stages of the CSSI. The Final Excavation Report must be prepared in accordance with guidelines and standards required by Heritage Council of NSW.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	The Heritage Management Plan states, "an Excavation Report and an Aboriginal Cultural Heritage Excavation Report be prepared following the completion of all Aboriginal and non-Aboriginal archaeological excavations. The Archaeological Excavation Report will be prepared by the Excavation Director and be provided to the Heritage NSW within two years of the completion of archaeological excavations specified in the archaeological research design(s). Sydney Metro will be responsible for the engagement and submission of the Archaeological Excavation Report. However GLC will provide any information within their control to Sydney Metro to ensure compliance." It was understood through site interviews with stakeholders that the report is currently being prepared and finalised in Q3 FY2024. This finding also applies to CoA D29.	Compliant	
D29	The Final Excavation Report and Aboriginal Cultural Heritage Excavation Report must be submitted to the Planning Secretary, Heritage NSW and the Relevant Council for information no later than 24 months after the completion of the archaeological excavation.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding at CoA D28.	Compliant	
D30	In the event the CSSI salvages state significant historical archaeology associated with early convict occupation at the Parramatta metro station construction site for which retention and future conservation is not possible: (a) the key findings of the archaeological investigations must be documented which explain their significance within the context of Parramatta and NSW no later than two (2) years after the completion of the archaeological excavations; and (b) provide for the curation, display and public access of artefacts, site records and final reports. Note: In reference to (b) above, this may involve partnerships with museums, local heritage centres and/or university.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.5.2.9 of the Heritage Management Plan states that in the event works result in salvage of state significant historical archaeology associated with early convict occupation at the Parramatta metro station construction site for which retention and future conservation is not possible, the key findings of the archaeological investigations will be documented to explain their significance within the context of Parramatta and NSW. This will be undertaken no later than two years after the completion of the archaeological excavations and will be provided for the curation, display and public access of artefacts, site records and final reports. Provision of this information may involve partnerships with museums, local heritage centres and / or universities.	Compliant	
D31	Unexpected Finds An Unexpected Heritage Finds and Human Remains Procedure must be prepared to manage unexpected heritage finds (heritage items and values) in accordance with any guidelines and standards prepared by the Heritage Council of NSW or Heritage NSW.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	An unexpected finds procedure is documented with the Heritage Management Plan. It was understood through site interviews with GLC that no unexpected finds have been identified.	Compliant	
D32	The Unexpected Heritage Finds and Human Remains Procedure must be prepared by a suitably qualified and experienced heritage specialist in consultation with the Heritage Council of NSW (with respect to non- Aboriginal cultural heritage) and in relation to Aboriginal cultural heritage, in accordance with the Code of Practice for Archaeological Investigation of Aboriginal Objects in New South Wales (DECCW 2010) and submitted to the Planning Secretary for information no later than one (1) month before the commencement of construction.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	It was understood through site interviews with GLC that no unexpected finds have been identified.	Compliant	
D33	The Unexpected Heritage Finds and Human Remains Procedure, as submitted to the Planning Secretary, must be implemented for the duration of construction. Note: Human remains that are found unexpectedly during the carrying out of work may be under the jurisdiction of the NSW State Coroner and must be reported to the NSW Police immediately. Management of human remains in NSW is subject to requirements set out in the Public Health Act 2010 (NSW) and Public Health Regulation 2012 (NSW). Nothing in these conditions prevents separate procedures for the Unexpected Heritage Finds and Human Remains Procedure.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	It was understood through site interviews with GLC that no unexpected finds have been identified.	Compliant	
D34	Land Use Survey 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 and construction ground-borne noise. The survey may be undertaken on a progressive basis but must be undertaken in any one area before the commencement of work which generates construction noise, vibration or ground-borne noise in that area. The results of the survey must be included in the Noise and Vibration CEMP Subplan required under Condition C5 of this schedule.	CEMP, Revision C. (Issued 20 April 2022) Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Noise and Vibration Management Plan, and supporting plans, were observed to include the need for a comprehensive land use survey to identify sensitive receivers, including critical areas like operating theatres and precision laboratories, potentially exposed to construction noise, vibration, and ground-borne noise. The survey results are to be incorporated into section 5.2 of the Noise and Vibration CEMP Subplan. Attachment 6 of the noise and vibration plan outlines land use surveys for relevant sites.	Compliant	
D35	Construction Hours Work must only be undertaken during the following 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.	CEMP, Revision C. (Issued 20 April 2022) Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 6.4.1 of the Noise and Vibration Monitoring plan states, "Construction should only be undertaken during the following approved construction hours: - 7:00am to 6:00pm Mondays to Fridays, inclusive - 8:00am to 6:00pm Saturdays, and - at no time on Sundays or public holidays." Self-reported Non-compliance Non-compliance number: EVT-0001552 Date of Non-compliance: 20/02/2023 Site: Phase F - Gamuda - Westmead Non-Compliance type: Noise and Vibration Description of Non-compliance: During the evening of the 20th February 2023, the GLC Senior Environment Advisor was advised that a concrete pour,	Non-Compliant	10038_IA3_26 10038_IA3_29

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			<p>supporting capping beam works, continued outside of standard construction hours.</p> <p>The concreting activities were being undertaken without an approved out of hours permit. This is a non-compliance with Section 6.4.3 of the Project's Noise and Vibration Management Plan and therefore also under Ministers Conditions of Approval (MCoA) D35 and D37(c)(i).</p> <p>Works included:</p> <p>(a) Arrival on-site and discharge from one (1) concrete agitator via concrete pump into sections of the capping beam; and</p> <p>(b) Washout of the one (1) concrete agitator into the designated concrete washout prior to leaving site by 6:50pm.</p> <p>GLC Environment Advisor was monitoring the works at the time of the event and works were audible at the closest receiver.</p> <p>No environmental harm or complaints were generated as a result of this non-compliance.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001529</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: Late in the evening of the 18th January the GLC Senior Environment Advisor was advised that a concrete pour, supporting bored piling works, continued outside of standard construction hours. The concreting activities were being undertaken without an approved out of hours permit. This is a non-compliance with Section 6.4.3 of the Project's Noise and Vibration Management Plan and therefore also under Ministers Conditions of Approval (MCoA) D35, D37(c)(i).</p> <p>Works included:</p> <p>(a) Discharge of concrete from one (1) concrete agitator via tremie pipes into Pile P9 on Piling Pad 9; and</p> <p>(b) Consequent washout of the one (1) concrete agitator into the designated concrete washout on Piling Pad 2 prior to it leaving site by 6:40pm.</p> <p>Following the event, the GLC Environment Advisor modelled the concrete activities predicting there would be no exceedance to the Noise Management Level (MNL) with mitigation measures in place (i.e. hoarding). As such, no environmental harm or complaints were generated as a result of this non-compliance.</p>		
D36	<p>Highly Noise Intensive Work</p> <p>Except as permitted by an EPL, highly noise intensive work that results in an exceedance of the applicable NML at the same receiver must only be undertaken:</p> <p>a) between the hours of 8:00 am to 6:00 pm Monday to Friday;</p> <p>b) between the hours of 8:00 am to 1:00 pm Saturday; and</p> <p>c) if continuously, then not exceeding three (3) hours, with a minimum cessation of work of not less than one (1) hour.</p> <p>For the purposes of this condition, 'continuously' includes any period during which there is less than one (1) hour between ceasing and recommencing any of the work.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	<p>Section 6.4.2 of the Noise and Vibration Management Plan was observed to include approved standard construction hours requirements for highly noise intensive works that result in an exceedance of the applicable Noise Management Level (NML) at the same receiver in accordance with CoA D36.</p> <p>The auditor did not observe 'highly noise intensive work' which exceeded three hours during site visits to Parramatta, Westmead and Clyde.</p>	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
D37	<p>Variation to Work Hours</p> <p>Notwithstanding Conditions D35 and D36 of this schedule work may be undertaken outside the hours specified in the following circumstances:</p> <p>a) Safety and Emergencies, including:</p> <p>I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or</p> <p>II. 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.</p> <p>On becoming aware of the need for emergency work in accordance with (a)(ii) above, the AA, the ER, the Planning Secretary and the EPA must be notified of the reasons for such work. The Proponent must use best endeavours to notify as soon as practicable all noise and/or vibration affected sensitive land user(s) of the likely impact and duration of those work.</p> <p>b) Low noise impact work, including:</p> <p>I. construction that causes LAeq(15 minute) noise levels:</p> <ul style="list-style-type: none"> • no more than 5 dB(A) above the rating background level at any residence in accordance with the ICNG, and • no more than the 'Noise affected' NMLs specified in Table 3 of the ICNG at other sensitive land user(s); and <p>II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or</p> <p>III. construction that causes:</p> <ul style="list-style-type: none"> • continuous or impulsive vibration values, measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.2 of Assessing Vibration: a technical guideline (DEC, 2006), or • intermittent vibration values measured at the most affected residence are no more than the preferred values for human exposure to vibration, specified in Table 2.4 of Assessing Vibration: a technical guideline (DEC, 2006). <p>c) By Approval, including:</p> <p>where different construction hours are permitted or required under an EPL in force in respect of the CSSI; or</p> <p>II. works which are not subject to an EPL that are approved under an Out-of-Hours Work Protocol as required by Condition D38 of this schedule; or</p> <p>III. negotiated agreements with directly affected residents and sensitive land user(s).</p> <p>d) described Activity, including:</p> <p>I. tunnelling (excluding cut and cover tunnelling and surface works) are permitted 24 hours a day, seven days a week; or</p> <p>II. concrete batching at the Clyde construction site is permitted 24 hours a day, seven days a week; or</p> <p>III. delivery of material that is required to be delivered outside of standard construction hours in Condition D35 of this schedule to directly support tunnelling activities, except between the hours 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>IV. haulage of spoil except between the hours of 10:00 pm and 7:00 am to / from the Five Dock and Westmead construction sites and to / from Burwood North construction site using any roads / streets other than directly from Parramatta Road; or</p> <p>V. work within an acoustic shed where there is no exceedance of noise levels under low noise impact work circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary.</p> <p>Note: Tunnelling does not include station box excavation</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Environmental Protection Licence for the Sydney Metro West - Western Tunnelling Package (Number: 21676)</p>	<p>Section L5.7 of the EPL for WTP (Number: 21676) states that "works and activities may be undertaken outside of standard construction hours specified in condition L5.1 and L5.2 until 31 March 2024, and if they are required in relation to one or more of the following:</p> <p>a) carrying on those works and activities during standard construction hours would result in a high risk to construction personnel or public safety, based on a risk assessment carried out in accordance with AS/NZS "SO 31000:2009 "Risk Management";</p> <p>b) the relevant road network operator has advised the licensee in writing that carrying out the works and activities during standard construction hours would result in a high risk to road network operational performance;</p> <p>c) a relevant utility service operator has advised the licensee in writing that carrying out the works and activities during standard construction hours would result in a high risk to the operation and integrity of the utility network;</p> <p>d) the TfNSW Transport Management Centre (or other road authority) have refused to issue a road occupancy licence during standard construction hours; or</p> <p>e) Sydney Trains (or other rail authority) requires a rail possession for the activities to be performed outside of standard construction hours.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001552</p> <p>Date of Non-compliance: 20/02/2023</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: During the evening of the 20th February 2023, the GLC Senior Environment Advisor was advised that a concrete pour, supporting capping beam works, continued outside of standard construction hours.</p> <p>The concreting activities were being undertaken without an approved out of hours permit. This is a non-compliance with Section 6.4.3 of the Project's Noise and Vibration Management Plan and therefore also under Ministers Conditions of Approval (MCoA) D35 and D37(c)(i).</p> <p>Works included:</p> <p>(a) Arrival on-site and discharge from one (1) concrete agitator via concrete pump into sections of the capping beam; and</p> <p>(b) Washout of the one (1) concrete agitator into the designated concrete washout prior to leaving site by 6:50pm.</p> <p>GLC Environment Advisor was monitoring the works at the time of the event and works were audible at the closest receiver.</p> <p>No environmental harm or complaints were generated as a result of this non-compliance.</p> <p>Self-reported Non-compliance</p> <p>Non-compliance number: EVT-0001529</p> <p>Date of Non-compliance: 21/12/2022</p> <p>Site: Phase F - Gamuda - Westmead</p> <p>Non-Compliance type: Noise and Vibration</p> <p>Description of Non-compliance: Late in the evening of the 18th January the GLC Senior Environment Advisor was advised that a concrete pour, supporting bored piling works, continued outside of standard construction hours. The concreting activities were being undertaken without an approved out of hours permit. This is a non-compliance with Section 6.4.3 of the Project's Noise and Vibration Management Plan and therefore also under Ministers Conditions of Approval (MCoA) D35, D37(c)(i).</p> <p>Works included:</p> <p>(a) Discharge of concrete from one (1) concrete agitator via tremie pipes into Pile P9 on Piling Pad 9; and</p> <p>(b) Consequent washout of the one (1) concrete agitator into the designated concrete washout on Piling Pad 2 prior to it leaving site by 6:40pm.</p> <p>Following the event, the GLC Environment Advisor modelled the concrete activities predicting there would be no exceedance to the Noise Management Level (MNL) with mitigation measures in place (i.e. hoarding). As such, no environmental harm or complaints were generated as a result of this non-compliance.</p>	Non-Compliant	10038_IA3_27 10038_IA3_30

