



INDEPENDENT AUDIT NO. 1 – AUDIT REPORT

SYDNEY METRO WEST
SSI 10038

APRIL 2022

Authorisation

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EXECUTIVE SUMMARY

Sydney Metro is responsible for delivery of the Sydney Metro West Project, which involves construction and operation of a new 24-kilometre metro line that will connect Greater Parramatta with the Sydney CBD. Confirmed stations include Westmead, Parramatta, Sydney Olympic Park, North Strathfield, Burwood North, Five Dock, The Bays and Sydney CBD. The planning approvals and environmental impact assessment for Sydney Metro West have been staged in recognition of the size of the project.

Approval for the Concept and Stage 1 works was granted in State Significant Infrastructure (SSI) 10038 by the Minister for Planning and Public Spaces on 11 March 2021, subject to a number of conditions. The Stage 1 works involve major civil construction work between Westmead and The Bays, including:

- Enabling works such as demolition, utility supply to construction sites, utility adjustments and modifications to the existing transport network;
- Tunnel excavation including tunnel support activities;
- Station excavation for new metro stations at Westmead, Parramatta, Sydney Olympic Park, North Strathfield, Burwood North, Five Dock and The Bays;
- Shaft excavation for services facilities at Rosehill (within the Clyde stabling and maintenance facility construction site), and at Silverwater
- Civil work for the stabling and maintenance facility at Clyde including earthworks and structures for crossings of A'Becketts Creek and Duck Creek;
- A concrete segment facility for use during construction located at the Clyde stabling and maintenance facility construction site; and
- Excavation of a tunnel dive structure and associated tunnels at Rosehill to support a connection between the Clyde stabling and maintenance facility and the mainline metro tunnels.

Construction of the Project is being staged in line with the approved Phasing Report: *Sydney Metro West Stage 1 – Phasing Report*, Revision 1.2, 1 October 2021. This involves the following phases of works:

- Phase A - Power Enabling Works
- Phase B1 - Central Tunnelling Early Works
- Phase B2 - Central Tunnelling Main Works
- Phase C1 – Parramatta, Westmead and Clyde Demolition Works
- Phase C2 – Parramatta and Clyde Archaeological Works
- Phase E – Existing Rail Corridor Enabling Works
- Phase F – Western Tunnelling

Construction commenced on 13 July 2021. Works completed during the current audit period included:

- Power supply works at Rozelle (Phase A);

- Demolition works at Westmead, Parramatta and Clyde (Phase C1); and
- Site establishment works for the Central Tunnelling Package Early Works (Phase B), predominately at The Bays worksite.

At the time of the Independent Audit, works on Phase B2, Phase C2, Phase E, and Phase F had yet to commence.

Conditions A39 – A42 of Schedule 3 of SSI 10038 set out the requirements for undertaking Independent Audits. The conditions give effect to the Department of Planning and Environment (the Department) 2020 document entitled *Independent Audit Guideline Post Approval Requirements* (IAPAR). The IAPAR sets out the scope, methodology and reporting requirements for the Independent Audit.

The objective of this Independent Audit is to satisfy SSI 10038 Schedule 3, condition A39, which states:

Independent Audits of Stage 1 of the CSSI must be conducted and carried out in accordance with the Independent Audit Post Approval Requirements (DPIE, 2020).

This Independent Audit sought to verify compliance with the relevant conditions and assess the effectiveness of environmental management on the Project using the scope, methodology and reporting requirements from the IAPAR.

This Audit Report presents the findings from the first Independent Audit for construction, covering the period from the granting of consent on 11 March 2021 to February 2022 (the 'audit period').

The overall outcome of the Independent Audit was very positive. Compliance records were organised and available at the time of the site inspection and interviews with Project personnel from Sydney Metro and its contractors.

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

In summary:

- There were 220 conditions assessed.
- Ten (10) non-compliances were identified against the conditions. These related to notification of incidents and non-compliances, flood mitigation, archaeological investigation work, heritage monitoring, out of hours works, traffic management documentation, and waste classification and disposal.
- Three (3) observations were identified in relation to the conditions. These related to Acoustic Advisor reporting processes, notification of commencement of works and Project website accessibility.