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
D38	<p>Out-of-hours Work Protocol – Work Not Subject to an EPL 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 Conditions D35 and D36 of this schedule. The Protocol must be approved by the Planning Secretary before commencement of the out-of-hours work. The Protocol must be prepared in consultation with the ER, AA and EPA. The Protocol must provide:</p> <p>a) identification of low and high-risk activities and an approval process that considers the risk of activities, proposed mitigation, management, and coordination, including where:</p> <p>I. the ER and AA review all proposed out-of-hours activities and confirm their risk levels;</p> <p>II. low risk activities can be approved by the ER in consultation with the AA; and</p> <p>III. high risk activities that are approved by the Planning Secretary;</p> <p>b) a process for the consideration of out-of-hours work against the relevant NML and vibration criteria;</p> <p>c) a process for selecting and implementing mitigation measures for residual impacts in consultation with the community at each affected location, including respite periods consistent with the requirements of Condition D50 of this schedule. The measures must take into account the predicted noise levels and the likely frequency and duration of the out-of-hours works that sensitive land user(s) would be exposed to, including the number of noise awakening events;</p> <p>d) procedures to facilitate the coordination of out-of-hours work including those approved by an EPL or undertaken by a third party, to ensure appropriate respite is provided; and</p> <p>e) notification arrangements for affected receivers for all approved out-of-hours works and notification to the Planning Secretary of approved low risk out-of-hours works.</p> <p>This condition does not apply if the requirements of Condition D37(b) of this schedule are met.</p> <p>Note: Out-of-hours work is any work that occurs outside the construction hours identified in Condition D35 and D36 of this schedule.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>West Out of Hours Protocol, Revision 1.3, Issued March 2022</p>	<p>Attachment 4 of the Noise and Vibration Plan was observed to outline the out of hours works protocol. Section 3 of the Out of Hours Works Protocol outlines how GLC proposes to consider, approve, and manage works outside the approved construction hours as required under the CoA D38, for works not subject to an Environment Protection Licence (EPL)."</p> <p>It was understood from site interviews with GLC that no works have been undertaken under D38 (OOHW protocol) as all works are undertaken under its EPL.</p>	Compliant	
D39	<p>Construction Noise Management Levels and Vibration Criteria All reasonable and feasible 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)–Australian Standard– AS 2187.2 - 2006–“Explosives - Storage and Use - Use of Explosives” (for–human exposure);</p> <p>d) BS 7385 Part 2-1993 “Evaluation and measurement for vibration in buildings Part 2” as they are “applicable to Australian conditions”; and</p> <p>e) the vibration limits set out in the German Standard DIN 4150-3: Structural Vibration- effects of vibration on structures (for structural damage for structurally unsound heritage items).</p> <p>Any work identified as exceeding the noise management levels and / or vibration criteria must be managed in accordance with the Noise and Vibration CEMP Sub-plan.</p> <p>Note: The ICNG 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>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	<p>Section 6.2 of the Noise and Vibration Management Plan was observed to include mitigation measures with the aim of achieving the construction noise management levels and vibration criteria.</p>	Compliant	
D40	<p>All reasonable and feasible mitigation measures must be applied when the following residential ground-borne noise levels are exceeded:</p> <p>a) evening (6:00 pm to 10:00 pm) — internal LAeq(15 minute): 40 dB(A); and</p> <p>b) night (10:00 pm to 7:00 am) — internal LAeq(15 minute): 35 dB(A).</p> <p>The mitigation measures must be outlined in the Noise and Vibration CEMP Sub-plan, including in any Out-of-Hours Work Protocol, required by Condition D38 of this schedule.</p>	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Construction Noise and Vibration Sub Plan Revision E (Issued on 6 December 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>West Out of Hours Protocol, Revision 1.3, Issued March 2022</p>	<p>Section 8.2 of the Noise and Vibration Plan states that “A range of environmental requirements and control measures are outlined in the Approval documents and Sydney Metro documents specifically the CEMF, CNVS, CoAs, REMMs and Gamuda Australia EMS. GLC will ensure these mitigation measures will be implemented through:</p> <ul style="list-style-type: none"> - All employees, contractors and subcontractors receiving a Project induction which details specific noise and vibration measures - Toolbox talks communicating mitigation requirements - Review of measures implemented during site inspections as relevant. <p>The Out of Hours Works Protocol Section 5.3 states that DNVIS are required to be prepared:</p> <ul style="list-style-type: none"> - for any work that may exceed the NMLs, vibration criteria and / or ground borne noise levels specified in Conditions D39 and D40 at any residence outside construction hours, or - where receivers will be highly noise affected (at any time)." 	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
D41	Noise generating work in the vicinity of potentially-affected community, religious, educational institutions and noise and vibration-sensitive businesses and critical working areas (such as theatres, laboratories and operating theatres) resulting in noise levels above the NMLs must not be timetabled within sensitive periods, unless other reasonable arrangements with the affected institutions are made at no cost to the affected institution.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 8.5 of the Noise and Vibration Monitoring Plan "states "In accordance with Condition of Approval D41, noise generating work in the vicinity of potentially affected community, religious, educational institutions and noise and vibration-sensitive businesses and critical working areas (such as theatres, laboratories and operating theatres) resulting in noise levels above the NMLs will be timetabled so as to avoid sensitive periods, unless other reasonable arrangements have been made with the affected institutions. Owners and occupiers of properties identified in the DNVIS(s) as at risk of exceeding the screening criteria for cosmetic damage will be notified before works that generate vibration commence in the vicinity of those properties. If the potential exceedance is to occur more than once or extend over a period of 24 hours, owners and occupiers will be provided a schedule of potential exceedances on a monthly basis for the duration of the potential exceedances, unless otherwise agreed by the owner and occupier."	Compliant	
D42	Construction Noise and Vibration Mitigation and Management Industry best practice construction methods must be implemented where reasonably practicable to ensure that noise levels are minimised around sensitive land user(s). Practices must include, but are not limited to: a) use of regularly serviced low sound power equipment; b) temporary noise barriers (including the arrangement of plant and equipment) around noisy equipment and activities such as rock hammering and concrete cutting; and c) use of alternative construction and demolition technique.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 8.2 of the Noise and Vibration Monitoring Plan was observed to include a range of environmental requirements and control measures as outlined in the Approval documents and Sydney Metro documents specifically the CEMF, CNVS, CoAs, REMMs and Gamuda Australia EMS. GLC will ensure these mitigation measures will be implemented through: - All employees, contractors and subcontractors receiving a Project induction which details specific noise and vibration measures - Toolbox talks communicating mitigation requirements - Review of measures implemented during site inspections as relevant.	Compliant	
D43	Detailed Noise and Vibration Impact Statements (DNVIS) must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified in Conditions D39 and D40 of this schedule at any residence outside construction hours identified in Condition D35 of this schedule, or where receivers will be highly noise affected. The DNVIS must include specific mitigation measures identified through consultation with affected sensitive land user(s) and the mitigation measures must be implemented for the duration of the works. A copy of the DNVIS must be provided to the AA and ER before the commencement of the associated works. The Planning Secretary and the EPA may request a copy(is) of the DNVIS.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) WTP Detailed Noise and Vibration Impact Statement - Westmead Tunnel Support Activities, Revision C (Issued on 24 May 2023) WTP Detailed Noise and Vibration Impact Statement - Parramatta Footpath Rectification Works, Revision A, 20 July 2023 WTP Detailed Noise and Vibration Impact Statement - Westmead CCTV Alexandra Avenue & Park Avenue, Revision B, 20 July 2023 WTP Detailed Noise and Vibration Impact Statement - Westmead Local Area Works, Revision B, 5 July 2023 WTP Detailed Noise and Vibration Impact Statement - Westmead Acoustic Shed Safety Mesh and Cladding Installation, Revision B, 26 June 2023 WTP Detailed Noise and Vibration Impact Statement - Parramatta WTP Discharge Line, Revision C, 26 July 2023	Assessment of the WTP Detailed Noise and Vibration Impact Statement observed that the following DNVIS have been prepared for any work during the audit period that may exceed NMLs: 1. WTP Detailed Noise and Vibration Impact Statement – Westmead Tunnel Support Activities, Revision C (Issued on 24 May 2023) 2. WTP Detailed Noise and Vibration Impact Statement – Parramatta Footpath Rectification Works, Revision A, 20 July 2023 3. WTP Detailed Noise and Vibration Impact Statement – Westmead CCTV Alexandra Avenue & Park Avenue, Revision B, 20 July 2023 4. WTP Detailed Noise and Vibration Impact Statement – Westmead Local Area Works, Revision B, 5 July 2023 5. WTP Detailed Noise and Vibration Impact Statement – Westmead Acoustic Shed Safety Mesh and Cladding Installation, Revision B, 26 June 2023 6. WTP Detailed Noise and Vibration Impact Statement – Parramatta WTP Discharge Line, Revision C, 26 July 2023. Self-reported Non-compliance Non-compliance number: EVT-0001664 Date of Non-compliance: 04/07/2023 Site: Phase F - Gamuda - Westmead Non-Compliance type: Community, Stakeholder and Business Description of Non-compliance: During the evening of Tuesday 3rd July 2023, construction works were being completed outside of standard construction hours to facilitate tunnel support activities and the installation of cladding on the acoustic shed. To support these works, an activity-specific Detailed Noise and Vibration Statement (DNVIS) was prepared and endorsed by the Project's independent Acoustic Advisor (AA). This DNVIS was prepared in accordance with the Project's Noise and Vibration Management Plan and Minister's Conditions of Approval (MCoAs) D43. At ~9:30am on Wednesday 4th July 2023, the Community Hotline received a complaint for noise from works being completed at the Westmead site in the evening-time period (i.e. 6:00pm – 10:00pm) on Tuesday 3rd July 2023. On investigation of this complaint it was confirmed that the complainant was not eligible for an offer of respite for the works undertaken. However, in review the list of respite offers made, it was identified that there was a discrepancy in offers of respite made against the list of respite offers provided to the AA as part of his review of the DNVIS. It has been concluded that this is a non-compliance with MCoA D43 (Detailed Noise & Vibration Impact Statements). As noted above, while the non-compliance was identified through the investigation of a complaint, the complaint has not resulted from this non-compliance as the complainant was not eligible for a respite offer given the predicted impact for these works did not exceed 10db during the evening period. No environmental harm was generated as a result of this non-compliance.	Non-Compliant	10038_IA3_24
D44	DNVIS must be prepared for each construction site before construction noise and vibration impacts commence and include specific mitigation measures identified through consultation with affected sensitive land users.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Detailed Noise and Vibration Impact Statement (DNVIS) Westmead to Sydney Olympic Park, Revision 1, Issued on 20 June 2022	The introduction of the Detailed Noise and Vibration Impact Statement (DNVIS) Westmead to Sydney Olympic Park states that SLR Consulting Australia Pty Ltd (SLR) has been engaged by GLC to undertake a detailed noise and vibration impact statement (DNVIS) of the Sydney Metro West – Western Tunnelling Package (WTP, or the Project). The WTP forms part of the Sydney Metro West – Westmead to the Sydney CBD Project. This assessment has been prepared to accompany the Construction Noise and Vibration Management Plan (CNVMP) for the Project. The CNVMP was developed as a sub-plan to the Construction Environmental Management Plan (CEMP) of the Sydney Metro West – WT. This assessment has been prepared in accordance with the Construction Noise and Vibration Management Plan (CNVMP) for the Project, as per the Minister's Condition of approval (CoA) D43) and the requirements of the Sydney Metro Construction Noise and Vibration Standard (CNVS).	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
D45	Owners and occupiers of properties at risk of exceeding the screening criteria for cosmetic damage must be notified before works that generate vibration commences in the vicinity of those properties. If the potential exceedance is to occur more than once or extend over a period of 24 hours, owners and occupiers are to be provided a schedule of potential exceedances on a monthly basis for the duration of the potential exceedances, unless otherwise agreed by the owner and occupier. These properties must be identified and considered in the Noise and Vibration CEMP Sub-plan.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) West Out of Hours Protocol, Revision 1.3, Issued March 2022	Section 8.3.2 of the Noise and Vibration Monitoring Plan states, "CoA D45 requires owners and occupiers of properties at risk of exceeding the screening criteria for cosmetic damage must be notified before the works that generate vibration commences in the vicinity of the properties. If the potential exceedance is to occur more than once or extend over a period of 24 hours, owners and occupiers are to be provided a schedule of potential exceedances on a monthly basis for the duration of the potential exceedances, unless otherwise agreed by the owner and occupier. The properties at risk of exceeding the building damage screening criteria were identified in the DNVIS(s) and summarised in Section 7.2."	Compliant	
D46	Construction Vibration Mitigation – Heritage Vibration testing must be conducted 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 attended 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. Such measures must include, but not be limited to, review or modification of excavation techniques.	CEMP, Revision C. (Issued 20 April 2022) Heritage Management Plan, Revision G, Issued on 4 October 2022 Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.5.2.10 of the Heritage Management Plan was observed to include that Vibration testing and monitoring will occur when construction activities may impact the Convict Drain. All vibration impact management aligns with the Noise and Vibration Management Sub-plan prepared by GLC. Section 8.3.3 of the Heritage Management Plan states that Vibration testing, will be conducted during activities with potential heritage impact and that if preferred vibration values are likely to be exceeded, construction methodology will be reviewed, and additional mitigation measures implemented.	Compliant	
D47	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 items.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 8.3.3 of the noise and vibration management plan states that "advice from a heritage specialist (being the contractors heritage consultant) will be obtained on methods and locations for installing equipment used for vibration, movement and noise monitoring at heritage-listed structures, prior to monitoring commencing. Relevant asset management groups would also be consulted on the placement of vibration monitoring devices within the curtilage of Heritage items".	Compliant	
D48	Before conducting at-property treatment at any Heritage item identified in the documents listed in Condition A1 of this schedule, the advice of a suitably qualified and experienced built heritage expert must be obtained and implemented to ensure any such work does not have an adverse impact on the heritage significance of the item.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 8.3.3 of the Noise and Vibration Management Plan states "the installation of at property treatment measures must also consider and avoid impacts to potential historical archaeology and seek advice from the Excavation Director. Similarly, in accordance with CoA D48 before installing at property treatment at a Heritage item, the advice of a suitably qualified and experienced built heritage expert would be obtained and implemented to ensure the installation does not have adverse impacts of the heritage significance of the item." The audit team was advised that no at-property treatment had occurred during the audit period.	Compliant	
D49	If a Heritage item is found to be structurally unsound (following inspection) a more conservative cosmetic damage criterion of 2.5 mm/s peak component particle velocity (from DIN 4150) must be applied.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 6.3.2.1 of the Noise and Vibration Management Plan states "Heritage buildings and structures will be assessed as per the screening criteria in Table 14. If a heritage building or structure is found to be structurally unsound (following inspection) a more conservative cosmetic damage criteria of 2.5 mm/s peak component particle velocity (from DIN 4150) would be applied." It was understood from site interviews that no heritage items have been found to be structurally unsound.	Compliant	
D50	Utility Coordination and Respite All work undertaken for the delivery of Stage 1 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: a) reschedule any work to provide respite to impacted noise sensitive receivers so that the respite is achieved in accordance with Condition D51 of this schedule; or b) consider the provision of alternative respite or mitigation to impacted noise sensitive receivers; and c) provide documentary evidence to the AA in support of any decision made by the Proponent in relation to respite or mitigation. The consideration of respite must also include all other approved Critical SSI, SSI and SSD projects which may cause cumulative and / or consecutive impacts at receivers affected by the delivery of Stage 1 of the CSSI.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	It was understood from interviews with Acoustic Advisors (Noise and Vibration) on the 6 September 2023 that a fortnightly environmental meeting, which is chaired by Sydney Metro and attended by GLC and ERs, is convened at which utility coordination and respite periods are discussed. Section 10.2 of the out of hours works protocol states that "as part of the noise and vibration assessment process, GLC will ensure all OOHW undertaken for the delivery of the CSSI, including works undertaken by a third party, are coordinated to implement appropriate respite and/or mitigation measures for potentially affected sensitive receivers and ensure respite would be coordinated to ensure agreed respite is provided".	Compliant	
D51	Out-of-Hours Works – Community Consultation and Respite In order to undertake out-of-hours work outside the work hours specified under Condition D35 of this schedule, appropriate respite periods for the out-of-hours work must be identified 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: a) a progressive schedule for periods no less than three (3) months, of likely out-of-hours work; b) a description of the potential work, location and duration of the out-of-hours work; c) the noise characteristics and likely noise levels of the work; and d) likely mitigation and management measures which aim to achieve the relevant NMLs under Condition D39 (including the circumstances of when respite or relocation offers will be available and details about how the affected community can access these offers). The outcomes of the community consultation, the identified respite periods and the scheduling of the likely out-of-hour work must be provided to the AA, EPA and the Planning Secretary.	EMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Respite Offer - Westmead - 8 February 2023 Out of Hours Work Permit - Westmead - 14 February 2023	Assessment of a Respite offer in Westmead, dated 8 February 2023, observed that it stated "In our February notification, we advised deliveries of large plant and equipment. This work is planned out-of-hours in accordance with road occupancy approvals to minimise disruption to local traffic and ensure the safety of motorists and pedestrians. In line with planning conditions, GLC undertakes noise modelling to assess the impacts of construction works that must be completed outside of standard construction hours. Our noise modelling indicates there may be noise impacts at your residence during some of these activities. Respite offer. To give you respite from the expected construction noise, we would like to offer your household an option to take up temporary alternate accommodation at a nearby hotel or grocery/movie vouchers on the nights below: Tuesday 14 and Thursday 16 February 2023. Assessment of the OOHW Permit No.: WEST-032, observed that it included the following information: Commencement date, completion date, location description, nearest sensitive receiver, location map, description of works, proposed equipment, mitigation measures, traffic, issuing authority. No non-compliances with the Out-of-Hours Works - Community Consultation and Respite condition were identified.	Compliant	

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	Note: Respite periods can be any combination of days or hours where out-of-hours work would not be more than 5 dB(A) above the RBL at any residence.				
D58	Stage 1 of the CSSI must be designed and constructed with the objective of minimising impacts to, and interference with, third party property and infrastructure, and that such infrastructure and property is protected during construction.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 6.3.2.2 of the Noise and Vibration Plan states that “the WTP must be designed and constructed with the objective of minimising impacts to, and interference with, third party property and infrastructure, and that such infrastructure and property is protected during construction. Where structures and utilities are encountered which may be considered to be particularly sensitive to vibration, a vibration goal which is more stringent than structural damage goals presented in Table 15 may need to be adopted. Examples of such structures and utilities include: • tunnels • gas or other pipelines • fibre optic cables. Further guidance is taken from the German Standard DIN 4150-3:2016 Vibration in Buildings – Part 3: Effects on Structures, which sets vibration velocity values for evaluating effects of vibration on buried pipework.”	Compliant	
D59	The utilities and services (hereafter “services”) potentially affected by construction must be identified to determine requirements for diversion, protection and / or support. Alterations to services must be determined by negotiation between the Proponent and the service providers. Disruption to services resulting from construction must be avoided, wherever possible, and advised to customers where it is not possible.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 9.2.3.2 of the Noise and Vibration Plan states that “Utilities, services and other infrastructure potentially affected by site establishment works will be identified before the commencement of works affecting the item, in order to determine requirements for access to, diversion protection, and / or support. The relevant owner(s) and / or provider(s) of services will be consulted to make suitable arrangements for access to diversion, protection, and / or support of the affected infrastructure as required. GLC will ensure that disruption to any service is minimised and is responsible for advising local residents and businesses affected before any planned disruption of service.”	Compliant	
D60	Condition Survey A suitably qualified and experienced person must undertake condition surveys of all buildings, structures, utilities and the like identified in the documents listed in Condition A1 of this schedule as being at risk of damage before commencement of any work that could impact on the subject surface / subsurface structure. The results of the surveys must be documented in a Preconstruction Condition Survey Report for each item surveyed. Copies of Pre-construction Condition Survey Reports must be provided to the relevant owners of the items surveyed in the vicinity of the proposed work, and no later than one (1) month before the commencement of the work that could impact on the subject surface / subsurface structure.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Property Condition Surveys Information Flyer	Assessment of a property condition survey, which is given to property owners, observed that it outlines scope of works, what a property condition survey is, what does the survey include, who is eligible, confidentiality, how long it will take and who to contact if property is damaged which demonstrates that utilities and services potentially affected by construction have been identified to determine requirements for diversion, protection and / or support.	Compliant	
D61	Condition surveys of all items for which condition surveys were undertaken in accordance with Condition D60 of this schedule must be undertaken by a suitably qualified and experienced person after completion of the work identified in Condition D60 of this schedule. The results of the surveys must be documented in a Post-construction Condition Survey Report for each item surveyed. Copies of Post-construction Condition Survey Reports must be provided to the landowners of the items surveyed, and no later than three (3) months following the completion of the work that could impact on the subject surface / subsurface structure unless otherwise agreed by the Planning Secretary.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Property Condition Surveys Information Flyer	See finding at CoA D60.	Compliant	
D62	The Proponent, where liable, must rectify any property damage caused directly or indirectly (for example from vibration or from groundwater change) by the work at no cost to the owner. Alternatively, the Proponent may pay compensation for the property damage as agreed with the property owner. Rectification or compensation must be undertaken within 12 months of completion of the work identified in Condition D60 of this schedule unless another timeframe is agreed with the owner of the affected surface or sub-surface structure or recommended by the IPIAP.	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 11.5 of the CEMP states that Corrective Actions arising from audits, inspections, non-conformances or incidents will be captured in a Corrective Actions Register to prevent recurrence or manage ongoing environmental risk. This register will track the action, when and how it was raised, who is responsible and timeframe for implementation. Corrective actions are differentiated by risk ranking. Actions will be resolved within the required timeframe and closed in accordance with the Sydney Metro Environmental Incident and Non-Compliance Reporting Procedure. The Environment Manager is responsible for the investigation, tracking and ensuring appropriate closeout of non-compliances, corrective, and preventative actions in accordance with GA-MSPHSEQ-005 Audits, Inspection and Correction Action. It was understood through site interviews that no property damage has been caused directly or indirectly by the contractor during the audit period.	Compliant	
D63	Appropriate equipment to monitor areas in proximity of construction sites and the tunnel route during construction must be installed with particular reference to at risk buildings, structures and utilities identified in the condition surveys required by Condition D60 of this schedule and / or geotechnical analysis as required. If monitoring during construction indicates exceedance of predicted impacts identified in the documents in Condition A1 or determined through geotechnical analysis, then all construction affecting settlement must cease immediately if it is safe to do so and must not resume until fully rectified or a revised method of construction is established that will ensure protection of affected buildings	CEMP, Revision C. (Issued 20 April 2022) Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 8.3.4 of the CEMP states that CoA D63 requires vibration monitoring at buildings close to construction sites and the tunnel route during construction. Where monitoring indicates vibration levels exceeding the criteria in Section 6.3, construction affecting settlement must cease and not resume until rectified or revised methods selected. In line with CoA D63, vibration monitoring will be undertaken at the nearest buildings to the construction sites during times of vibration intensive works. Where exceedances of the criteria are recorded, corrective actions in line with CoA D63 would be implemented where soils at risk of vibration-induced settlement are identified. Evidence of vibration monitoring being conducted for Phase F was sighted during the site visits.	Compliant	

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D64	An Independent Property Impact Assessment Panel (IPIAP) must be established. The Planning Secretary must be informed of the members of the IPIAP and the IPIAP must comprise geotechnical and engineering experts independent of the design and construction team. The IPIAP will be responsible for independently verifying condition surveys undertaken under Conditions D60 and D61 of this schedule, the resolution of property damage disputes and the establishment of ongoing settlement monitoring requirements.	<p>SSI10038 D64 nomination letter IPIAP compiled (Submitted 03 February 2022)</p> <p>DPE lodgement confirmation for the "Nomination of proposed members of IPIAP" (Dated 03 February 2022)</p> <p>DPE post approval form (Dated 21 March 2022)</p> <p>DPE re-lodgement confirmation for "IPIAP Nomination" (Dated 21 March 2022)</p> <p>DPE post approval form (Dated 21 March 2022)</p> <p>DPE acknowledgement email on the "Appointment of Experts" (Dated 25 March 2022)</p> <p>DPE approval letter regarding the "Appointment of experts" (Approved 25 March 2022)</p>	Assessment of the SSI10038 D64 IPIAP nomination letter observed that the Planning Secretary was informed of the members of the IPIAP and the IPIAP comprise of geotechnical and engineering experts independent of the design and construction team.	Compliant	
D65	Either the affected property owner or the Proponent may refer unresolved disputes arising from potential and/or actual property impacts to the IPIAP for resolution. All costs incurred in the establishing and implementing of the panel must be borne by the Proponent regardless of which party makes a referral to the IPIAP. The findings and recommendations of the IPIAP are final and binding on the Proponent.	<p>SSI10038 D64 nomination letter IPIAP compiled (Submitted 03 February 2022)</p> <p>DPE lodgement confirmation for the "Nomination of proposed members of IPIAP" (Dated 03 February 2022)</p> <p>DPE post approval form (Dated 21 March 2022)</p> <p>DPE re-lodgement confirmation for "IPIAP Nomination" (Dated 21 March 2022)</p> <p>DPE post approval form (Dated 21 March 2022)</p> <p>DPE acknowledgement email on the "Appointment of Experts" (Dated 25 March 2022)</p> <p>DPE approval letter regarding the "Appointment of experts" (Approved 25 March 2022)</p>	See finding for condition D64 above.	Not triggered	
D66	Settlement monitoring must be extended if directed so by the IPIAP following its review of the monitoring data from the period not less than six (6) months after settlement has stabilised, consistent with Condition D63 of this schedule. The results of the monitoring must be made available to the Planning Secretary upon request. MOD-3	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Noise and Vibration Monitoring Plan Revision E (Issued 6 December 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p>	See detailed finding for CoA D63.	Compliant	
D67	Community Benefit Plan(s) A Community Benefit Plan(s) must be prepared, by a suitably qualified and experienced person, to guide the delivery of measures identified in the documents listed in Condition A1 of this schedule relating to social impacts and the development of community benefit initiatives. The Community Benefit Plan(s) must aim to: a) make a positive contribution to the potentially affected community; b) respond to community priorities and needs; c) create positive community or environmental outcomes; and d) prioritise consideration of achieving outcomes for enhancing community character, community culture and the local surroundings. Nothing in this condition prevents the preparation of individual Community Benefit Plans for each station precinct.	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Community Benefits Implementation Plan, Revision C, 15 August 2022</p> <p>Interview with the Sustainability team (6 September 2023)</p>	<p>Interview with Communications Team on Wednesday 6 September 2023 demonstrated that no audits have been completed for WTP.</p> <p>Section 1.2.1 of the Community Benefits Plan states that this plan has been developed to satisfy the contractual requirements listed in the following section of the General Specification:</p> <p>Ministers condition of approval, Socio-economic, Land Use and Property, D67*</p>	Compliant	
D68	The Community Benefit Plan(s) must be submitted to the Planning Secretary for information before construction. The Community Benefit Plan(s) must be implemented for the duration of construction.	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Community Benefits Implementation Plan, Revision C, 15 August 2022</p>	<p>The Community Benefit Plan was submitted to the Planning Secretary for information prior to the commencement of construction via letter dated on the 8th November 2021. The Planning secretary responded to Sydney Metro via letter on the 12th November 2021, noting the Community Benefits Plan has been:</p> <ul style="list-style-type: none"> • Prepared by a suitably qualified and experienced person, • Reviewed and approved by Sydney Metro and no issues have been raised, and • Prepared in accordance with the conditions of approval. 	Compliant	

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D69	Potential impacts on the operation of festivals or events at Parramatta, Sydney Olympic Park or Five Dock must be limited as reasonably practicable.	<p>Overarching Community Communications Strategy (August, 2022)</p> <p>Community Communication Strategy – Western Tunnelling Package (September 2023)</p> <p>SMW / City of Parramatta Council Interface Meeting No. 46 Minutes</p> <p>SMW / City of Parramatta Council Interface Meeting No. 46 Minutes (September 2023)</p> <p>Parramatta Communications Sub-Plan (September 2023)</p>	<p>The primary objectives detailed in Section 2.5 Sydney Metro West Overarching Community Communications Strategy (OCCS) and the Community Communication Strategy – Western Tunnelling Package (CCS) include minimising project impacts on stakeholders and the community where possible, and minimising project impacts on local businesses recognising specific needs and requirements.</p> <p>Further, the Small Business Owners Engagement Plan (SBOEP) includes engagement and mitigation strategies for Parramatta and Sydney Olympic Park respectively. This includes the identification of small businesses within the precinct, potential issues, proposed mitigation strategies and communication tools with respect to the construction stage of the project.</p> <p>The auditor has been provided meeting minutes between Sydney Metro and the City of Parramatta Council (CoPC) where it includes discussion points on upcoming events, project updates and general business.</p> <p>Site interviews with stakeholders confirmed the festivals and events undertaken during the audit such as the Parramatta Lanes festival had no incidents or impacts reported.</p>	Compliant	
D70	Small Business Owners Engagement Plans Small Business Owners Engagement Plan(s) must be implemented in accordance with the Overarching Community Communication Strategy to minimise impact on small businesses adjacent to major construction sites during construction of Stage 1 of the CSSI. These plans must be prepared and submitted to the Planning Secretary for information before construction at the relevant construction site.	<p>CEMP, Revision C. (Issued 20 April 2022)</p> <p>Site Establishment Plan, Revision D (Issued 16 June 2022)</p> <p>Small Business Owners Engagement Plan, Revision E, Issued on 17 March 2023</p> <p>Interview with Communications team (6 September 2023)</p>	<p>It was understood from the site interview with the Communications Team on 6 September 2023 that the Small Business Owners Engagement Plan review is conducted every 6 months, and prepared by GLC. This review is understood to consider new mitigation measures, construction activities, and sensitive receivers. This applies to businesses with fewer than 50 people, with a focus on businesses on the corner of George St and Church St.</p> <p>Section 1.2 of the Small Business Owner Engagement Plan states that the plan is intended to meet the Minister’s Condition of Approval D70 under SSI 10038, which requires a Small Business Owners Engagement Plan(s) to be implemented in accordance with the Sydney Metro Overarching Community Communications Strategy (OCCS) to minimise impact on small businesses adjacent to major construction sites during construction. The SBOEP must be prepared and submitted to the Planning Secretary for information before construction at the relevant construction site. Consistent with the OCCS, this Plan describes how GLC will engage with small business properties within 50 metres of the Parramatta site. Although, there are no small businesses within 50 metres of Westmead or Clyde, this plan also describes how GLC will engage with small businesses within proximity to these sites.*</p>	Compliant	
D71	Contaminated Sites Before commencement of any construction that would result in the disturbance of moderate to high risk contaminated sites as identified in the documents identified in Condition A1 of this schedule, Detailed Site Investigations (for contamination) must be conducted to determine the full nature and extent of the contamination. The Detailed Site Investigation Report(s) and the subsequent report(s) must be prepared, or reviewed and approved, by consultants certified under either the Environment Institute of Australia and New Zealand’s Certified Environmental Practitioner (Site Contamination) scheme (CEnvP(SC)) or the Soil Science Australia Certified Professional Soil Scientist Contaminated Site Assessment and Management (CPSS CSAM) scheme. The Detailed Site Investigations must be undertaken in accordance with guidelines made or approved under section 105 of Contaminated Land Management Act 1997 (NSW). The Detailed Site Investigation for Sydney Olympic Park metro construction site must be prepared in consultation with SOPA. Note: Nothing in this condition prevents the Proponent from preparing individual Detailed Site Investigation Reports (for contamination) for separate sites.	<p>Soil and Water Sub-Plan Revision E (issued on 21 November 2022)</p> <p>CEMP, Revision C (Issued on 20 April 2022)</p> <p>'Parramatta Station Detailed Site Investigation, Revision 0 (Issued on 13 December 2022)</p> <p>Westmead Station - UPSS Validation Report, Revision B (Issued on 13 January 2023)</p> <p>Westmead to The Bays and Sydney CBD Environmental Impact Statement Concept and Stage 1 Technical Paper 8 Contamination</p>	<p>Epic Environmental Pty Ltd (Epic) has been engaged by Gamuda Laing O'Rourke (GLC) consortium to manage the contaminated land management strategy for the Sydney Metro West Western Tunnelling Package. As part of the strategy, Epic have undertaken detailed site investigation (DSI) and have overseen remediation and validation works at Westmead station, Parramatta station, and the Clyde MSF. Remedial works were required at Westmead Station to address historical use of part of the site as a service station. The works comprised the removal of an underground petroleum storage system (UPSS) at the site. The remediation and validation requirements were observed in Epic Environmental (2022) Westmead Station –Former service station site – Remediation Action Plan dated 19 December 2022.</p> <p>Sydney Metro provided reports for Parramatta, Clyde MSF and Westmead for assessment. Sydney Metro also provided City of Parramatta Council Acknowledgement emails.</p>	Compliant	
D72	Should remediation be required to make land suitable for the final intended land use, a Remedial Action Plan must be prepared, or reviewed and approved, by consultants certified under either the Environment Institute of Australia and New Zealand’s Certified Environmental Practitioner (Site Contamination) scheme (CEnvP(SC)) or the Soil Science Australia Certified Professional Soil Scientist Contaminated Site Assessment and Management (CPSS CSAM) scheme. The Remedial Action Plan must be prepared in accordance with relevant guidelines made or approved by the EPA under section 105 of the Contaminated Land Management Act 1997 (NSW) and must include measures to remediate the contamination at the site to ensure the site will be suitable for the proposed use when the Remedial Action Plan is implemented. The Remedial Action Plan for Sydney Olympic Park metro construction site must be prepared in consultation with SOPA. Note: Nothing in this condition prevents the Proponent from preparing individual Remedial Action Plans for separate sites.	<p>Soil and Water Sub-Plan Revision E (issued on 21 November 2022)</p> <p>CEMP, Revision C (Issued on 20 April 2022)</p> <p>Clyde Zone 1 - Remediation Action Plan, Issued 15 March 2023</p>	<p>Section 1.1 of the Clyde Zone 1 – Remediation Action plan (RAP) states "The objectives of this RAP and remedial program are:</p> <ul style="list-style-type: none"> - To provide a strategy to manage contamination in a manner that protects human health and the environment, and which ensures that the site is suitable for commercial industrial land use - To ensure regulatory compliance during remediation works - To complete the program expediently, in line with Sydney Metro project planning objectives - Comply with the principles of reducing waste to landfill, as per the overarching Sydney Metro and NSW Government waste management principles". 	Compliant	
D73	Before commencing remediation, a Section B Site Audit Statement(s) must be prepared by an NSW EPA-accredited Site Auditor that certifies that the Remedial Action Plan(s) is/are appropriate and that the site can be made suitable for the proposed use. The Remedial Action Plan(s) must be implemented and any changes to the Remedial Action Plan(s) must be approved in writing by the NSW EPA-accredited Site Auditor. Note: Nothing in this condition prevents the Proponent from engaging an NSW EPA-accredited Site Auditor to prepare individual Site Audit Statements for Remedial Action Plans for separate sites.	<p>Soil and Water Sub-Plan Revision E (issued on 21 November 2022)</p> <p>CEMP, Revision C (Issued on 20 April 2022)</p> <p>Geosyntec Consultants - Endorsement of Remediation Action Plan for Zone 1, Sydney Metro West Western Tunnel, Sent on 28 March 2023</p> <p>Site Audit Statement - NSW Site Auditor Scheme</p> <p>Clyde Zone 1 - Remediation Action Plan, Issued 15 March 2023</p>	<p>Gamuda appointed Kylie Lloyd of Geosyntec Consultants, a NSW EPA Auditor accredited (No. 0302) under the Contaminated Land Management Act 1997, to conduct an Audit for the Sydney Metro West - Western Tunnel, NSW.</p>	Compliant	

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D74	Validation Report(s) must be prepared in accordance with Consultants Reporting on Contaminated Land: Contaminated Land Guidelines (EPA, 2020) and relevant guidelines made or approved under section 105 of the Contaminated Land Management Act 1997 (NSW). Note: Nothing in this condition prevents the Proponent from preparing individual Validation Reports for separate sites.	Soil and Water Sub-Plan Revision E (issued on 21 November 2022) CEMP, Revision C (Issued on 20 April 2022) Correspondence with Environment Manager on 6/10/2023 Soil and Water Sub-Plan Revision E (issued on 21 November 2022) 'Parramatta Station Detailed Site Investigation, Revision 0 (Issued on 13 December 2022) Westmead Station - UPSS Validation Report, Revision B (Issued on 13 January 2023) Westmead to The Bays and Sydney CBD Environmental Impact Statement Concept and Stage 1 Technical Paper 8 Contamination	The GLC Environment Manager advised that no validation reports have been prepared for WTP as yet.	Compliant	
D75	A Section A1 or Section A2 Site Audit Statement (accompanied by an Environmental Management Plan) and its accompanying Site Audit Report, which state that the contaminated land disturbed by the work has been made suitable for the intended land use, must be submitted to the Planning Secretary, SOPA (in respect of Sydney Olympic Park) and the Relevant Council(s) after remediation and before the commencement of operation of the CSSI. Note: Nothing in this condition prevents the Proponent from obtaining Section A Site Audit Statements for individual parcels of remediated land.	Soil and Water Sub-Plan Revision E (issued on 21 November 2022) CEMP, Revision C (Issued on 20 April 2022) Geosyntec Consultants - Endorsement of Remediation Action Plan for Zone 1, Sydney Metro West Western Tunnel, Sent on 28 March 2023 Site Audit Statement - NSW Site Auditor Scheme	See finding for CoA D73.	Compliant	
D76	A copy of Detailed Site Investigation Report(s), Remedial Action Plan(s), Validation Report(s), Site Audit Report(s) and Site Audit Statement(s) must be submitted to the Planning Secretary, SOPA (in respect of Sydney Olympic Park) and the Relevant Council(s) for information.	Soil and Water Sub-Plan Revision E (issued on 21 November 2022) CEMP, Revision C (Issued on 20 April 2022) Geosyntec Consultants - Endorsement of Remediation Action Plan for Zone 1, Sydney Metro West Western Tunnel, Sent on 28 March 2023 Site Audit Statement - NSW Site Auditor Scheme Correspondence with Environment Manager on 6/10/2023	The GLC Environment Manager advised that no documentation has been submitted to DPE or councils, as it is yet to be finalised.	Compliant	
D77	An Unexpected Contaminated Land and Asbestos Finds Procedure must be prepared before the commencement of construction and must be followed should unexpected contaminated land or asbestos (or suspected contaminated land or asbestos) be excavated or otherwise discovered during construction.	Soil and Water Sub-Plan Revision E (issued on 21 November 2022) CEMP, Revision C (Issued on 20 April 2022) Acid Sulphate Soil Work Method Statement, Revision C (Issued on 17 May 2023)	A Soil and Water Management Plan (SWMP) has been prepared and is being implemented for the Phase F works. Assessment of the SWMP during the Independent Audit observed that it includes an Unexpected Contaminated Land and Asbestos Finds Procedure as Attachment 4, which includes the following requirements: - That the procedure must be followed should unexpected contamination or asbestos (or suspected contamination) be excavated or otherwise discovered, and states that the procedure has been developed for compliance with CoA D77 and will be implemented as per requirements of CoA D78. - Includes a Protocol – Likelihood of contamination, which states that “The presence of potentially contaminated material can be detected where material is uncovered which displays some or all of these characteristics... Unexpected underground storage tanks, buried drums or machinery etc.” - Outlines in Step 5, the requirement for the following “If required, Environmental and Sustainability Manager is to obtain assistance from a suitably qualified and experienced contaminated land consultant in identifying the potential hazard to human health or environment”. Based on testing of this documentation, the Auditor notes that the Unexpected Contaminated Land and Asbestos Finds Procedure does not include procedures for notifying regulatory authorities in the event of unexpected finds and does not prescribe regulatory authority notifications as required by regulatory instruments and guidelines, for example, in the event of redevelopment of former service station sites and unexpected finds of abandoned underground storage tanks (USTs). Notwithstanding this, the Auditor acknowledges that regulatory notifications have been provided where required (refer to D78). This finding does not represent a non-compliance but is noted as an improvement opportunity.	Compliant	