It is worth noting that there were in effect three audits (covering Phase A, B and C works) combined into this audit report, which was a significant undertaking for all involved. The relatively small number of findings – mainly administrative with negligible or low environmental / community impact - spread over all of these works is a testament to the strong compliance focus of the auditees.

Quickway's power supply works at Rozelle, many of which were undertaken out of hours, might have been expected to generate more community complaints than were actually received. This

reflects well on Quickway and the Sydney Metro teams' management of these works and community consultation efforts.

Likewise the Delta demolition works in the Parramatta Central area have generated fewer complaints that might have been expected. This also reflects well on Delta and the Sydney Metro teams' management of these works and community consultation efforts. It also reflects the use of innovative technology vis a vis the hydraulic shears that are being used wherever possible to demolish concrete structures, in place of rock hammers, thus reducing noise and vibration impacts.

Detailed findings are presented in Section 3, along with actions proposed or undertaken by the Project team to address the findings.

The Auditor would like to thank the auditees representing Sydney Metro, Quickway, Acciona Ferrovial Joint Venture, Acoustic Advisor, Environmental Representative and Delta, for their high level of organisation, cooperation, openness and assistance during the Independent Audit.

1. INTRODUCTION

1.1 Project overview

Sydney Metro is responsible for delivery of the Sydney Metro West Project, which involves construction and operation of a new 24-kilometre metro line that would connect Greater Parramatta with the Sydney CBD. Confirmed stations include Westmead, Parramatta, Sydney Olympic Park, North Strathfield, Burwood North, Five Dock, The Bays and Sydney CBD. The planning approvals and environmental impact assessment for Sydney Metro West have been staged in recognition of the size of the project.

This includes the Sydney Metro West Concept and the following stages (as depicted in Figure 1, below):

- Stage 1 – All major civil construction works including station excavation and tunnelling between Westmead and The Bays
- Stage 2 – All major civil construction works including station excavation and tunnelling between The Bays to Sydney CBD
- Stage 3 – Tunnel fit-out, station building and operation of the line between Westmead to Sydney CBD.