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D78	The Unexpected Contaminated Land and Asbestos Finds Procedure must be implemented throughout construction.	Soil and Water Sub-Plan Revision E (issued on 21 November 2022) CEMP, Revision C (Issued on 20 April 2022) UPSS Removal Notification - Tennyson Street, Clyde (16 th August 2023) UPSS Removal Notification - Tennyson Street, Clyde (8 th June 2023) UPSS Removal Notification - Tennyson Street, Clyde (22 nd June 2023) UPSS Removal Notification - Tennyson Street, Clyde (1 st May 2023)	During the Clyde Maintenance and Stabling Facility site inspection on 31 August 2023, the Independent Audit observed pipework and abandoned underground storage tanks (USTs) associated with a former service station within the project boundary and which Gamuda Australia and Laing O'Rourke Joint Venture (GLC) advised it was intending to decommission through removal of the USTs. In addition, the Independent Audit team was advised that there have been occurrences of unexpected finds of USTs throughout the site. Evidence provided to the Independent Audit team has shown that consultation with Council has been undertaken between the Sydney Metro Representative and relevant regulators (e.g., local council, EPA NSW, Safework NSW) with regards to notification of the unexpected discoveries of the USTs at Clyde Maintenance and Stabling Facility on the following occasions during the audit period: <ul style="list-style-type: none"> 16th August 2023 - UPSS Removal Notification - Tennyson Street, Clyde 8th June 2023 - UPSS Removal Notification - Tennyson Street, Clyde 22nd June 2023 - UPSS Removal Notification - Tennyson Street, Clyde 1st May 2023 - UPSS Removal Notification - Tennyson Street, Clyde. 	Compliant	
D80	Access to all utilities and properties must be maintained during works, unless otherwise agreed with the relevant utility owner, landowner or occupier.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Traffic and Transport Advisors (5 September 2022)	It was understood from interviews with Traffic and Transport Advisors that access to utilities and properties is required as part of CTMP and site-specific CTMP. Section 9.2.3.1 Site Establishment Management Plan states that a Building Surveyor will undertake condition surveys prior to site establishment works, as well as post site establishment, which includes all buildings, structures and utilities identified in the SEMP as being at risk of damage. Copies of Pre-construction Condition Survey Reports will be provided to the relevant owners of the items surveyed in the vicinity of the proposed work, and no later than one (1) month before the commencement of the work that could impact on the subject surface / subsurface structure. Copies of Post-construction Condition Survey Reports will be provided to the landowners of the items surveyed, and no later than three (3) months following the completion of the work that could impact on the subject surface / subsurface structure unless otherwise agreed by the Planning Secretary.	Compliant	
D81	Any property access physically affected by the CSSI must be reinstated to at least an equivalent standard, unless otherwise agreed by the landowner or occupier. Property access must be reinstated within one (1) month of the work that physically affected the access is completed or in any other timeframe agreed with the landowner or occupier.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding for condition D80 above.	Compliant	
D82	Construction vehicles (including light vehicles) must not use Robert Street, Rozelle to access The Bays metro station construction site, unless required in the event of an emergency or in association with the delivery of the Rozelle power supply from the Rozelle sub-transmission substation to The Bays metro station construction site.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding for condition D80 above.	Compliant	
D83	The locations of all Heavy Vehicles used for spoil haulage must be monitored in real time and the records of monitoring be made available electronically to the Planning Secretary and the EPA upon request for a period of no less than one (1) year following the completion of construction.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Traffic and Transport Advisors (5 September 2022)	It was understood from interviews with Traffic and Transport Advisors that the project uses LinkSite to track trucks. LinkSite enables monitoring and reporting of non-conformances associated with truck movements, including identifying where and when idling is occurring.	Compliant	
D84	The primary egress routes for spoil haulage trucks at Sydney Olympic Park metro station construction site must be determined in consultation with SOPA.	Spoil Management Plan, Revision F (Issued on 7 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.7 offsite material movement of the Spoil Management Plan states that "The primary egress routes for spoil haulage trucks will consider special events and cumulative impacts from external projects in the surrounding area to minimise traffic related impacts. The primary egress routes at Sydney Olympic Park Metro Station construction site will be determined in consultation with SOPA."	Compliant	
D85	Construction Traffic Management Plans (CTMPs) must be prepared in accordance with the Construction Traffic Management Framework. A copy of the CTMPs must be submitted to the Planning Secretary for information before the commencement of any construction in the area identified and managed within the relevant CTMP.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 2.3 of the Construction Traffic Management Plan states, "The Construction Environmental Management Framework (CEMF) sets out the environmental, stakeholder and community management requirements for construction. It provides a linking document between the planning approval documentation and the construction environmental management documentation to be developed by the principal contractors relevant to their scope of works. The CEMF also includes the Construction Traffic Management Framework (CTMF) which sets out the traffic requirements for the project. The CTMF requires the development of Construction Traffic Management Plans (CTMP) to be prepared by contractors covering the full spatial extent of their works."	Compliant	
D86	Local roads proposed to be used by Heavy Vehicles to directly access construction sites that are not identified in the documents listed in Condition A1 of this schedule must be approved by the Planning Secretary and be included in the CTMPs.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 8.2 of the Construction Traffic Management Plan states that the heavy vehicle routes will be via arterial roads/ freeway/ tollways. Where possible the routes will consider the requirements of the Environmental Impact Statement (EIS). Where the routes differ from those proposed in the EIS and the use of local roads is proposed, the Planning Secretary will be provided with a report detailing: a) A swept path analysis b) Demonstration that the use of local roads by Heavy Vehicles for the project will not compromise the safety of pedestrians and cyclists of the safety of two way traffic flow on two way roadways c) Details as to the date of completion of the road dilapidation surveys for the subject local roads and d) Measures that will be implemented to avoid where practicable the use of local roads past schools, agreed care facilities and child care facilities during their peak operation times The report will be reviewed by an appropriately qualified professional on the suitability of the proposed heavy vehicle route which takes into account the items above. This report will be submitted to the Planning Secretary for approval and once approved will be incorporated into the relevant CTMP(s). The site specific CTMPs will include the Heavy Vehicle Local Road report, where relevant. Consultation on routes will be undertaken with the relevant road authorities.	Compliant	

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D87	All requests to the Planning Secretary for approval to use local roads under Condition D86 above must include the following: a) a swept path analysis; b) demonstration that the use of local roads by Heavy Vehicles for the CSSI will not compromise the safety of pedestrians and cyclists of the safety of two-way traffic flow on two-way roadways; c) details as to the date of completion of the road dilapidation surveys for the subject local roads; and d) measures that will be implemented to avoid where practicable the use of local roads past schools, aged care facilities and child care facilities during their peak operation times; and e) written advice from an appropriately qualified professional on the suitability of the proposed Heavy Vehicle route which takes into consideration items (a) to(d) of this condition.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding at CoA D86.	Compliant	
D89	If damage to roads occurs as a result of the construction of Stage 1 of the CSSI, the Proponent must either (at the Relevant Road Authority's discretion): (a) compensate the Relevant Road Authority for the damage so caused; or (b) rectify the damage to restore the road to at least the condition it was in pre-work as identified in the Road Dilapidation Report.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Traffic and Transport Advisors (5 September 2023)	It was understood from interviews with Traffic and Transport Advisors that weekly road condition inspections are undertaken. Any defects found during these inspections are recorded and actions applied to them within a system known as "Lucidity." Section 8.6 of the Construction Traffic Management Plan states that before any local road is used by Heavy Vehicles, a road dilapidation report will be prepared. A copy of that report will be provided to the City of Parramatta Council within three (3) weeks of completion of the survey and no later than one (1) month before the road used by heavy vehicles associated with the project. Any damage to roads that occur as a direct result of our operation will result in either GLC rectifying the damage to restore the road back to its condition as noted in the road dilapidation report or compensate the relevant road authority, subject to the road authority's discretion. Local road dilapidation surveys will be undertaken at the locations as noted in Table 10."	Compliant	
D90	Construction Parking and Access Management Vehicles associated with the project workforce (including light vehicles and Heavy Vehicles) must be managed to: a) minimise parking on public roads; b) minimise idling and queueing on state and regional roads; c) not carry out marshalling of construction vehicles near sensitive land user(s); d) not block or disrupt access across pedestrian or shared user paths at any time unless alternate access is provided; and e) ensure spoil haulage vehicles adhere to the nominated haulage routes identified in the CTMPs	Construction Parking and Access Strategy, Revision C, Issued on 15 September 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	On site visits to Parramatta, Westmead and Clyde the audit team did not observe any blocking of or access disruption to pedestrian or shared user paths at any time. Monitoring of construction parking and access management is undertaken by the ER during site inspections. Section 5.9.1 of the Construction Park and Access Plan states that parking strategies include: - Consultation with Canada Bay Council and Sydney Ports Authority to identify areas for workforce parking. - Additional parking at Sydney Olympic Park and negotiation for more space within the park. - Area near The Bay along Port Access Rd under negotiation for parking and spoil truck layover. Layover Area Usage: - Layover area within 350m of The Bay construction site. - Functions as a spoil truck layover and heavy vehicle marshalling area. - Reduces heavy vehicles idling and queueing on state and regional roads.	Compliant	
D91	A Construction Parking and Access Strategy must be prepared to identify and mitigate impacts resulting from on- and off-street parking changes during construction. The Construction Parking and Access Strategy must include, but not necessarily be limited to: a) achieving the requirements of Condition D90 above; b) confirmation and timing of the removal of on- and off-street parking associated with construction of Stage 1 of the CSSI; c) parking surveys of all parking spaces to be removed or occupied by the project workforce to determine current demand during peak, off-peak, school drop off and pickup, weekend periods and during special events; d) consultation with affected stakeholders utilising existing on- and off-street parking stock which will be impacted as a result of construction; e) assessment of the impacts to on- and off-street parking stock taking into consideration, occupation by the project workforce, outcomes of consultation with affected stakeholders and considering the impacts of special events; f) identification of reasonable and practicable mitigation measures to manage impacts to stakeholders as a result of on- and off- street parking changes including, but not necessarily limited to, staged removal and replacement of parking, provision of alternative parking arrangements, managed staff parking arrangements and working with relevant council(s) to introduce parking restrictions adjacent to work sites and compounds or appropriate residential parking schemes; g) where residential parking schemes already exist, off-road parking facilities must be provided for the project workforce; h) mechanisms for monitoring, over appropriate intervals (not less than 6 months), to determine the effectiveness of implemented mitigation measures; i) details of shuttle bus service(s) to transport the project workforce to construction sites from public transport hubs and off-site car parking facilities (where these are provided) and between construction sites; j) provision of contingency measures should the results of mitigation or monitoring indicate implemented measures are ineffective; and k) provision of reporting of monitoring results to the Planning Secretary and Relevant Council(s) at six (6) monthly intervals.	Construction Parking and Access Strategy, Revision C, Issued on 15 September 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	On site visits to Parramatta, Westmead and Clyde the audit team did not observe any blocking of or access disruption to pedestrian or shared user paths at any time. The Construction Park and Access Plan was observed to include mitigation measures to minimise impacts to parking removal, parking demand through the implementation Parking Minimization Strategies (e.g. Collaboration with Canada Bay Council and Sydney Ports Authority to identify workforce parking areas) and Marshalling of Construction Vehicles). Ongoing monitoring and inspections are undertaken and recorded in the monthly inspections form during key time periods. Compliance reporting is undertaken and includes: - Monthly internal updates on compliance with potential additional requirements or controls. - Biannual reports of monitoring results submitted to the Planning Secretary and Relevant Council(s) as standalone reports.	Compliant	

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D92	The Construction Parking and Access Strategy must be submitted to the Planning Secretary for approval at least one (1) month before the commencement of any construction that reduces the availability of existing parking. The approved Construction Parking and Access Strategy must be implemented before impacting on on-street parking and incorporated into the CTMPs.	Construction Parking and Access Strategy, Revision C, Issued on 15 September 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 5.10.2 of the Construction Parking and Access Strategy states, "Monthly updates on compliance will be reported internally and determine any additional requirements, or controls to be implemented. Provide a 6 monthly report of monitoring results to the Planning Secretary and Relevant Council(s) in accordance with D91(k). The report will be provided as a standalone report." Section 5.13 states "Consultation about additional parking and traffic changes around Burwood North Station and North Strathfield Station sites will be carried out at least one month prior to the proposed changes. Any issues raised will be noted and options addressed. No consultation at The Bays and Sydney Olympic Park is required at this time as there are no changes to traffic movement and parking around those sites."	Compliant	
D93	During construction, all reasonably practicable measures must be implemented to maintain pedestrian, cyclist and vehicular access to, and parking in the vicinity of, businesses and affected properties. Disruptions are to be avoided, and where avoidance is not possible, minimised. Where disruption cannot be minimised, alternative pedestrian, cyclist and vehicular access, and parking arrangements must be developed in consultation with affected businesses and implemented before the disruption. Adequate signage and directions to businesses must be provided before, and for the duration of, any disruption.	Construction Parking and Access Strategy, Revision C, Issued on 15 September 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Construction Parking and Access Strategy was observed to include measures to maintain pedestrian, cyclist and vehicular access to, and parking in the vicinity of, businesses and affected properties. This includes mitigation measures such as: - Pedestrian management processes, - Maintenance of cyclist access during construction, - Assessment of pedestrian movements before construction with implementation of mitigation measures. - Avoidance of access restrictions; providing alternatives and mitigation measures where impacts are unavoidable. - Communication through signage and directions for impacted businesses - Continuous emergency vehicle access to all properties. - Informing emergency services of defined routes, with priority and safe conditions ensured.	Compliant	
D94	Road Safety A Traffic and Transport Liaison Group(s) must be established in accordance with the Construction Traffic Management Framework to inform the development of CTMPs.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 9.3.1 of the Traffic Management Plan states that "the TTLG has been established by Sydney Metro for the project. The TTLG consists of members from Sydney Metro, council(s) and representatives from the Emergency Services. The TTLG informs the development of CTMP and can request that supplementary analysis and modelling to be undertaken to demonstrate that construction and operational traffic can be managed to minimise disruption to the traffic networks operations including changes to the management of pedestrian, bicycle and public transport networks, public transport services and pedestrian and cyclist movements. Any changes required will be documented in the site specific CTMP. The TTLG will also be consulted on permanent road designs at the Rosehill/ Clyde sites. The TTLG currently meets monthly."	Compliant	
D95	Supplementary analysis and modelling as required by TfNSW and / or the Traffic and Transport Liaison Group(s) must be undertaken to demonstrate that construction and operational traffic can be managed to minimise disruption to traffic network operations including changes to and the management of pedestrian, bicycle and public transport networks, public transport services, and pedestrian and cyclist movements. Revised traffic management measures must be incorporated into the CTMPs.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding at CoA D94.	Compliant	
D96	The permanent road works at Clyde / Rosehill must be designed, constructed and operated with the objective of integrating with existing and proposed road and related transport networks and minimising adverse changes to the safety, efficiency and accessibility of the networks, and avoid deterioration in peak period levels of service in relation to permanent and operational changes. Design and assessment of related traffic, parking, pedestrian and cycle accessibility impacts and changes shall be undertaken: a) in consultation with, and to the reasonable requirements of the relevant Traffic and Transport Liaison Group; b) in consideration of existing and future demand, connectivity (in relation to permanent changes), performance and safety requirements; c) to minimise and manage local area traffic impacts; d) to ensure access is maintained to property and infrastructure; and e) to meet relevant design, engineering and safety guidelines, including Austroads, Australian Standards, and TfNSW requirements. Copies of civil, structural and traffic signal design plans shall be submitted to the Relevant Road Authority for consultation during design development and before completion of construction of Stage 1 of the CSSI.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	On site visits to Parramatta, Westmead and Clyde the audit team did not observe any blocking of or access disruption to pedestrian or shared user paths at any time. Section 5.8 of the Construction Traffic Management Plan states that Permanent design works will meet the relevant design and engineering standards and guidelines. The works will be designed taking into consideration the existing and future demand, connectivity (in relation to permanent changes), performance and safety requirements. The works will be also designed to minimise and manage local area traffic impacts and to ensure access is maintained to property and infrastructure. Copies of civil, structural and traffic signal design plans will be submitted to the relevant road authority for consultation during the design development and before completion of the works."	Compliant	
D96.1	The permanent realignment of Unwin Street and Kay Street must be designed with the objective of not precluding a potential future connection between the M4 Motorway and the Camellia Rosehill Precinct, unless otherwise agreed by the Planning Secretary. The Proponent must provide the Department, in a timely manner, detailed design, engineering and other related documentation to inform its master planning of the precinct. The current road reserve of Unwin Street between Kay Street and the TfNSW Granville Depot driveway (including the A'becketts Creek bridge) must be retained, unless otherwise agreed by the Planning Secretary. Note: At the time of approval, the relevant team at DPE is the Metro Central team, within the Planning & Land Use Strategy Division Note: The intent of this condition is to retain a section of the current road reserve of Unwin Street for future use as a connection between the M4 Motorway and Unwin Street. The M4 connection referenced in this condition does not form part of this Approval and this condition does not require the Proponent to deliver said connection.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	The Construction Traffic Management Plan was observed to include instruction that permanent realignment of Unwin Street and Kay Street must be designed with the objective of not precluding a potential future connection between the M4 Motorway and the Camellia-Rosehill Precinct, unless otherwise agreed by the Planning Secretary. The Proponent must provide the Department, in a timely manner, detailed design, engineering and other related documentation to inform its master planning of the precinct. The current road reserve of Unwin Street between Kay Street and the TfNSW Granville Depot driveway (including the A'becketts Creek bridge) must be retained, unless otherwise agreed by the Planning Secretary"	Compliant	

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D97	Permanent road works, including vehicular access, signalised intersection works, and works relating to pedestrians, cyclists, and public transport users must be subject to safety audits demonstrating consistency with relevant design, engineering and safety standards and guidelines. Safety audits must be prepared in consultation with the relevant Traffic and Transport Liaison Group before the completion and use of the subject infrastructure and must be made available to the Planning Secretary upon request.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Traffic and Transport Advisors (5 September 2023)	It was understood from interviews with Traffic and Transport Advisors that road safety audit will be appended to site-specific CTMPs. Once implemented, road safety audits are conducted (daily and evenings). The Traffic and Transport Advisors advised that no permanent road works have commenced at this stage.	Compliant	
D98	Pedestrian and Cyclist Access Safe pedestrian and cyclist access must be maintained around construction sites during construction. In circumstances where pedestrian and cyclist access is restricted or removed due to construction activities, a proximate alternate route which complies with the relevant standards, must be provided and signposted before the restriction or removal of the impacted access.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 5.4 of the Construction Traffic Management Plan states that due consideration to pedestrians and cyclists will be given before proceeding with works on or adjacent to paths. Pedestrians can be workers or the general public. Catering for pedestrians means catering for the different modes of travel used such as walking or cycling and for people with different characteristics such as disabilities. Some of the considerations that may need to be taken in any design for a travel path are listed below: <ul style="list-style-type: none"> · People with ambulant disabilities (i.e.: using a walking aid) require a clear width of 1m · People who use a wheelchair require a clear width of 1.2m · Paths are relatively smooth and clear of obstacles · Adequate lighting is provided · Placement of signs and/or devices do not block vision to young pedestrians · The following pedestrian safety points should be included in the final control measures. These points will be observed prior to commencing works – note that the list is not exhaustive. · Safe negotiation of the work site, especially any “squeeze” points in and around the work site · Crossing points are designed to ensure that pedestrians are not forced to cross at inappropriate locations · The most appropriate means for pedestrian to negotiate the site, (i.e.: through past or around the site · The most appropriate time of day to conduct the works considering both normal and peak hour times · Routes are continuous through/ adjacent to the work site · Site vehicle access/ egress locations and interaction with pedestrians, shared or cycle paths. Pedestrian and cyclists safety will be managed through: <ul style="list-style-type: none"> · Consideration in site specific CTMPs and TGS tabled at the TCG · Early engagement at the TCG and TTLG regarding traffic movements and/ or changes · Stakeholder and community consultation process · Dedicated signage and Truck Aware decals/ signage · Dedicated traffic control at all access/ egress points · No reversing of vehicles, unless under dedicated traffic control Where access to paths are required to be disrupted, the disruption will be minimised and where this is not possible alternate paths will be provided with appropriate wayfinding. Where existing cyclist facilities (e.g. bicycle parking) would be temporarily unavailable to facilitate construction activities, suitable replacement facilities would be provided for the disruption. At present no facilities that would be impacted have been identified.	Compliant	
D98.1	Temporary pedestrian access across the project must be provided as near as practicable to the existing Rosehill Railway Station Footbridge. The access must provide a reasonably direct route between the intersection of James Ruse Drive and Prospect Street and Gate 3 of Rosehill Gardens Racecourse. The access must be safe and open to all users (including the general public). The temporary pedestrian access must be designed in consultation with Australian Turf Club, the relevant landowner and/or Relevant Road Authority, and be implemented before removal of the Rosehill Railway Station Footbridge. Note: Any temporary pedestrian access in the vicinity of the former Rosehill Station which is intended to be made permanent must be designed in consultation with Australian Turf Club and must consider relevant masterplans and strategic planning documents.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	See finding at CoA D98.	Compliant	
D99	Spoil Movement Opportunities to maximise spoil material removal by non-road methods must be investigated and implemented where reasonably practicable to minimise movements by road.	Spoil Management Plan, Revision F (Issued on 7 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.1 of the Spoil Management Plan states, “specific measures and requirements to meet the objectives of this Plan and to address spoil management-related impacts are outlined in Table 8. These measures have been developed in line with the requirements in the EIS and Amendment Report. As a minimum, the following will be incorporated at each construction site and documented on the Environmental Controls Map in Attachment 8 of the CEMP, where applicable. The following table outlines mitigation and management measure and project site requirements.” Item 23 of the table states, “Opportunities to maximise spoil material removal by non-road methods will be investigated during detailed construction planning. This may include transportation by freight trains or cargo ships through the Parramatta River.”	Compliant	
D100	Emergency Vehicle Access The Proponent must maintain emergency vehicle access, in consultation with TfNSW, emergency services and NSW Health, to Westmead Hospital at all times throughout Stage 1 of the CSSI. Measures must be outlined in the Construction Parking and Access Strategy required under Condition D91 above.	Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	During site visits to Parramatta, Westmead and Clyde not obstruction of emergency vehicle access was observed Section 9.3.3 of the Construction Management Plan states “Relevant Emergency Services will be informed, in a timely manner of relevant activities proposed within the site specific CTMP. The initial communication to these stakeholders will be via the TTLG. Regular updates will be provided to Emergency Services representatives noting changes to the road network, changes to road conditions and worksite access location. This communication will be via emails and face to face discussions. Access to properties for emergency vehicles will be provided at all times.”	Compliant	