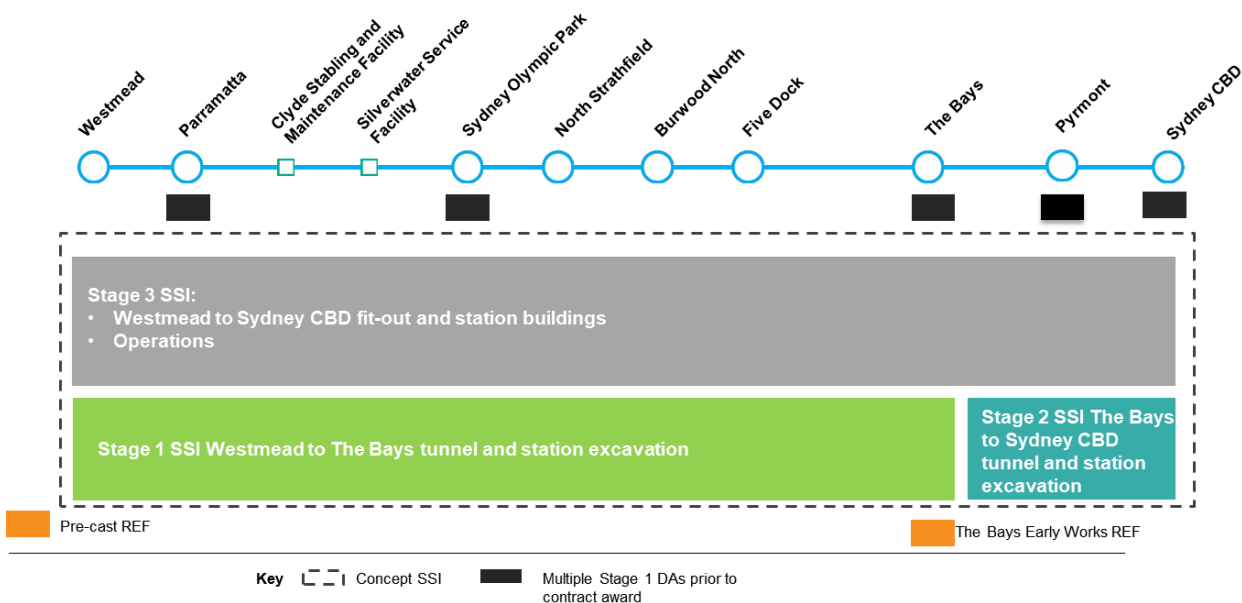


Figure 1: Sydney Metro West Planning Approval Strategy (source: Project Staging Report, rev 1.2)

Approval for the Concept and Stage 1 works (the Project) was granted in State Significant Infrastructure (SSI) 10038 by the Minister for Planning and Public Spaces on 11 March 2021, subject to a number of conditions. The Stage 1 works involve major civil construction work between Westmead and The Bays, including:

- Enabling works such as demolition, utility supply to construction sites, utility adjustments and modifications to the existing transport network;

- Tunnel excavation including tunnel support activities;
- Station excavation for new metro stations at Westmead, Parramatta, Sydney Olympic Park, North Strathfield, Burwood North, Five Dock and The Bays;
- Shaft excavation for services facility at Rosehill (within the Clyde stabling and maintenance facility construction site),
- Civil work for the stabling and maintenance facility at Clyde including earthworks and structures for crossings of A'Becketts Creek and Duck Creek; and
- Excavation of a tunnel dive structure and associated tunnels at Rosehill to support a connection between the Clyde stabling and maintenance facility and the mainline metro tunnels.

The location of the Sydney Metro West line in the context of the broader Sydney Metro network is shown in Figure 2. An overview of the Sydney Metro West Project and is shown in Figure 3.