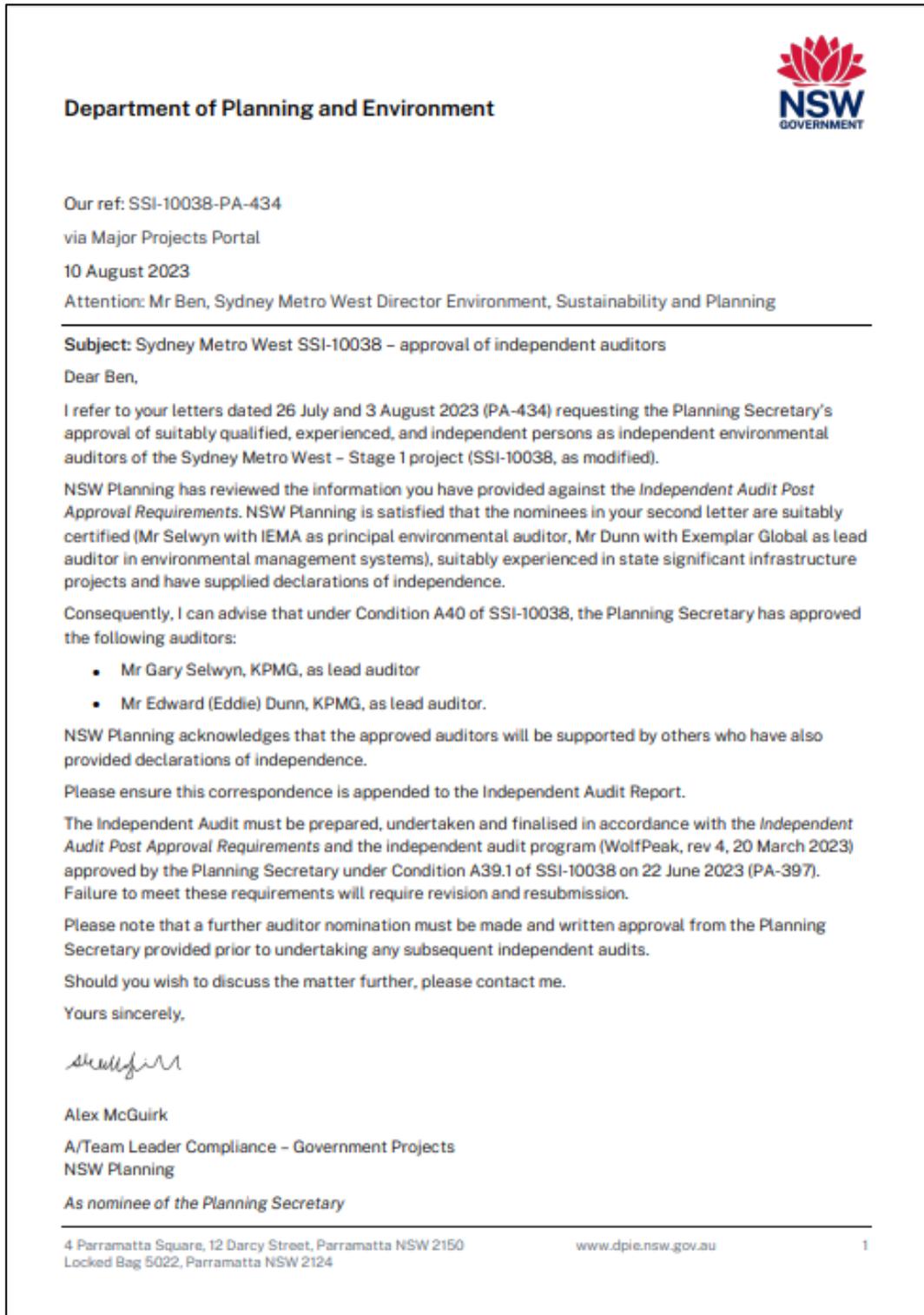
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D101	Utilities, services and other infrastructure potentially affected by construction must be identified before works affecting the item, to determine requirements for access to, diversion protection, and / or support. The relevant owner(s) and / or provider(s) of services must be consulted to make suitable arrangements for access to diversion, protection, and / or support of the affected infrastructure as required. The Proponent must ensure that disruption to any service is minimised and be responsible for advising local residents and businesses affected before any planned disruption of service.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.1 Key Personnel of the CEMP states the responsibilities of the utilities coordination manager. This includes: Manage and coordinate the utility work for the duration of the Project delivery in accordance with MCoA D102, Interact with the Environment and Sustainability Team, and Communications Team as required, Responsible for the identification of utilities, services and other infrastructure potentially affected by construction works affecting them and determine requirements for access to, diversion protection and / or support. Section 9.2.3.2 of the site establishment plan states, "Utilities, services and other infrastructure potentially affected by site establishment works will be identified before the commencement of works affecting the item, in order to determine requirements for access to, diversion protection, and / or support. The relevant owner(s) and / or provider(s) of services will be consulted to make suitable arrangements for access to diversion, protection, and / or support of the affected infrastructure as required. GLC will ensure that disruption to any service is minimised and is responsible for advising local residents and businesses affected before any planned disruption of service."	Compliant	
D102	Utility Coordination Manager A Utility Coordination Manager must be appointed for the duration of work associated with Stage 1 of the CSSI. The role of the Utility Coordination Manager must include, but not be limited to: a) the management and coordination of all utility work associated with the delivery of Stage 1 of the CSSI, to ensure respite is provided to the community; b) providing advice to the Sydney Metro Place Manager regarding upcoming utility work, including the scope of the work and the responsibility for the work; and c) Investigating complaints received from the Community Complaints Mediator or the Project communication team relating to utility work and providing a response as required.	CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Correspondence with GLC 5 October 2023	Both Sydney Metro and GLC have appointed Utilities Co-ordination Managers.	Compliant	
D103	Ancillary Facilities Wayfinding information must be incorporated on temporary hoardings to guide pedestrians around ancillary facilities and enhance their understanding and experience of the locality and space.	Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	During site visits undertaken at Parramatta, Westmead and Clyde, it was observed that wayfinding information has been incorporated on temporary hoardings to guide pedestrians around ancillary facilities and enhance their understanding and experience of the locality and space. Section 4.2 SEMP states, "The site establishment works for the Site are detailed in Table 4.1, which outlines the activities included in this SEMP, as well as activities approved under a Low Impact Works application. Installation of ancillary facilities will be undertaken in accordance with this SEMP. The SEMP will be submitted to the Environment Representative (ER) for endorsement at least one month prior to the proposed establishment activities in accordance with MCoA A19." Table 5 in section 7.1 of the Visual Amenity Management Plan was observed to include mitigation and management measures and project site requirements. Item 13 outlines that Wayfinding information will be incorporated on temporary hoardings to guide pedestrians around ancillary facilities and enhance their understanding and experience of the locality and space.	Compliant	
D104	Nothing in this approval permits advertising on any element of Stage 1 of the CSSI.	Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Table 5 in Attachment 2 of the SEMP Mitigation and Management Measures was observed to include mitigation and management measures and project site requirements that will be applied to the works completed under this SEMP. Mitigation and management measures will be included within the various work packs and also the work method statements. Site personnel will be required to undertake all works in accordance with the mitigation and management measures identified in the relevant documents."	Compliant	
D105	Temporary Activations The Proponent must undertake temporary placemaking initiatives for the benefit of the community, such as commercial "pop up" spaces, information booths, art installations, around the perimeter or in the vicinity of construction sites at Parramatta and Five Dock with the objective of temporarily enhancing visual amenity, providing gathering places in the local area and creating temporary active frontages to construction sites during Stage 1 of the CSSI.	Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.2.1 of the Visual Amenity Management Plan states "Temporary placemaking initiatives will be undertaken by Sydney Metro for the benefit of the community, such as commercial "pop up" spaces, information booths, art installations, around the perimeter or in the vicinity of the construction site at Parramatta with the objective of temporarily enhancing visual amenity, providing gathering places in the local area and creating temporary active frontages to the site during construction of the Project."	Compliant	
D109	Lighting and Security Stage 1 of the CSSI must be constructed with the objective of minimising light spill to surrounding properties including from headlights of construction vehicles. All lighting associated with the construction of Stage 1 of the CSSI must be consistent with the requirements of Australian Standard 4282-1997 Control of the obtrusive effects of outdoor lighting and relevant Australian Standards in the series AS/NZ 1158 – Lighting for Roads and Public Spaces. Additionally, mitigation measures must be provided to manage any residual night lighting impacts to protect properties adjoining or adjacent to the CSSI, in consultation with affected landowners.	Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.4 of the Visual Amenity Management Plan states, "Lighting of construction sites, including lighting on hoardings will achieve an adequate balance to control unwanted, obtrusive impacts on surrounding properties, while maintaining the ability to achieve adequate surveillance in night time periods so as to reduce incidences of crime. There are a number of medium and high-density residential properties around those construction sites that will have visibility of the lighting at and around those sites." Section 4.1 states, "GALC obligations include satisfying the requirements and complying with the provisions of the relevant legislation, guidelines, and policies, as well as international and Sydney Metro's standards."	Compliant	
D110	Visual Amenity Stage 1 of the CSSI must be constructed in a manner that minimises visual impacts of construction sites including, providing temporary landscaping and vegetative screening, minimising light spill, minimising impacts to identified significant view lines in respect of The Bays metro station construction site and incorporating architectural treatment and finishes within key elements of temporary structures that reflect the context within which the construction sites are located, wherever practicable.	Visual Amenity Sub Plan, Revision C. (Issued on 20 April 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.2.2 of the Visual Amenity Plan states "Potential opportunities for temporary landscaping, vegetative screening and architectural treatments at each site have been identified in Table 6, which may be refined in consultation with local stakeholders. A Landscaping Plan will be prepared and implemented for the renaturalisation of parts of Duck Creek and A'Becketts Creek and rehabilitation of the riparian corridor. All other Landscaping Plans will be delivered by the Stations Contractor. When the Project is handed over to the Stations Contractor, opportunities will be investigated with the relevant local council to provide plantings in proximity to the impacted areas prior to construction commencing where feasible and reasonable. Complementary landscaping using endemic species (as first preference) and locally native species will be undertaken to reduce the extent of exposed soils and sediments and improve visual amenity."	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
D111	Waste generated during construction and operation must be dealt with in accordance with the following priorities: a) waste generation must be avoided and where avoidance is not reasonably practicable, waste generation must be reduced; b) where avoiding or reducing waste is not possible, waste must be re-used, recycled, or recovered; and c) where re-using, recycling or recovering waste is not possible, waste must be treated or disposed of.	Spoil Management Plan, Revision F (Issued on 7 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Waste storage and management practices were sighted during the site visits and no non-compliances were observed. Section 7.2 of the Spoil Management Plan summarise the adoption of the NSW Waste Avoidance and Recovery Strategy for waste minimization and puts a Priority on 'Avoid and Reduce' waste strategy in line with construction planning. Section 7.4 Onsite Reuse and Retention Opportunities details potential to reuse substantial non-VENM or ENM spoil within the fill formation and utilisation of Clyde MSF's capacity to utilize 578,400 m3 of material for retention.	Compliant	
D113	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 Operations (Waste) Regulation 2014, or to any other place that can lawfully accept such waste.	Waste Management Plan, Revision C. Issued on 12 April 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 6.6.3 of the Waste Management Plan states "Facilities used for the receiving of waste will be appropriately licensed to accept the classified waste type. The Environmental Manager will review the licence of the receiving facility before any waste is transported. Refer to Attachment 2 for potential facilities and locations"	Compliant	
D114	All waste must be classified in accordance with the EPA's Waste Classification Guidelines, with appropriate records and disposal dockets retained for audit purposes.	Waste Management Plan, Revision C, Issued on 12 April 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 6.7 of the waste management plan states, "Waste and material tracking data will aim to track waste from 'cradle to grave', Waste dockets are utilised by GLC to define the quantity of waste in each solid waste stream is measured by weight and liquid waste stream by volume. A Waste Tracking Register is maintained. The information will be collated, and register maintained by the Environment Manager (or delegate). If hazardous waste is being transported offsite, the EPA's online waste tracking system will be used to track waste movements. Any transportation of asbestos waste, asbestos soils or waste tyres will be tracked using the EPA's Waste Locate system.	Compliant	
D115	Work on waterfront land must be carried out in accordance with controlled activity guidelines.	Soil and water management plan, Revision E, (Issued on 21 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.6.1 Work in Waterways of the Soil and water management plan states "All work occurring in A 'Becketts Creek and Duck Creek at Clyde MSF will be in accordance with: • 'Guide 10: Aquatic Habitats and Riparian Zones' presented in the "Biodiversity Guidelines: Protecting and managing biodiversity on RTA projects" (NSW Transport, Roads & Traffic Authority (RTA), 2011) • "Technical Guideline: Temporary stormwater drainage for road construction" (NSW Transport, Roads and Maritime, 2011)" • "Controlled Activities on Waterfront Land - Guidelines for riparian corridors on waterfront land" (Department of Primary Industries Office of Water, 2012)" Site visits to Parramatta, Westmead and Clyde observed that waterfront works were occurring within the project boundary.	Compliant	
D116	Stormwater Before undertaking any works and during maintenance or construction activities, erosion and sediment controls must be implemented and maintained to prevent water pollution consistent with LandCom's Managing Urban Stormwater series (The Blue Book).	Soil and water management plan, Revision E, (Issued on 21 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Attachment 2 of the SEMP Soils, Groundwater and surface water quality states "Soil and water management measures consistent with Managing Urban Stormwater - Soils and Construction Vols 1 and 2, 4th Edition (Landcom, 2004), including those listed in this table will be designed, installed and managed during the construction of the project to minimise soil erosion and the discharge of sediment and other pollutants to land and/or waters. Prevent soil erosion through minimising ground disturbance and sealing ground surfaces as soon as is practicable. An Erosion and Sediment Control Plan (ESCP) will be developed and implemented for all sites. The ESCPs will be updated where changes to site use, storage and conditions change. Section 5.10 Soils and surface water quality states "Potential soils and surface water quality impacts will be managed in accordance with MCoA A21, D116, REMMs SSWQ1, SSWQ2, SSWQ4, SSWQ5, SSWQ7, CEMF requirements 3.7a, 3.9a, as well as the mitigation and management measure listed in Attachment 2." Section 7.2 of the Soil and Water Management Plan states that Erosion and sediment control measures will be guided by the Erosion and Sediment Control Plan (ESCP) procedure in Attachment 3, which has been developed in accordance with the requirements of Managing Urban Stormwater: Soils and Construction Volume 1 (Landcom 2004) and Managing Urban Stormwater: Soils and Construction Volume 2A and 2D (DECC 2008) (the "Blue Book"). In accordance with the ESCP procedure (Attachment 3), an ESCP will be developed and implemented prior to the commencement of construction, at each construction site. Depending on the size and complexity of each construction site, it may be necessary to develop ESCPs for subareas. These will be developed as a Hold Point prior to the commencement of intrusive activities/ground disturbance. Where significant staging of the alignment is required to achieve the erosion and sediment control requirements, additional staging plans will be provided.	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
D117	Water Quality Stage 1 of the CSSI must be designed and constructed so as to maintain the NSW Water Quality Objectives (NSW WQO) where they are being achieved as at the date of this approval, and contribute towards achievement of the NSW WQO over time where they are not being achieved as at the date of this approval, unless an EPL in force in respect of the CSSI contains different requirements in relation to the NSW WQO, in which case those requirements must be complied with.	Soil and water management plan, Revision E, (Issued on 21 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023) EPL Monitoring Discharge Report (September 2022 - August 2023) Groundwater Management Plan, Revision B (Issued on 16 May 2022) Environmental Protection Licence for the Sydney Metro West - Western Tunnelling Package (Number: 21676) Groundwater Monitoring Program, Revision B (Issued on 14 June 2022) Surface Water Quality Monitoring Program, Revision B (Issued 24 May 2022)	Appendix B of the Soil and Water Management Plan states that in addition, the EIS did not identify any impact on GGBF habitat however any stormwater discharge requirements will need to comply with the EPL, which will be based on a Water Pollution Impact Assessment as required in CoA D119. This Water Pollution Impact Assessment is prepared in consideration of the existing water quality of the receiving waters, and guides the criteria to prevent water quality impacts. In the same manner, unless the EPL specifies otherwise, any groundwater discharge from the Water Treatment Plants needs to comply with the requirements of CoA D118, which sets a standard minimum compliance of water quality criteria which considers 95% species protection level (or 99% for bio accumulative or persistent toxicants). Detail on compliance with this requirement is described in the Groundwater Monitoring Program. Section 6.3 Temporary Water Treatment Plants states "Groundwater inflow and water from the TBMs would be collected and treated during construction of the Western Tunnelling Package (WTP) via temporary WTPs. The WTPs will be designed so that discharged water quality is compliant with the relevant discharge criteria to ensure water is of a suitable quality for discharge to the receiving environment. Water to be discharged from the water treatment plant must comply with CoA D117, D118, D119 unless the EPL specifies alternative criteria." The contractor has an EPL in force in respect to stage 1 of the CSSI which details alternative criteria and discharges from wastewater treatment plants. It is recognised that the EPL delivers the requirements of NSW <i>Protection of the Environment Operations Act 1997</i> . The Independent Audit Post Approval Requirements (DPE 2020), Section 3.3(c) states that assessment of compliance with EPLs is excluded from the scope of the IEA. As such, any EPL related documentation has not been considered in the assessment of this CoA.	Compliant	
D118	Unless an EPL is in force in respect to Stage 1 of the CSSI and that licence specifies alternative criteria, discharges from wastewater treatment plants to surface waters must not exceed: a) the Australian and New Zealand Guidelines for Fresh and Marine Water Quality 2018 (ANZG (2018)) default guideline values for toxicants at the 95 per cent species protection level; b) for physical and chemical stressors, the guideline values set out in Tables 3.3.2 and 3.3.3 of the Australian and New Zealand Guidelines for Fresh and Marine Water Quality 2000 (ANZECC/ARMCANZ); and c) for bio accumulative and persistent toxicants, the ANZG (2018) guidelines values at a minimum of 99 per cent species protection level. Where the ANZG (2018) does not provide a default guideline value for a particular pollutant, the approaches set out in the ANZG (2018) for deriving guideline values, using interim guideline values and/or using other lines of evidence such as international scientific literature or water quality guidelines from other countries, must be used.	Soil and water management plan, Revision E, (Issued on 21 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023) EPL Monitoring Discharge Report (September 2022 - August 2023) Groundwater Management Plan, Revision B (Issued on 16 May 2022) Environmental Protection Licence for the Sydney Metro West - Western Tunnelling Package (Number: 21676) Groundwater Monitoring Program, Revision B (Issued on 14 June 2022) Surface Water Quality Monitoring Program, Revision B (Issued 24 May 2022)	As stated in D117, the contractor has an EPL in force in respect to stage 1 of the CSSI which details alternative criteria and discharges from wastewater treatment plants. It is recognised that the EPL delivers the requirements of NSW <i>Protection of the Environment Operations Act 1997</i> . The Independent Audit Post Approval Requirements (DPE 2020), Section 3.3(c) states that assessment of compliance with EPLs is excluded from the scope of the IEA. As such, any EPL related documentation has not been considered in the assessment of this CoA. Self-reported Non-compliance Non-compliance number: EVT-0001686 Date of Non-compliance: 31/07/2023 Site: Phase F - Gamuda - Clyde MSF Non-Compliance type: Soil and Water Description of Non-compliance: Although an EPL is in force on the project and recycled water complied with the Point 4 discharge criteria, it was not released at the Point 4 discharge point. Therefore, the water would have to comply with D118, specifically D118(a) which references the ANZG (2018) criteria. The release of water did comply with D118(a) however at high pressure onto embankment caused sediment to be brought into solution and therefore the water that the environment received would not likely comply with ANZG (2018) turbidity criteria.	Non-Compliant	10038_IA3_23
D119	If construction stage stormwater discharges are proposed, a Water Pollution Impact Assessment will be required to inform licensing consistent with section 45 of the POEO Act. Any such assessment must be prepared in consultation with the EPA and be consistent with the National Water Quality Guidelines, with a level of detail commensurate with the potential water pollution risk.	Soil and water management plan, Revision E, (Issued on 21 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022) Interview with Contractor, Contamination and Heritage Advisors (5 September 2023) EPL Monitoring Discharge Report (September 2022 - August 2023) Groundwater Management Plan, Revision B (Issued on 16 May 2022) Environmental Protection Licence for the Sydney Metro West - Western Tunnelling Package (Number: 21676) Groundwater Monitoring Program, Revision B (Issued on 14 June 2022) Surface Water Quality Monitoring Program,	Section 6.3.5 of the Groundwater Management Plan WTP Discharge Performance Criteria states "The default guidelines for 95 per cent species protection and 99 per cent species protection for toxicants that bioaccumulate will be adopted unless other discharge criteria are identified as part of the Water Pollution Impact Assessment, required by CoA D119, or agreed with relevant authorities as part of the EPL. To date The Bays is the only site that is subject to an approved Water Pollution Impact Assessment under CoA D119. The water treatment plant discharge criteria for The Bays, as per the EPL, are included in Table 6-5." Section 6.3.5 of the Groundwater Monitoring Program states that WTP Discharge Performance Criteria states "The default guidelines for 95 per cent species protection and 99 per cent species protection for toxicants that bioaccumulate will be adopted unless other discharge criteria are identified as part of the Water Pollution Impact Assessment, required by CoA 119, or agreed with relevant authorities as part of the EPL application."	Compliant	