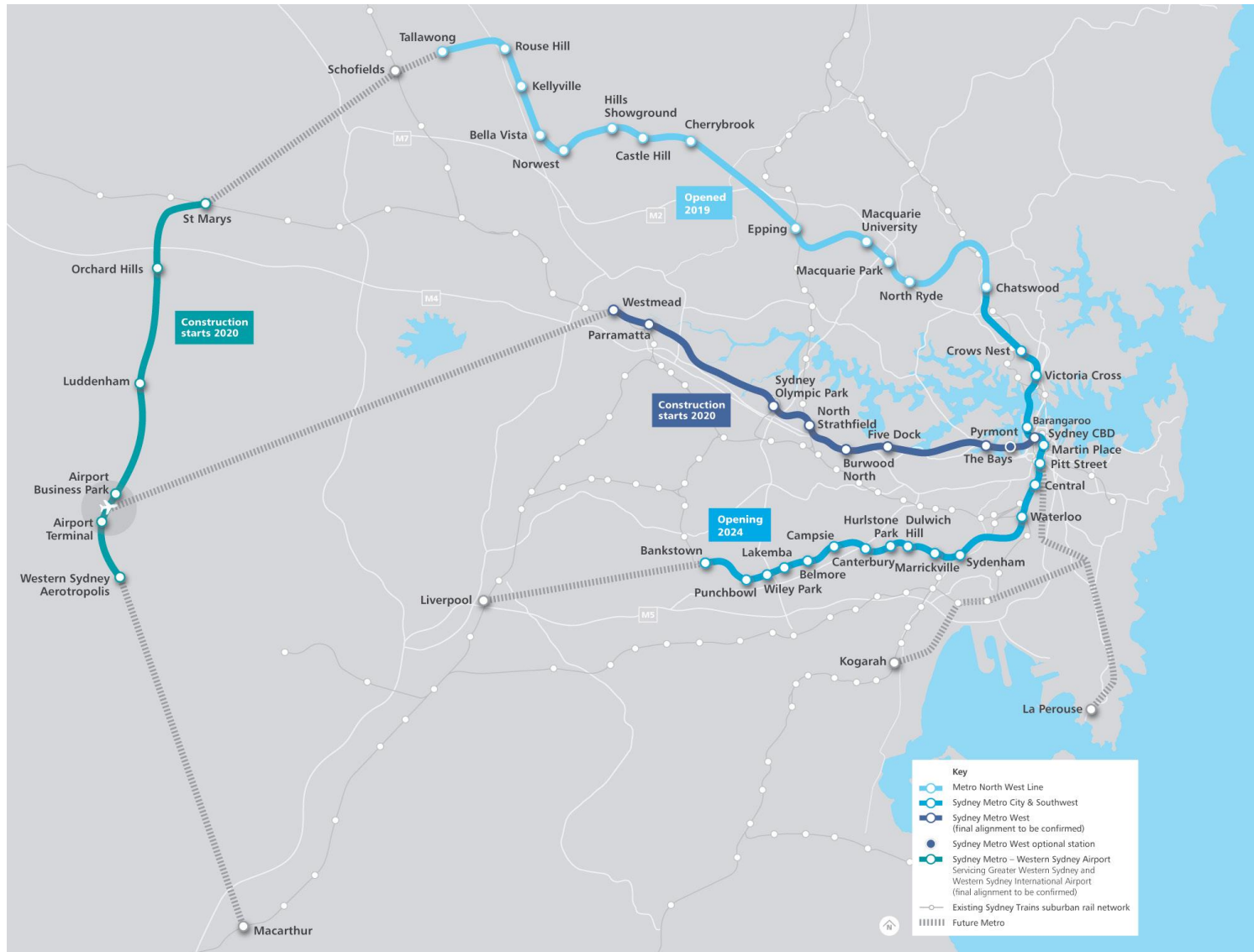


Figure 2: The Sydney Metro network (source: Project RtS)

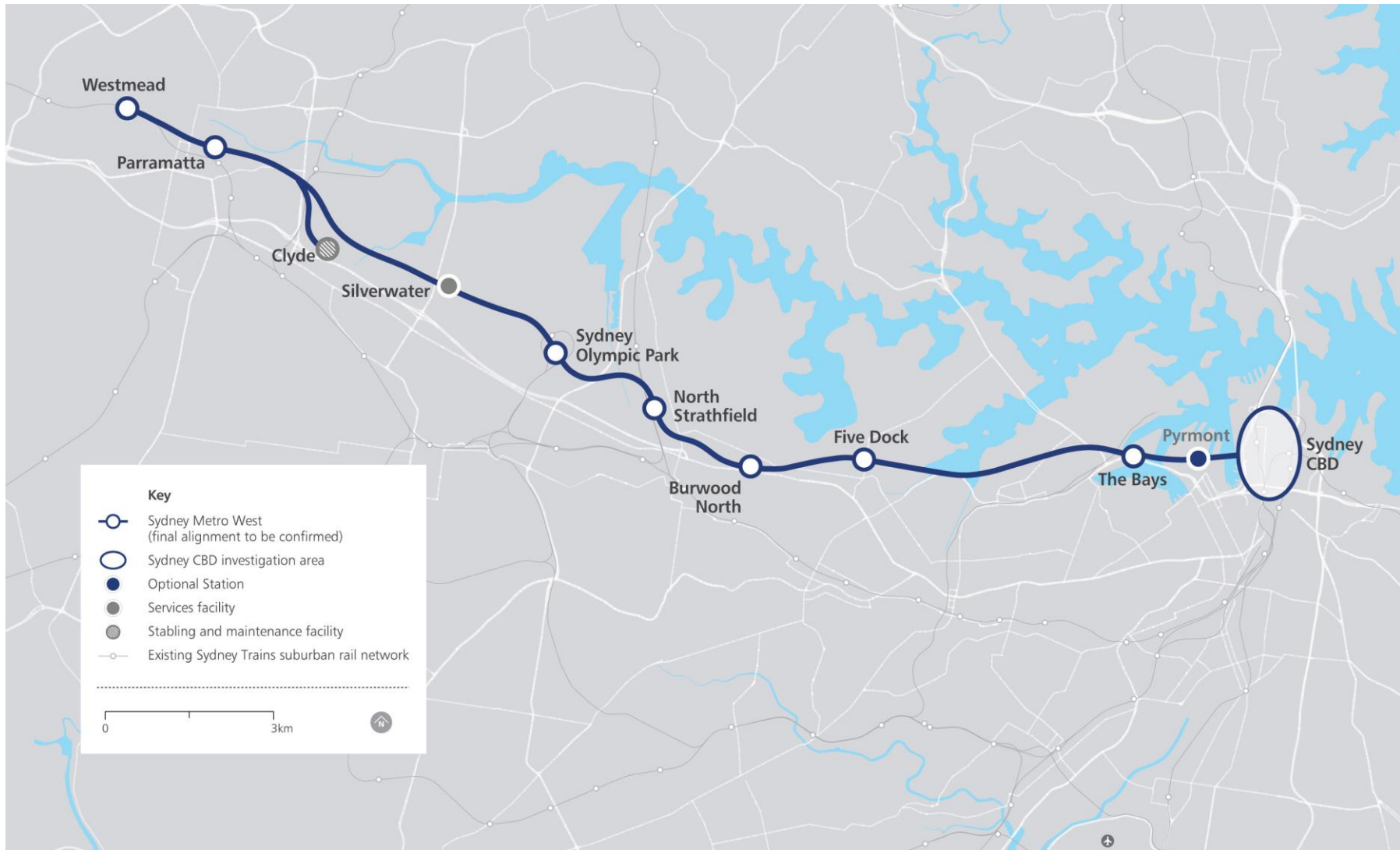


Figure 3: Sydney Metro West overview (source: Project RtS)

A Phasing Report has been prepared and approved for the Project: *Sydney Metro West Stage 1 – Phasing Report*, Revision 1.2, 1 October 2021. In line with this report, construction of the Project is currently being staged as per the phases set out in Table 1, below. A description of the scope of works involved in delivery each phase is included in the Phasing Report.

Table 1: Overall Planning Approval and Delivery Strategy for Sydney Metro West Stage 1, SSI-10038 (source: Project Staging Report, rev 1.2)

Phased Delivery	Indicative Construction Commencement Date	Completion Date	Delivery Contractor
Phase A - Power Enabling Works	May 2021	Mar 2022	Quickway
Phase B1 - Central Tunnelling Early Works	Dec 2021	Jan 2025	Acciona Ferrovia Joint Venture (AFJV)
Phase B2 - Central Tunnelling Main Works	Jul 2022	Jan 2025	
Phase C1 – Parramatta, Westmead and Clyde Demolition Works	Oct 2021	Oct 2022	Delta Group (Delta)
Phase C2 – Parramatta and Clyde Archaeological Works	Jan 2022	Oct 2022	Delta Group (Delta)
Phase D – Greater Sydney Road Works	This Phase is removed		
Phase E – Existing Rail Corridor Enabling Works	Low Impact Works Commence October 2021	March 2023	TBC
Phase F – Western Tunnelling	April 2022	Aug 2025	TBC

Construction commenced on 13 July 2021. Works completed during the current audit period included:

- Power supply works at Rozelle (Phase A);
- Demolition works at Westmead, Parramatta and Clyde (Phase C1); and
- Site establishment works for the Central Tunnelling Package Early Works (Phase B1), predominately at The Bays worksite.

At the time of the Independent Audit, construction works on Phase B2, Phase C2, Phase E, and Phase F had yet to commence.

1.2 Approval requirements

Conditions A39 – A42 of Schedule 3 of SSI 10038 set out the requirements for undertaking Independent Audits. The conditions give effect to the Department of Planning and Environment (the Department) 2020 document entitled *Independent Audit Guideline Post Approval Requirements* (IAPAR).

An extension of time was requested by Sydney Metro under condition A9 for the postponement of the initial Independent Audit, advising that this audit would be conducted in February 2022. This request was approved by the Planning Secretary on 20 January 2022.

1.3 The audit team

In accordance with Schedule 3, condition A40 of SSI 10038, and Section 3.1 of the IAPAR, Independent Auditors must be suitably qualified, experienced, and independent of the Project, and appointed by the Planning Secretary.