Unique ID	Compliance Requirement ¹	Evidence Collected	Independent Audit Findings and Recommendations	Compliance Status	Unique Identification on Non-Compliance - \$#
		Revision B (Issued 24 May 2022)			
D120	Drainage feature crossings (permanent and temporary watercourse crossings and stream diversions) and drainage swales and depressions must be carried out in accordance with relevant guidelines and designed by a suitably qualified and experienced person.	Soil and water management plan, Revision E, (Issued on 21 November 2022) CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 7.6.2 of the Soil and Water Management Plan Construction of Instream Structures states that Construction of instream structures will occur at A'Becketts and Duck Creeks at Clyde MSF. These works are considered sensitive as work will occur in live flow lines and there is a high potential for sediment impacts. The design of these structures will be completed by a competent engineer from the design team and in accordance with relevant guidance documents listed in Section 7.6.1. Progressive Erosion and Sediment Control Plans (PESCP) will be developed to detail the specific controls and methodologies that will be implemented to minimise the potential for impacts to the flow line and water quality. These plans will be developed in advance of instream structure works, to allow time to gain approvals and implement the control measures.	Compliant	
D122	The Proponent must submit a revised Groundwater Modelling Report in association with Stage 1 of the CSSI to the Planning Secretary for information before bulk excavation at the relevant construction location. The Groundwater Modelling Report must include: a) for each construction site where excavation will be undertaken, cumulative (additive) impacts from nearby developments, parallel transport projects and nearby excavation associated with the CSSI; b) predicted incidental groundwater take (dewatering) including cumulative project effects; c) potential impacts for all latter stages of the CSSI or detail and demonstrate why these later stages of the CSSI will not have lasting impacts to the groundwater system, ongoing groundwater incidental take and groundwater level drawdown effects; d) actions required after Stage 1 to minimise the risk of inflows (including in the event latter stages of the CSSI are delayed or do not progress) and a strategy for accounting for any water taken beyond the life of the operation of the CSSI; e) saltwater intrusion modelling analysis, from estuarine and saline groundwater in shale, into The Bays metro station site and other relevant metro station sites; and f) a schematic of the conceptual hydrogeological model.	Hydrogeological Interpretive Report (including Groundwater Modelling), Revision C, Issued on 25 August 2022 Groundwater Monitoring Program, Revision B, Issued on 14 June 2022 Groundwater Management Plan, Revision B, Issued on 16 May 2022 CEMP, Revision C. (Issued 20 April 2022) Site Establishment Plan, Revision D (Issued 16 June 2022)	Section 3.3.2 of the Hydrogeological Interpretive Report (including groundwater modelling) states that Groundwater Drawdown: - Groundwater drawdown's relevance to settlement assessment, contamination assessment, and impact assessment. - Acknowledgment of potential overstatement in simulated drawdown due to modelling design. - Localized and short-duration drawdown from TBM works and cross-passages, deemed non-impactful. - Provided comparisons of WTP infrastructure against conditions of approval and SMW Amendment Report. Section 9 of the Groundwater Modelling Report – Rosehill states: 9.1 - Construction and Operation Impacts: - Cumulative impacts analysis for groundwater ingress and drawdown during construction and operation. - Explanations for non-applicability of cumulative impacts due to specific site conditions. 9.2 - Construction Phase and Infrastructure Impact: - Discussion on cumulative impacts during the construction of the Rosehill Service Facility. - Expected dewatering needs during construction, considering a lack of cumulative effects. 9.3 - Long-Term Impacts: - Discussion of potential long-term impacts on groundwater due to the Rosehill Service Facility. - Prediction of groundwater inflow and drawdown, addressing Aquifer Interference Policy. 9.4 - Minimizing Water Inflows: - Measures during construction to collect, treat, and discharge groundwater inflow. - Plans for managing groundwater ingress during later stages and long-term operations. 9.5 - Saltwater Intrusion: - Explanation of the irrelevance of estuarine waters and mitigation measures for saline groundwater. 9.6 - Schematic Hydrogeological Conceptual Model: - Reference to a schematic diagram in Figure 3-1, described in Section 3.6.	Compliant	

Appendix B – Planning Secretary Audit Team Agreement



Appendix C – Consultation Records

Scoping Statement Consultation Department of Planning and Environment

DPE Consultation – Comments Review Sheet

<p>Independent audit report</p> <p>The report must be prepared consistent with the approved audit program (WolfPeak, Rev. 4, 20 March 2023; approved 22 June 2023 PA-397) having regard to the Independent Audit Post Approval Requirements (2020; independent audit PARs). Section 4 of the independent PARs, and more specifically section 4.2.3, sets out the required report content. This includes but is not limited to</p> <ul style="list-style-type: none"> • as per the approved audit program “each audit shall include a review of ALL (i.e.: Project wide) incidents, non-compliances and complaints for the audit period” meaning addressing the following for all SSI-10038 (not just Phases B and F) incidents, non-compliances and complaints for the audit period: • exception reporting of all non-compliances identified during the audit period • a summary of complaints, and the adequacy of the response to, and management of complaints • details of any incidents (including any enforcement action by any agency) and the adequacy of the response to, and management of such incidents • a brief discussion of whether the Environmental Management Plans, Sub-plans and compliance documents are adequate, implemented and whether there are any opportunities for improvement; this must include a brief discussion of the phasing report • an assessment of the compliance between actual and predicted impacts documented in environmental impact assessment; this must include identification and a brief discussion of all consistency assessments.
<p>Independent audit scoping statement (KPMG, draft, 16 August 2023):</p> <p>The current audit period should start from the date of the previous audit site inspection, being 23 September 2022 (Independent Audit No. 2 – Audit Report, WolfPeak, rev 1.0, 21/11/2022).</p>
<p>Department requested that consideration be given to inspecting the Clyde MSF site in preference to the Westmead site, given the unique heritage, soil and water, contamination, hydrology, biodiversity and air quality aspects present.</p>
<p>Sydney Metro inclusions (Table 2.4) – please update this table to include a column identifying “Relevant Condition of Approval.”</p>
<p>Risk-based scoping (Appendix A) there are:</p> <p>Conditions omitted which likely require auditing to satisfy the approved audit program, for example, A43 to A46 incident and non-compliance notification.</p>
<p>Conditions omitted which are likely to require auditing to satisfy the aspect being audited, for example, C1 for C10 CEMP and subplan implementation; C23 for C22 construction monitoring; D3 for biodiversity; D51 for Part B and noise and vibration.</p>
<p>Conditions included which are likely not relevant, for example, D52 Westmead traffic, D53 to D57 blasting.</p>
<p>Conditions which have been audited which likely do not require re-auditing, for example, D106 to D108 Five Dock east report.</p>
<p>Conditions identified as “not captured in Staging Report,” for example D18.1, D18.2 & D98.1 Rosehill footbridge, meaning that the phasing report may not satisfy A11(b).</p>
<p>Conditions which apply to both phases, for example, D10 and D12 flooding, D25 to D33 excavation and archaeology, D60 to D66 condition surveys and property damage.</p>
<p>Site-specific conditions which apply to only one phase, for example, D15 and D16 Parramatta heritage, D18.1, D18.2 and D98.1 Rosehill footbridge, D96 and D96.1 Clyde / Rosehill road works, D100 Westmead emergency vehicles.</p>

Scoping Statement Consultation Sydney Metro

Sydney Metro Consultation – Comments Review Sheet

	Review Comments Sheet
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DOCUMENT NO.	TITLE	VER	STATUS	NO.	DATE	COMPANY	RAISED BY	REVIEW DOC. NO.*	DOCUMENT REF*	DEED REF*	COMMENTS / RESPONSE	COMMENT CATEGORY*	CLOSED OUT
SMWSTWTP-SMD-1NL-PM-PRG-000002	GALC – EDS – Program Template	A.01	S1										
Independent Audit No. 3 Scoping Statement Sydney Metro West SSI 10038_Draft_Client Submission For Discussions Purposes Only					17/08/2023		P Tummers		1. Introduction, end of opening paragraph. Table 2.1 and period in Appendix A.		I'll leave it up to DPE to confirm November 2022 to August 2023 as the audit period as it is not quite the twelve (12) months as per their program approval letter.		Addressed
					17/08/2023		P Tummers		1. Introduction, last bullet point in first section.		References notices from Department of Transport NSW, should this be DPE?		Addressed
					17/08/2023		P Tummers		Table 2.1		Phase F contractor acronym is GLC (not GOL).		Addressed
					17/08/2023		P Tummers		Table 2.1		Please list the relevant functions that need to be Auditees based on the nature of the conditions included in the audit.		Addressed
					17/08/2023		P Tummers		Table 2.1 Table 2.3 Appendix A		I'll leave it up to DPE if they want Clyde site included. If not then Risk ID 55 and 56 are not relevant, and conditions D4 - D8 not relevant.		Clyde site is included therefore these conditions are relevant
					17/08/2023		P Tummers		Appendix A		N/A for auditing condition D11, this condition has been deleted (amalgamated into D10)		This has been unhighlighted in the Appendix.
					17/08/2023		P Tummers		Appendix A		Blasting conditions not triggered during audit period. Conditions D53 to D57 not relevant.		This has been amended to not subject to audit at this time. Removed from Table 2.3 and 2.4.
					17/08/2023		P Tummers		Appendix A		If D88 isn't triggered, what risk is triggering D89		This is being triggered by risk ID25 with the aspect being

DOCUMENT NO.	TITLE	VER	STATUS	NO.	DATE	COMPANY	RAISED BY	REVIEW DOC. NO.*	DOCUMENT REF*	DEED REF*	COMMENTS / RESPONSE	COMMENT CATEGORY*	CLOSED OUT
											inclusion in the audit?		the landscape character and visual amenity.
					17/08/2023		A Hendy		Appendix A		Suggest condition D12 not relevant to be audited - deliverables of condition D12 are "following the completion of construction"		Removed from Table 2.4 Unhighlighted in Appendix A.
					17/08/2023		A Hendy		Appendix A		Suggest conditions D15, D16, D18.1, D18.2, D52, D98.1, D100 are not relevant to Phase B		Has been amended to say, "audited on Phase F only". And D98.1 removed from Table 2.3
					17/08/2023		A Hendy		Appendix A		Suggest condition D23 is yet to be triggered. D23 requires "At the completion of Aboriginal cultural heritage test and salvage excavations, an Aboriginal Cultural Heritage Excavation Report(s), prepared by a suitably qualified expert, must be prepared ... The final report must be provided to Heritage NSW within 24 months of the completion of the Aboriginal archaeological excavations (both test and salvage)." Aboriginal cultural heritage test and salvage excavations are still ongoing at Parramatta		Unhighlighted in Appendix A
					17/08/2023		A Hendy		Appendix A		Suggest D29 is not triggered. D29 requires "The Final Excavation Report and Aboriginal Cultural Heritage Excavation Report must be submitted to the Planning Secretary, Heritage		This has been unhighlighted in the Appendix

DOCUMENT NO.	TITLE	VER	STATUS	NO.	DATE	COMPANY	RAISED BY	REVIEW DOC. NO.*	DOCUMENT REF*	DEED REF*	COMMENTS / RESPONSE	COMMENT CATEGORY*	CLOSED OUT
											NSW and the Relevant Council for information no later than 24 months after the completion of the archaeological excavation."		
					17/08/2023		A Hendy		Appendix A		Suggest conditions D106 to 108 are not relevant to Phase F		Conditions have been removed for Phase F

Appendix D – Site Inspection Photographs

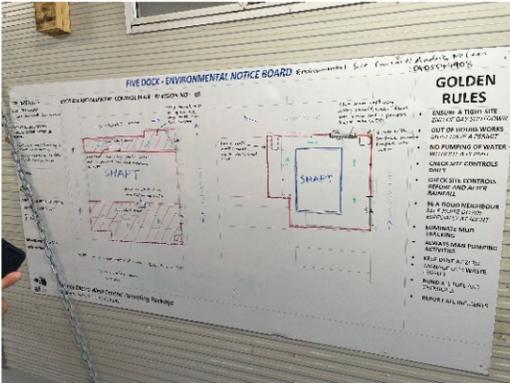
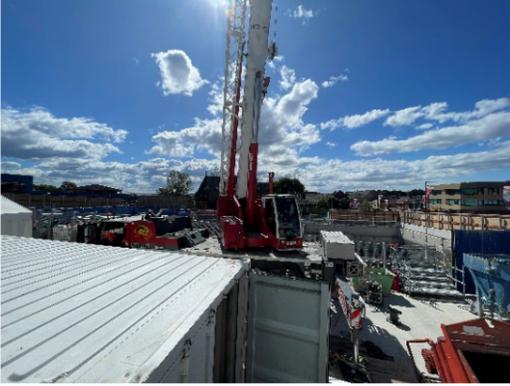
Observations from the site inspection are provided in the following table. The Auditor was escorted around the site by Project personnel who made themselves available for this purpose.