The Audit Team comprises:

- Steve Fermio (Auditor Lead): Bachelor of Science (Hons), Exemplar Global Certified Principal Environmental Auditor (Certificate No 110498)
- Ann Azzopardi (Auditor): Bachelor of Science (Hons), Exemplar Global Certified Lead Environmental Auditor (Certificate No 208582)
- Derek Low (Auditor): Master of Environmental Engineering Management, Exemplar Global Certified Principal Environmental Auditor (Certificate No 114283)

Approval of the Audit Team was provided by the Department on 20 January 2022. The approval is presented in Appendix B.

1.4 The audit objectives

The objective of this Independent Audit is to satisfy SSI 10038 Schedule 3, condition A39, which states:

Independent Audits of Stage 1 of the CSSI must be conducted and carried out in accordance with the *Independent Audit Post Approval Requirements* (DPIE, 2020).

The IAPAR sets out the scope, methodology and reporting requirements for Independent Audit.

This Independent Audit seeks to fulfil the requirements of condition A39, to verify compliance with the relevant conditions, and assess the effectiveness of environmental management on the Project using the scope, methodology and reporting requirements from the IAPAR.

1.5 Audit scope

This Audit Report relates to the first Independent Audit on the Project covering the period from the granting of consent on 11 March 2021 to February 2022 (the 'audit period').

The scope of the Independent Audit comprises:

- An assessment of compliance with:
 - All conditions of consent applicable to the phase of the development that is being audited
 - 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*.
- A review of the environmental performance of the development, including but not necessarily limited to, an assessment of:
 - Actual impacts compared to predicted impacts documented in the environmental impact assessment
 - The physical extent of the development in comparison with the approved boundary
 - 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 (nil in this case as this is the first Independent Audit)
- A high-level assessment of whether Environmental Management Plans and Sub-plans are adequate; and
- Any other matters considered relevant by the auditor or the Department, taking into account relevant regulatory requirements and legislation, knowledge of the development's past performance and comparison to industry best practices.

2. AUDIT METHODOLOGY

2.1 Audit process

The Independent Audit was conducted in a manner consistent with AS/NZS ISO 19011.2019 – Guidelines for Auditing Management Systems and the methodology set out in the Department’s IAPAR. An overview of the audit activities, as specified in AS/NZS ISO 19011, is presented in Figure 4.

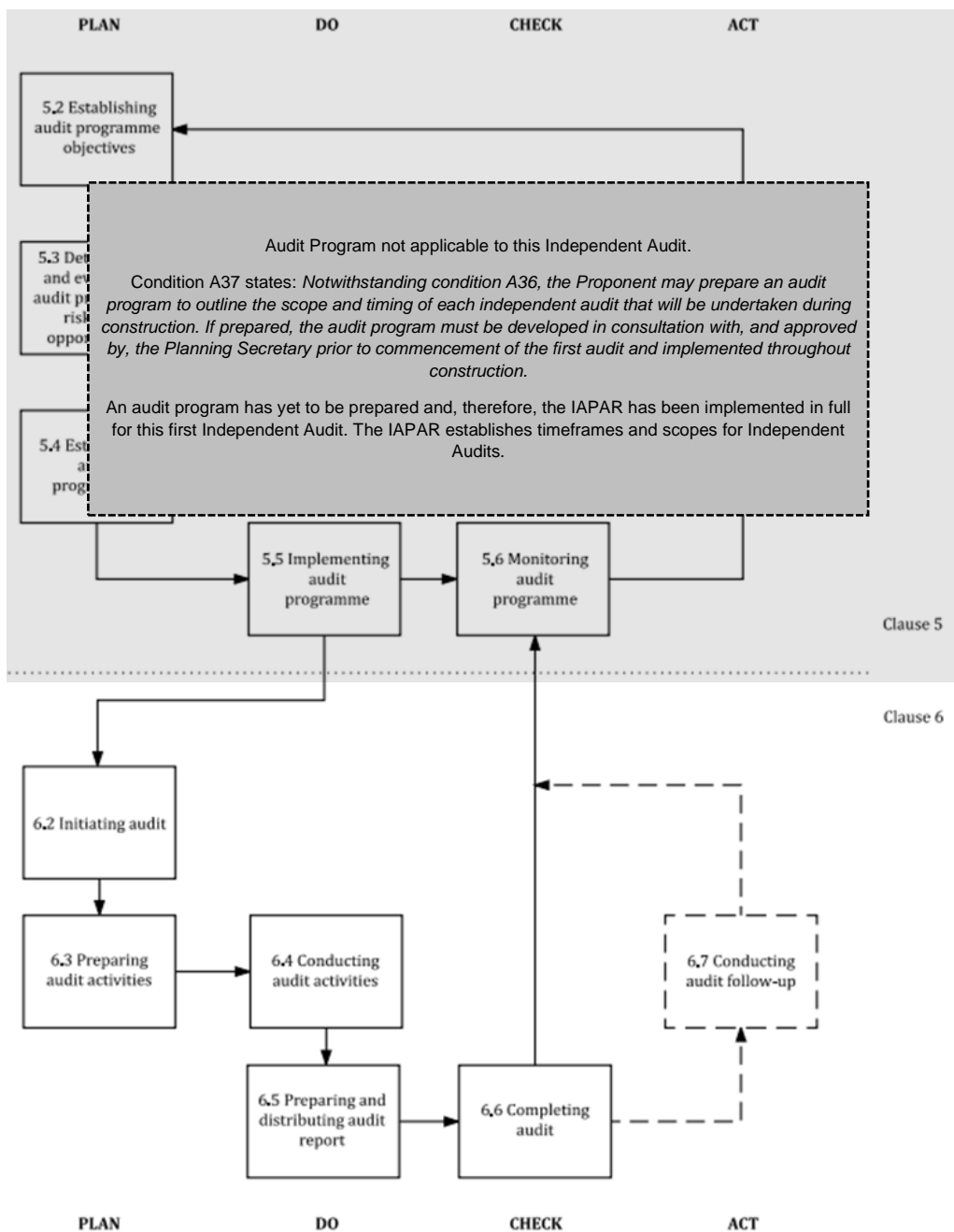


Figure 4: Audit activities overview (modified from AS/NZS ISO 19011). Subclause numbering refers to the relevant subclauses in the Standard.

2.2 Audit process detail

2.2.1 Audit initiation and scope development

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

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

WolfPeak consulted with the Department to obtain their input into the scope of the Independent Audit in accordance with Section 3.2 of the IAPAR. The consultation records are presented in Appendix C. A summary of the key issues and areas of focus raised by the stakeholders is presented in Table 2.

Table 2: Key issues and areas of focus raised during consultation

Stakeholder	Issue and Focus	How Addressed
Department of Planning and Environment	<p>The Department 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 IAPAR. The Department requested that the Independent Audit gives particular consideration to the following</p> <ul style="list-style-type: none"> • All conditions applicable to the concept and the current Stage 1 phases are audited, noting the phased construction • The environmental performance of the development is assessed, including but not limited to actual versus predicted impacts • A high-level assessment of the environmental management plans/sub-plans is included • Matters considered relevant to this audit: <ul style="list-style-type: none"> ○ Communication of compliance obligations to works contractors, including endorsements/approvals required prior to commencement ○ Provision of required information on the project website and whether that information is “easy to navigate” (refer condition B11) ○ Ongoing consultation with affected community regarding specific noise mitigation measures, including respite periods (refer for example conditions D51, D43) ○ Reporting to the Department as per the Environmental Representative Protocol (October 2018) ○ Notification of incidents and non-compliances to the Department. 	<p>The Independent Audit was conducted in accordance with the IAPAR.</p> <p>Consideration was given to those items requested by the Department through assessment of compliance with all relevant conditions. Refer to Section 3.2 and Appendix A.</p>