Site Inspection Details		
No.	Comment	Photograph
Site Location:		
The Bays		
Audit Period:		
10:00 AM to 11:00 AM, 1 September 2023		
The Auditees:		
John Leroklis (Sydney Metro)		
Jared Lipton (Acciona Ferrovia Joint Venture (AFJV))		
No.	Comment	Photograph
1	Emergency Response Board	
2	Grout mixing plant	

No.	Comment	Photograph
3	Site haulage trucks, including Sydney Metro-branded identification stickers	
4	Spoil storage shed	
5	Stormwater discharge point, including spill kit	

No.	Comment	Photograph
6	Dust suppression measures (Water trucks) along Port Access Rd	
7	Chemical storage shed	
8	Vehicle wheel wash station	

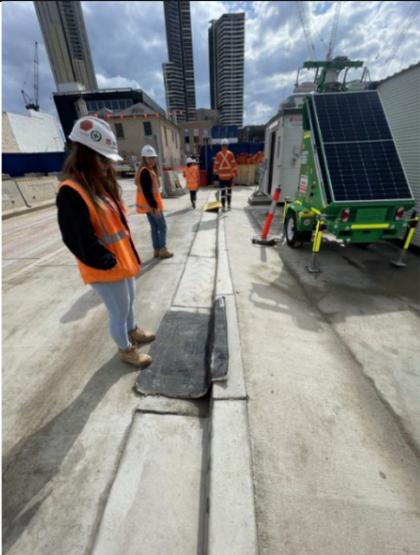
No.	Comment	Photograph
9	Tunnel boring works area, encapsulated by an acoustic shed	
10	Segments stored within the tunnel boring works acoustic shed	
11	Hardstand storage area. White Bay Power Station observed in the background	

Site Inspection Details		
Site Location:		Five Dock
Audit Period:		12:00 AM to 1:00 PM, 1 September 2023
The Auditees:		John Leroklis (Sydney Metro) Jared Lipton (Acciona Ferrovia Joint Venture (AFJV))
No.	Comment	Photograph
12	Site environmental notice board	
13	Western Shaft, looking north	

No.	Comment	Photograph
14	Western Shaft, looking into the tunnelling works area	
15	Spill kit adjacent to the Western Shaft viewpoint	
16	Great North Road, looking West during spoil haulage	

No.	Comment	Photograph
17	Heritage property (St. Anglican's Church) located directly north of the western shaft with implementation of a vibration monitor	
18	Eastern shaft, looking South-west during spoil haulage	

Site Inspection Details		
Site Location:	Parramatta	
Audit Period:	9:00 AM to 10:00 AM, 31 August 2023	
The Auditees:	Andrew Hendy and Sarah Lepre (Sydney Metro)	
	Steph Mifsud and Kellie Hunt	
No.	Comment	Photograph
19	Environment Controls Map (ECM) at Parramatta	
20	Archaeological excavation zones	
21	Bentonite Treatment Plant	
22	Dust Monitoring	

23	Bunding around the site perimeter	
24	Housekeeping and clean-up following wet weather event	
25	Stockpiling areas including PASS	
26	Offsite protection of stormwater drains	

Site Inspection Details		
Site Location:	Westmead	
Audit Period:	10:30 AM to 11:45 AM, 31 August 2023	
The Auditees:	Andrew Hendy and Sarah Lepre (Sydney Metro)	
	Steph Mifsud, Kellie Hunt, and David Windnagel (Gamuda Australia and Laing O'Rourke Joint Venture (GLC))	
No.	Comment	Photograph
27	Site hoarding in place along the Westmead site boundary	
28	Spoil haulage activities and truck movements prior to loading	
29	Dust suppression in place during loading of haulage trucks	

No.	Comment	Photograph
30	Tunnelling works occurring within 'The Box'	
31	SiteHive noise and dust monitors implemented adjacent to 'The Box'	
32	Water treatment plant (To be in operation following approval of Permit to Discharge to Stormwater)	

No.	Comment	Photograph
33	Vibration monitoring in place along the site boundary	

Site Inspection Details		
Site Location:	Clyde Maintenance and Stabling Facility	
Audit Period:	1:30 PM to 2:30 PM, 31 August 2023	
The Auditees:	Andrew Hendy and Sarah Lepre (Sydney Metro)	
	Steph Mifsud, Kellie Hunt, and David Windnagel (Gamuda Australia and Laing O'Rourke Joint Venture (GLC))	
No.	Comment	Photograph
34	Daily pre-start board, including site diagrams	
35	Spoil storage areas, and implementation of Asbestos-Containing Material (ACM) stockpile exclusion zones	
36	Environmental Protection Zone, implemented through green flagging and metal fencing along Duck Creek	

No.	Comment	Photograph
37	Mud tracking control measures, through installation of fabric mats across the site	
38	Drilling works observed during the site inspection	
39	Former service station area	

No.	Comment	Photograph
40	Soil vapor sampling locations observed on site	
41	Groundwater monitoring locations observed near the site ingress/egress point	
34	Works observed during the site inspection, adjacent to Duck Creek	

No.	Comment	Photograph
42	Offsite drain protection through installation of GuardDog drain filters	

Appendix E – Attendance Sheet: Opening and Closing Meetings

Opening meeting – Independent Audit 03		
Location	Online – Microsoft Team	
Date/Time (Opening Meeting)	30 August 2023	
Name	Organisation	Position
Gary Selwyn	KPMG	Partner / Lead Auditor
Michael Stojanoski	KPMG	Manager
John Leroklis	Sydney Metro	Environment Manager
Michael Woolley	Healthy Buildings International	Environmental Representative (ER)
Jared Lipton	AFJV	Environment Manager
Jeff Parnell	Senior Acoustics Advisor	Sydney Metro
Kellie Hunt (GLC)	GLC	Project Environment Lead
David Virtue	Sydney Metro	Senior Advisor – Contamination
Anthony Coward	Nation Partners	Contamination Advisor
Larry Clark	Acoustic Studio	Acoustics Advisor

Opening meeting – Independent Audit 03

Dave Anderson	Acoustic Studio	Acoustics Advisor
Pamela Tummers	Sydney Metro	Environment Manager
Gemma Whittick	A / Delivery Director	Sydney Metro
Andrew Hendy	Sydney Metro	Environment Manager
Sean Clarke (GHD)	Sydney Metro	Business Partner – Traffic and Transport Advisory
Greg Byrnes	Healthy Buildings International	Environmental Representative (ER)
Alicia Hatton	Sydney Metro	Communications Manager
Caroline St Clair	Sydney Metro	Communications Manager
Berin Gordon	Sydney Metro	Business Partner – Traffic and Transport Advisory
David Windnagel	GLC	Senior Environmental Advisor
Colin Davison	Sydney Metro	Heritage Advisor
Jenny Williams	Sydney Metro	Senior Communications Manager
Sarah Lepre	Sydney Metro	Environment Officer
Candice Somerville	GLC	Environmental Approvals Manager
Steph Mifsud	GLC	Planning, Environment and Sustainability Manager

Opening meeting – Independent Audit 03		
Sarah Grobler	AFJV	Environment Manager
Ben Hodgson-Armstrong	Sydney Metro	Director, Project Environment, Sustainability and Planning
Cath Snelgrove	Sydney Metro	Acting Director Environment
Matthew Marrinan	Sydney Metro	Senior Environment Manager
Ryan Butler	Sydney Metro	Environment Manager
Gary Selwyn	KPMG	Partner / Lead Auditor

Closing meeting – Independent Audit 03 – Phase B		
Location	Online – Microsoft Team	
Date/Time (Closing Meeting)	24 th October 2023	
Name	Organisation	Position
Gary Selwyn	KPMG	Partner / Lead Auditor
Michael Stojanoski	KPMG	Manager
Eddie Dunn	KPMG	Associate Director / Lead Auditor
Kae Kitzler	KPMG	Manager

Closing meeting – Independent Audit 03 – Phase B

John Leroklis	Sydney Metro	Environment Manager
Jared Lipton	AFJV	Environment Manager
Andrew Hendy	Sydney Metro	Environment Manager
Matthew Marrinan	Sydney Metro	Senior Environment Manager
Ben Hodgson-Armstrong	Sydney Metro	Director, Project Environment, Sustainability and Planning

Closing meeting – Independent Audit 03 – Phase F

Location	Online – Microsoft Team	
Date/Time (Closing Meeting)	25 th October 2023	
Name	Organisation	Position
Gary Selwyn	KPMG	Partner / Lead Auditor
Michael Stojanoski	KPMG	Manager
Eddie Dunn	KPMG	Associate Director / Lead Auditor
Kae Kitzler	KPMG	Manager
Andrew Hendy	Sydney Metro	Environment Manager

Closing meeting – Independent Audit 03 – Phase F		
Sarah Lepre	Sydney Metro	Environment Officer
Ben Hodgson-Armstrong	Sydney Metro	Director, Project Environment, Sustainability and Planning
Matthew Marrinan	Sydney Metro	Senior Environment Manager
Steph Mifsud	GLC	Planning, Environment and Sustainability Manager
Tahli Moore	GLC	Senior Environmental Advisor
David Windnagel	GLC	Senior Environmental Advisor
Alicia Hatton	Sydney Metro	Communications Manager
Jenny Williams	Sydney Metro	Senior Communications Manager
Greg Byrnes	Healthy Buildings International	Environmental Representative (ER)
Michael Woolley	Healthy Buildings International	Environmental Representative (ER)

Appendix F – Independent Audit Declaration

Independent Audit Report Declaration Form	
Project Name	Sydney Metro West – Concept and Stage 1
Consent Number	SSI-10038
Description of Project	<p>Development of the Sydney Metro West project comprising:</p> <ul style="list-style-type: none"> • new passenger rail infrastructure between Westmead and the central business district (CBD) of Sydney, including; <ul style="list-style-type: none"> ○ tunnels, stations (including surrounding areas) and associated rail facilities, and ○ stabilising and maintenance facilities (including associated underground and overground connections to tunnels), and • modification of existing rail infrastructure (including stations and surrounding areas), and • ancillary development.
Project Address	Sydney Metropolitan Area
Proponent	Sydney Metro
Title of Audit	Independent Audit No.03
Date	20/12/2023

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 Compliance Requirements (Department 2019);
- 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 DPE 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 Auditor	Gary Selwyn
Signature	



Qualification	BSc (Hons) Biological Sciences and MSc in Environmental Sciences, IEMA Principal Environmental Auditor (Certificate No 0005448)
Company	KPMG Australia

Independent Audit Report Declaration Form	
Project Name	Sydney Metro West – Concept and Stage 1
Consent Number	SSI-10038
Description of Project	<p>Development of the Sydney Metro West project comprising:</p> <ul style="list-style-type: none"> • new passenger rail infrastructure between Westmead and the central business district (CBD) of Sydney, including; <ul style="list-style-type: none"> ○ tunnels, stations (including surrounding areas) and associated rail facilities, and ○ stabilising and maintenance facilities (including associated underground and overground connections to tunnels), and • modification of existing rail infrastructure (including stations and surrounding areas), and • ancillary development.
Project Address	Sydney Metropolitan Area
Proponent	Sydney Metro
Title of Audit	Independent Audit No.03
Date	20/12/2023

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:

- ix the audit has been undertaken in accordance with relevant condition(s) of consent and the Independent Audit Compliance Requirements (Department 2019);
- x the findings of the audit are reported truthfully, accurately and completely;
- xi I have exercised due diligence and professional judgement in conducting the audit;

- xii I have acted professionally, objectively and in an unbiased manner;
- xiii 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;
- xiv 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;
- xv neither I nor my employer have provided consultancy services for the audited project that were subject to this audit except as otherwise declared to DPE prior to the audit; and
- xvi 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:

- c) 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
- d) The *Crimes Act 1900* contains other offences relating to false and misleading information: section 307B (giving false or misleading information – maximum penalty 2 years imprisonment or 200 penalty units, or both).

Name of Auditor	Eddie Dunn
Signature	
Qualification	Lead Environmental Auditor (Exemplar Global), Chartered Environmentalist (Soc Env), MEnvS, BSc (Hons)
Company	KPMG

Appendix G – Approvals and Document List

The primary documents assessed prior to and after the site visit are as follows for Phase B:

- Sydney Metro West Central Tunnelling Package Construction Environmental Management Plan, Revision 6, Issued on 23 December 2022.
- Noise and Vibration Management Plan, Revision 8, Issued on 28 July 2022.
- Noise and Vibration Monitoring Program, Revision 1, Issued 6 October 2021.
- Visual Amenity Management Plan, Revision 4, Issued on 9 November 2023.
- Heritage Management Plan, Revision 4, Issued on 29 July 2022.
- Soil and Water Management Plan, Revision 5, Issued on 8 September 2022.
- Surface Water Monitoring Program, Revision 2, Issued on 1 October 2022.
- Spoil Management Plan, Revision 6, Issued on 28 July 2022.
- Sydney Metro West Strategic Spoil Management Options Assessment, Revision 1, Issued 21 September 2018.
- Coastal beneficial reuse of Sydney Metro West excavated material - Feasibility study for Sydney Metro West (Stage 1), Issued 18 January 2021.
- Memorandum - Update on Coastal Beneficial Reuse Option, Issued 14 September 2021.
- Sydney Metro West reuse of TBM Material for Beach Nourishment Option approval request from Project Director.
- Groundwater Management Plan, Revision 4, Issued 8 September 2022.
- Groundwater Monitoring Program, Revision 2, Issued on 25 October 2021.
- Waste Management Plan, Revision 3, Issued 9 January 2023.
- Unexpected Contaminated Lands and Asbestos Finds Procedure, Revision 1, Issued on 17 June 2022.
- Flora and Fauna Management Plan, Revision 6, Issued on 12 October 2022.
- Air Quality Management Plan, Revision 3, Issued 8 August 2022.

- Sydney Metro Community Benefit Plan, Revision 5, Issued 21 December 2022.
- Five Dock Station Precinct Temporary Activation Strategy 2022-2024, Issued March 2023.
- Sydney Metro Overarching Community Communications Strategy (OCCS), Revision 7.2, Issued 3 August 2022.
- AFJV Community Communication Strategy, Issued June 2023.
- Small Business Owners Engagement Plan, Revision E, Issued 14 April 2023.
- Sydney Metro Construction Complaints Management System, Revision 2, Issued on 5 February 2022.
- Out of Hours Works Protocol, Revision 4, Issued 16 March 2022.
- Overarching Traffic Management Plan, Revision 5, Issued on 31 January 2023.
- Sydney Olympic Park Heavy Vehicle Route, Revision 2, Issued on 22 December 2021.
- East Street and Henry Street Five Dock Heavy Vehicle Route, Revision 1, Issued 9 February 2022.
- Construction Parking and Access Strategy, Revision 1, Issued on 15 December 2021.
- SSI10038 D64 nomination letter IPIAP compiled, Submitted 03 February 2022.
- DPIE approval letter regarding the "Appointment of experts", Approved 25 March 2022.
- Environmental Incident and Non-compliance Notification Report (Incident - "Damaged Valve on Pipe"), Dated 19 January 2022.
- DPIE lodgement confirmation for "follow up incident notification", Dated 21 January 2022.
- All CTP+WTP Non-Compliances_SAI360 extract report.
- Environmental Incident and Non-compliance Notification Report for all NCR within the audit period.
- DPIE lodgement confirmation email for all NCR within the audit period.
- Sydney Metro West - Complaints Register, Provided 04 October 2023.

- Sydney Metro West – Community Complaint Mediator Statement of Independence, Dated 21 March 2022.
- Sydney Metro – Mediation Services – Standing Offer Deed – Contract No. SMC-21-0232, Dated 14 December 2021.
- Salvage Report, The Pine Inn, Comber Consultants, Revision E, Issued 04 May 2022.
- Final Revised Archaeological Research Design and Excavation Methodology (ARDEM) Report to Sydney Metro, Revision 3, Issued 24 November 2021.
- DPIE Approval letter: Nomination of Excavation Directors, Issued 08 September 2021.
- SMW Central Tunnelling Package - Environment & Approvals Meeting No. 62 (including the OOHW Permit Register, Provided 04 September 2023).
- DPIE approval letter for the Community benefit Plan, Approved 12 November 2021.
- Detailed Site Investigation - Burwood Construction Site, Sydney Metro West - CTP, Revision 1, Issued 1 July 2022.
- Detailed Site Investigation - Five Dock Station Construction Site, Sydney Metro West - CTP, Revision 1, Issued 31 March 2022.
- Detailed Site Investigation - Sydney Olympic Park Construction Site, Sydney Metro West - CTP, Revision F01, Issued 18 July 2022.
- Detailed Site Investigation - Outside Station Box Construction Site, Sydney Metro West - CTP, Revision 00, Issued 27 June 2022.
- Detailed Site Investigation - Station Box Construction Site, Sydney Metro West - CTP, Revision 4, Issued 27 June 2022.
- Remedial Action Plan - The Bays Construction Site, Sydney Metro West - CTP, Revision 3, Issued 25 August 2022.
- Site Audit Report - The Bays Station Construction Site, Sydney Metro West - CTP, Revision 00, Issued 07 September 2022.
- Validation Report - The Bays Construction Site - Portion 1A, Sydney Metro West - CTP, Revision 03, Issued 02 June 2023.
- Environmental Protection Licence for the Sydney Metro West - Central Tunnelling Package (Licence Number: 21610).

- EPL Monitoring Discharge Report (September 2022 - August 2023).
- Water Pollution Impact Assessment - Construction Water Treatment Plants, Revision 02, Issued 12 August 2022.

The primary documents assessed prior to and after the site visit are as follows for Phase F:

- Sydney Metro West Western Tunnelling Package, Construction Environmental Management Plan, Revision C, Issued on 20 April 2022.
- Sydney Metro West Western Tunnelling Package, Site Establishment Plan, Revision D, Issued on 16 June 2022.
- Sydney Metro West Western Tunnelling Package, Spoil Management Plan, Revision F, Issued on 7 November 2022.
- Overarching Community Communication Strategy, Revision 3, Issued on 3 August 2022.
- Sydney Metro Construction Complaints Management System, Revision 2, Issued on 5 February 2022.
- Sydney Metro West Western Tunnelling Package, Construction Noise and Vibration Management Sub-Plan, Revision E, Issued on 6 December 2022.
- Sydney Metro West Western Tunnelling Package, Heritage Management Sub-Plan, Revision G, Issued on 10 October 2022.
- Sydney Metro West Western Tunnelling Package, Soil and Water Management Sub-Plan, Revision E, Issued on 21 November 2022.
- Sydney Metro West Western Tunnelling Package, Flora and Fauna Management Plan, Revision F, Issued on 4 October 2022.
- Sydney Metro West Western Tunnelling Package, Visual Amenity Plan, Revision C, Issued on 20 April 2022.
- Sydney Metro West Western Tunnelling Package, Community Benefits Implementation Plan, Revision C, Issued on 15 August 2022.
- Sydney Metro West Western Tunnelling Package, Small Business Owners Engagement Plan, Revision E, Issued 14 April 2023.

- Sydney Metro West Western Tunnelling Package, Construction Parking and Access Strategy, Revision C, Issued on 15 September 2022.
- Sydney Metro West Western Tunnelling Package, Hydrogeological Interpretive Report (including Groundwater Modelling), Issued on 25 August 2022.
- Sydney Metro West Western Tunnelling Package, Groundwater Modelling Report – Rosehill.
- Sydney Metro West Western Tunnelling Package, Groundwater Monitoring Program, Revision B, Issued on 14 June 2022.
- Sydney Metro West Western Tunnelling Package, Groundwater Management Plan, Revision B, Issued on 16 May 2022.
- Environmental Protection Licence for the Sydney Metro West - Western Tunnelling Package (License No. 21676, Dated 06/09/2023).
- Sydney Metro West Western Tunnelling Package, EPL Monitoring Discharge Report (September 2022 - August 2023).
- Sydney Metro West Western Tunnelling Package, Surface Water Quality Monitoring Program, Revision B, Issued 24 May 2022.
- Sydney Metro West Western Tunnelling Package, Waste Management Plan, Revision C, Issued on 12 April 2022.
- Sydney Metro West Western Tunnelling Package, Construction Traffic Management Plan, Revision C.01, Issued on 24 May 2022.
- Sydney Metro West Western Tunnelling Package, Acid Sulphate Soil Work Method Statement, Revision C, Issued on 17 May 2023.
- Geosyntec Consultants - Endorsement of Remediation Action Plan for Zone 1, Sydney Metro West Western Tunnel, Sent on 28 March 2023.
- Sydney Metro West Western Tunnelling Package, Site Audit Statement - NSW Site Auditor Scheme.
- Parramatta Station Detailed Site Investigation, Revision 0 (Issued on 13 December 2022).
- Sydney Metro West Western Tunnelling Package, Westmead Station - UPSS Validation Report, Revision B, Issued on 13 January 2023.

- Sydney Metro West Western Tunnelling Package, Westmead to The Bays and Sydney CBD Environmental Impact Statement Concept and Stage 1 Technical Paper 8 Contamination.
- Sydney Metro West Western Tunnelling Package, Clyde Zone 1 - Remediation Action Plan, Issued 15 March 2023.
- Sydney Metro West Western Tunnelling Package, Noise and Vibration Monitoring Plan Revision E, Issued 6 December 2022.
- Sydney Metro West Western Tunnelling Package, Property Condition Surveys Information Flyer.
- Sydney Metro West Western Tunnelling Package, Respite Offer – Westmead, Dated 8 February 2023.
- Sydney Metro West Western Tunnelling Package, Out of Hours Work Permit – Westmead, Dated 14 February 2023.
- Sydney Metro West Western Tunnelling Package, Out of Hours Protocol, Revision 1.3, Issued March 2022.
- Detailed Noise and Vibration Impact Statement (DNVIS) Westmead to Sydney Olympic Park, Revision 1, Issued on 20 June 2022.
- WTP Detailed Noise and Vibration Impact Statement - Westmead Tunnel Support Activities, Revision C (Issued on 24 May 2023).
- WTP Detailed Noise and Vibration Impact Statement – Parramatta Footpath Rectification Works, Revision A, 20 July 2023.
- WTP Detailed Noise and Vibration Impact Statement – Westmead CCTV Alexandra Avenue & Park Avenue, Revision B, Issued on 20 July 2023.
- WTP Detailed Noise and Vibration Impact Statement – Westmead Local Area Works, Revision B, Issued on 5 July 2023.
- WTP Detailed Noise and Vibration Impact Statement – Westmead Acoustic Shed Safety Mesh and Cladding Installation, Revision B, Issued on 26 June 2023.
- WTP Detailed Noise and Vibration Impact Statement – Parramatta WTP Discharge Line, Revision C, Issued on 26 July 2023.
- Sydney Metro West Western Tunnelling Package, Appointment of Expert Letter, Dated 17 May 2021.

- Paramatta Station Construction Site - Archaeological Research Design & Excavation Methodology, Issued 3 November 2021.
- Sydney Metro West - Western Tunnelling Package, Clyde Dive Site - Significant Heritage Fabric Salvage Report, Issued 11 July 2022.
- Sydney Metro West Western Tunnelling Package, Detailed Noise & Vibration Impact Statement – Parramatta Water Treatment Plant Discharge Line, Revision C, Issued 26 July 2023.
- Sydney Metro West Western Tunnelling Package, Request for Approval to Remove Heritage Convict Town Drain, Approved 24 May 2023.
- Sydney Metro West Western Tunnelling Package, Report WTP Complaint Register 23 September 2022 to 31 August 2023.
- Sydney Metro West Western Tunnelling Package, Statement confirming payment into the Biodiversity Conservation Fund for an offset obligation, Dated 19 July 2022.
- Sydney Metro West Western Tunnelling Package, Clyde Pre-Inspection checklists.
- DPE Letter of Approval for WTP CEMP, CEMP Sub-Plans and Monitoring Programs, Dated 11 July 2022.
- Sydney Metro Construction Complaints Management System (CCMS), Revision 2, Issued 5 Feb 2022.
- Sydney Metro West – Statement of Independence, Dated March 21, 2022.
- Sydney Metro West Western Tunnelling Package, Sydney Metro – Mediation Services – Standing Offer Deed – Contract No. SMC-21-0232, Dated 14 December 2021.
- Overarching Community Communication Strategy, Revision 3, Issued on 3 August 2022.

The evidence sighted against each Condition of Approval in scope for IA3 are detailed within Appendix A.

Appendix H – Previous Audit Recommendations

Item	CoA	Requirement	Type	Finding/Recommendation	Applicant Response	Status
10038_IA2_01	A2	Stage 1 of the CSSI must only be carried out in accordance with all procedures, commitments, preventative actions, performance criteria and mitigation measures set out in the documents listed in Condition A1 of this schedule unless otherwise specified in, or required under, this approval.	Observation	<p>Observation: The following issues were noted during the site inspection conducted during this audit: The Bays - Handling of chemicals onsite needs to be improved. There two occasions where chemicals are stored on unbunded area; and Sydney Olympic Park - General housekeeping to be implemented at the utility work area.</p> <p>Recommendation: AFJV to ensure that general housekeeping (including proper storage of chemicals is being implemented at all times.</p>	Issues were addressed immediately, and photos of rectification were sent to the auditor.	Closed
10038_IA2_02	A11	The Phasing Report must: set out how construction of the whole of Stage 1 of the CSSI will be phased, including details of work and other activities to be carried out in each phase and the general timing of when construction of each phase will commence and finish; specify the relevant conditions that apply to each phase and	Observation	<p>Observation: This condition is not yet included in the Phasing Report V1.4, May 2022.</p> <p>Recommendation: To update Phasing Report with these conditions 18.1 and 18.2.</p>	Sydney Metro to update the Phasing Report to include the conditions added to SSI 10038 through modifications. Phasing report update and transmittal through the Portal by January 2023.	Closed



Item	CoA	Requirement	Type	Finding/Recommendation	Applicant Response	Status
		<p>how compliance with conditions will be achieved across and between each of the phases of Stage 1 of the CSSI;</p> <p>set out mechanisms for managing any cumulative impacts arising from the proposed phasing; and</p> <p><u>for the purposes of informing Conditions C2, C7 and C18</u>, include an assessment of the predicted level of environmental risk and potential level of community concern posed by the construction activities required to construct each phase of Stage 1 of the CSSI.</p> <p>With respect to (d) above, the risk assessment must use an appropriate process consistent with AS/NZS</p>				

Item	CoA	Requirement	Type	Finding/Recommendation	Applicant Response	Status
		ISO 31000: 2018; Risk Management - Principles and Guidelines and must be endorsed by the ER. <u>[SSI-10038 Mod-1]</u>				
10038_IA2_03	A21	Minor Ancillary Facilities Lunch sheds, office sheds, portable toilet facilities, and the like, can be established and used where they have been assessed in the documents listed in Condition A1 of this schedule or satisfy the following criteria: are located within or adjacent to the Construction Boundary; and have been assessed by the ER to have: minimal amenity impacts to surrounding residences and businesses, after consideration of matters such as compliance with the ICNG, traffic and access impacts, dust and	Non-Compliant	Self-Reported Non-Compliance NCR-007-CoA A21- 2/6/2022 (Phase B1) - Site team had accessed and undertaken preliminary establishment activities of a property at Five Dock (Phase B1) that had been obtained under a lease agreement, prior to final approval of the Minor Ancillary Facility approval (CoA A21) from the Environmental Representative.	This non-compliance was reported to DPE and has been addressed accordingly and closed.	Closed

Item	CoA	Requirement	Type	Finding/Recommendation	Applicant Response	Status
		odor impacts, and visual (including light spill) impacts, and minimal environmental impact with respect to waste management and flooding, and no impacts on biodiversity, soil and water, and Heritage items beyond those already approved under other conditions of this approval.				
10038_IA2_04	A31	The Proponent must provide the ER with all documentation requested by the ER in order for the ER to perform their functions specified in Condition A30 of this schedule (including preparation of the ER monthly report), as well as: the Complaints Register (to be provided on a weekly basis or as requested); and a copy of	Observation	<p>Observation: Evidence provided demonstrates that the Project has been providing the ER with relevant documentation in order for the ER to perform their functions specified in Condition A30. However, the ER noted there is no visibility if the documents have been submitted to the DPE through the Portal.</p> <p>Recommendation: A process improvement on ensuring that the ER will have a visibility on the documents that they have reviewed and endorsed are submitted to DPE within the relevant required timeframe.</p>	Sydney Metro to immediately commence issuing documentation sent though the Portal to the ER to increase their visibility of this process. However, Sydney Metro would like to suggest that a more robust solution could	Closed

Item	CoA	Requirement	Type	Finding/Recommendation	Applicant Response	Status
		any assessment carried out by the Proponent of whether proposed work is consistent with the approval (which must be provided to the ER before the commencement of the subject work).			be identified within the Portal itself and will look for opportunities to discuss this in more detail with the Department.	
10038_IA2_05	A45	The Planning Secretary must be notified in writing via the Major Projects website within seven (7) days after the Proponent becomes aware of any non-compliance with the conditions of this approval.	Non-Compliant	<p>Self-Reported Non-Compliance NCR-EVT-0001455 (Phase B1) - dated 16 September 2022 was raised for delays in notification of non-compliances for Phase B1 to DPE lodge on 23 September 2022 describing the delays of notification on the following NCR:</p> <ul style="list-style-type: none"> ● NCR of 11&12 April 2022 – HVLR in place for Five Dock site exceeding the number of trucks ● NCR of 2 June 2022 – Five Dock A21 was submitted to ER but not works commenced without the approval ● NCR 12 June 2022 – North Strathfield – Tree clearing was not included in DNVIS ● NCR 24 June 2022 NCR against CTMP <p>This is now closed.</p>	This non-compliance was reported to DPE and has been addressed accordingly and closed.	Closed

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10038_IA2_06	B11	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 24 months following the completion of all phases of construction of Stage 1 of the CSSI. Up-to-date information (excluding confidential, private, commercial information or other documents as agreed to by the Planning Secretary) must be published before the relevant work commencing and maintained on the website or dedicated pages including: information on the current implementation status of Stage 1 of the CSSI;	Non-Compliant	<p>Sydney Metro website – www.sydneymetro.info/documents</p> <p>Non-Compliance:</p> <p>The navigation to each package (contractor) is made easier but not all documents required under B11 are posted on the Project website. SM submitted a letter dated 30 August 2022 requesting agreement from the Planning Secretary to exclude documentation that is required to be uploaded to the project’s website under condition B11 of SSI-10038. DPE considers in their response letter dated 27/09/2022 that confidential, private and commercial information (including personal, health and culturally sensitive details) should be redacted from reports prior to being published on the project’s website. However, this does not preclude these redacted reports from being placed on the project’s website, in accordance with condition B11. As of 12 October 2022, the ER and AA Monthly Reports, archaeological method statements, detailed site investigations, Report(s) were not yet posted on the website.</p> <p>Recommendation:</p> <p>Sydney Metro to review the website and make necessary adjustment to ensure that all documents required to be posted are on the website and that it is easier to navigate.</p>	Sydney Metro are considering the letter dated 27/09/2022 from DPE and are reviewing our approach with the contractors to identifying documentation that can be uploaded onto the Project websites. This review will consider the viability of redacting documents to make them suitable for upload in accordance with condition B11 of SSI 10038. This review will	Closed



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		<p>a copy of the documents listed in Condition A1 of this schedule, and any documentation relating to any modifications made to the CSSI or the conditions of this approval;</p> <p>a copy of this approval in its original form, a current consolidated copy of this approval (that is, including any approved modifications to its conditions), and copies of any approval granted by the Minister to a modification of the conditions of this approval, or links to the referenced documents where available;</p> <p>a copy of each statutory approval, license or permit required and obtained in relation to Stage 1 of the CSSI, or where the</p>			<p>occur by 1 March 2023.</p> <p>Following the first independent audit, modifications were made to the Sydney Metro website landing page for ease of navigation.</p>	



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		issuing agency maintains a website of approvals, licenses or permits, a link to that website; a current copy of each document required under the conditions of this approval, which must be published within one (1) week of its approval or before the commencement of any work to which they relate or before their implementation, as the case may be; and a copy of the audit reports required under this approval. Where the information / document relates to a particular work or is required to be implemented, it must be published before the commencement of the relevant work to which it relates or before its implementation. All information required in this condition is to be provided				

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		on the website or webpage, and easy to navigate.				
10038_IA2_07	D13	<p>Non-Aboriginal Heritage The Proponent must not destroy, modify or otherwise physically affect any Heritage item not identified in documents referred to in Condition A1 of this schedule. Unexpected heritage finds identified by Stage 1 of the CSSI must be managed in accordance with the Unexpected Finds Protocol outlined in Conditions D31 to D33 of this schedule. Consideration of avoidance and redesign to protect state significant unexpected finds must be addressed where this condition applies.</p> <p><i>Note: Affect in this condition means any impact above</i></p>	Non-Compliant	<p>Self-Reported Non-Compliance On Saturday 25 June 2022, a steel lintel was dislodged from the rear of 41 George Street, Parramatta during demolition (Phase C). The steel lintel has impacted with the rear wall of the adjacent property (43-47 George Street), which is listed as Local heritage significance and caused localized and repairable damage to the rear of the structure.</p>	This non-compliance was reported to DPE and has been addressed accordingly and closed.	Closed

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		"little to no impact" as defined in the Material Threshold Policy (Heritage NSW, 2020).				
10038_IA2_08	D38	<p>Out-of-hours Work Protocol – Work Not Subject to an EPL</p> <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 Conditions D35 and D36 of this schedule. The Protocol must be approved by the Planning Secretary before commencement of the out-of- hours work. The Protocol must be prepared in consultation with the ER, AA and EPA. The Protocol must provide: identification of</p>	Non-Compliant	<p>Self-Reported Non-Compliance</p> <p>NCR-003 (D38 Phase B1) – 1 March 2022 and notified to SM on 9 March 2022-incident and non-compliance (Phase B1), AFJV enviro team held a meeting with the Acoustic Advisor to review this event. Although no complaints were received for the urgent use of the vac truck. It was agreed with the Acoustic Advisor that this event be documented as an NCR as it was not consistent with the OOHW Permit</p>	This non-compliance was reported to DPE and has been addressed accordingly and closed.	Closed



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		<p>low and high-risk activities and an approval process that considers the risk of activities, proposed mitigation, management, and coordination, including where:</p> <p>the ER and AA review all proposed out-of-hours activities and confirm their risk levels;</p> <p>low risk activities can be approved by the ER in consultation with the AA;</p> <p>and high-risk activities that are approved by the Planning Secretary;</p> <p>a process for the consideration of out-of-hours works against the relevant NML and vibration criteria;</p> <p>a process for selecting and implementing mitigation measures for residual impacts in consultation with the community at</p>				



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		each affected location, including respite periods consistent with the requirements of Condition D50 of this schedule. The measures must take into account the predicted noise levels and the likely frequency and duration of the out-of-hours works that sensitive land user(s) would be exposed to, including the number of noises awakening events; procedures to facilitate the coordination of out-of-hours work including those approved by an EPL or undertaken by a third party, to ensure appropriate respite is provided; and notification arrangements for affected receivers for all approved out-of-hours works and notification to the Planning Secretary of				

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		approved low risk out-of-hours works. This condition does not apply if the requirements of Condition D37(b) of this schedule are met. <i>Note: Out-of-hours work is any work that occurs outside the construction hours identified in Condition D35 and D36 of this schedule.</i>				
10038_IA2_09	D43	Detailed Noise and Vibration Impact Statements (DNVIS) must be prepared for any work that may exceed the NMLs, vibration criteria and / or ground-borne noise levels specified in Conditions D39 and D40 of this schedule at any residence outside construction hours identified in Condition D35 of this schedule, or where receivers will be	Non-Compliant	<p>Self-Reported Non-compliance NCR-009 (Phase B1) - The tree clearing activity was not included in the Detailed Noise and Vibration Impact Statement (DNVIS) but was assessed (consistent with a DNVIS and as per agreement with the Acoustic Advisor) as part of an OOHW Permit, however this assessment was not provided to the Acoustic Advisor prior to the works commencing.</p> <p>It is noted that this issue was discussed to determine the occurrence of a non-compliance between the period of the clearing activity and the date of confirmation of the non-compliance with the Acoustic Advisor, Environmental Representative and Sydney Metro.</p>	This non-compliance was reported to DPE and has been addressed accordingly and closed.	Closed



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		highly noise affected. The DNVIS must include specific mitigation measures identified through consultation with affected sensitive land user(s) and the mitigation measures must be implemented for the duration of the works. A copy of the DNVIS must be provided to the AA and ER before the commencement of the associated works. The Planning Secretary and the EPA may request a copy(ies) of the DNVIS.		It is further noted that no complaints were received pertaining to noise or vibration impact of this work.		
10038_IA2_10	D45	Owners and occupiers of properties at risk of exceeding the screening criteria for cosmetic damage must be notified before works that generate vibration commences in the vicinity of those properties. If the potential exceedance is to occur more than once or extend	Non-Compliant	Self-Reported Non-compliance NCR-005 (Phase C) - Elevated vibration readings were observed on the vibration logger attached to a property on Church Street, Parramatta on 18/05/2022, which is directly adjacent to another property on Church Street, Parramatta which was demolished (Phase C). The elevated readings exceeded action criteria outlined in the Noise & Vibration Management Sub Plan (NVMSP). The alert system was not active at the time of the exceedance and therefore was not being managed in accordance with NVMSP.	This non-compliance was reported to DPE and has been addressed accordingly and closed.	Closed

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		over a period of 24 hours, owners and occupiers are to be provided a schedule of potential exceedances on a monthly basis for the duration of the potential exceedances, unless otherwise agreed by the owner and occupier. These properties must be identified and considered in the Noise and Vibration CEMP Sub-plan.				
10038_IA2_11	D86	Local roads proposed to be used by Heavy Vehicles to directly access construction sites that are not identified in the documents listed in Condition A1 of this schedule must be approved by the Planning Secretary and be included in the CTMPs.	Non-Compliant	<p>Self-Reported Non-compliance NCR004 (Phase B1) - CoA D86 & D87 – using local road for heavy vehicle access on 11&12 April 2022</p> <p>NCR-008 – D86 – 22/06/22 - A temporary driveway has been installed to facilitate worksite entry from Great North Rd.</p> <p>The Driveway is narrow and cannot be widened. As described within the approved CTMP, trucks are to head Northbound on Great North Rd then enter the driveway via a left-hand turn. However, due to the driveway being narrow a truck is unable to easily utilize a turn left into the driveway and was instead having to drive past the driveway and reverse in. This had the</p>	This non-compliance was reported to DPE and have been addressed accordingly and closed.	Closed

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				<p>potential to hold up non-construction traffic also utilizing this road, and a reversing maneuver is more undesirable from a safety perspective. It was determined that driving Southbound on Great North Road and turning right into the driveway would allow a sufficient swept path area to perform the maneuver in a forward direction, thus eliminate the need for reversing and increase the safety to the public.</p> <p>A decision was made from a safety perspective to immediately implement the Southbound right turn once this issue was identified, without the required CTMPs being updated to reflect this adaptation.</p>		
10038_IA2_12	D116	<p>Stormwater Before undertaking any works and during maintenance or construction activities, erosion and sediment controls must be implemented and maintained to prevent water pollution consistent with Landcom Managing Urban Stormwater series (The Blue Book).</p>	Observation	<p>Observation There were few observations on erosion and sedimentation control raised during this audit at the following CTP Sites:</p> <p>Burwood:</p> <ul style="list-style-type: none"> • sweeping of the hardstand and additional check-dams to be put prior to the sump. • sediment laden water to be flocked prior to discharging onto the pit. Only stormwater is being collected in this pit and discharge pit was covered with geofabric. 	Issues were addressed immediately, and photos of rectification were sent to the auditor.	Closed

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				Sydney Olympic Park: <ul style="list-style-type: none"> • Erosion and Sediment controls to be installed to divert the clean water entering the site or clean water diversion to be implemented at this northern perimeter near Herb Elliot Avenue access. <p>Recommendation: AFJV to ensure that erosion and sedimentation controls are always implemented as per the ERSED plan.</p>		