2.2.2 Preparing audit activities

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

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

- *Sydney Metro West Environmental Impact Statement – Westmead to The Bays and Sydney CBD*, 15 April 2020 (the EIS)
- *Sydney Metro West Westmead to The Bays and Sydney CBD – Submissions Report Concept and Stage 1*, (no date) 2020 (the RtS)
- *Infrastructure Approval SSI 10038, Sydney Metro West – Concept and Stage 1*, 11 March 2021 (MOD 1 July 2021)
- *Sydney Metro West Stage 1 – Phasing Report*, Revision 1.2, 1 October 2021 (the Phasing Report)
- *Sydney Metro West Power Enabling Works Construction Environmental Management Plan*, Quickway, Revision 1.0, 2 November 2021 (Phase A (Quickway) CEMP)
- *Sydney Metro West Central Tunnelling Package Construction Environmental Management Plan*, AFJV, Revision 03, 9 November 2021 (Phase B (AFJV) CEMP)
- *Sydney Metro West Demolition Works Construction Environmental Management Plan*, Delta, Revision 6, 22 December 2021 (Phase C (Delta) CEMP)
- *Sydney Metro West Overarching Community Communications Strategy*, Revision 2.2, 7 April 2021

Additional documents sighted are identified in Appendix A.

2.2.3 Site personnel involvement

The Independent Audit was conducted both on-site and through a series of online sessions. The on-site activities took place on 28 February 2022, with online document review and interviews conducted across three meetings between 1 March 2022 and 8 March 2022.

The following personnel took part in the audit:

- Matthew Marrinan, Senior Environment Manager, Sydney Metro
- Pamela Tummers, Environmental & Sustainability Manager, Sydney Metro
- John Ieroklis, Environment Manager, Sydney Metro
- Caroline St Clair, Communications Manager, Sydney Metro
- Anne Patawaran, Communications Manager, Sydney Metro
- Jo Robertson, Environment Representative, Healthy Buildings International
- Michael Woolley, Environment Representative, Healthy Buildings International
- Greg Byrnes, Environment Representative, Healthy Buildings International
- Dave Anderson, Acoustic Advisor, Acoustic Studio
- Larry Clark, Acoustic Advisor, Acoustic Studio

- Joshua Maltese, Senior Project Engineer, Quickway
- Tom St Vincent Welch, Environment Manager, Quickway
- Daniel Mutkins, Environment Officer, Quickway
- Erran Woodward, Environment Manager, AFJV
- Colm Kennedy, Environment Advisor, AFJV
- Angus Lumsden, Project Manager, Delta
- Brendan Jolliffe, National QSE Manager, Delta
- Wayne Duffy, Environment Manager, Delta
- Tim Hawkins, Project Engineer, Delta
- Steve Fermio, Principal Auditor, WolfPeak
- Ann Azzopardi, Lead Auditor, WolfPeak

2.2.4 Meetings

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

During the opening meeting, held on site on 28 February 2022, the objectives and scope of the Independent Audit, the resources required and methodology to be applied were discussed.

At the closing meeting, held on 8 April 2022, preliminary audit findings were presented, preliminary recommendations (as appropriate) were made, timing for finalisation of the audit report and any post-audit actions were confirmed.

2.2.5 Interviews

The Auditor conducted interviews during the site inspection with key personnel involved in Project delivery, including those with responsibility for environmental management, to assist with verifying the compliance status of the development. All other communication was conducted remotely, which included detailed request for information and auditee responses to the request. Interviews were conducted across three meetings between 1 March 2022 and 8 March 2022.

2.2.6 Site inspection

The on-site audit activities took place on 28 February 2022. The on-site audit activities included an inspection of active work sites and work activities being carried out for Phases A, B and C. Photos are presented in Appendix D.

2.2.7 Document review

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

2.2.8 Generating audit findings

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

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

2.2.9 Compliance evaluation

The Auditor determined the compliance status of each compliance requirement in the Audit Table, using the descriptors from Table 2 of the IAPAR, as listed in Table 3, below:

Table 3: Compliance descriptors from Table 2 of the IAPAR

Status	Description
Compliant	The Auditor has collected sufficient verifiable evidence to demonstrate that all elements of the requirement have been complied with within the scope of the audit.
Non-compliant	The Auditor has determined that one or more specific elements of the conditions or requirements have not been complied with within the scope of the audit.
Not Triggered	A requirement has an activation or timing trigger that has not been met at the time when the audit is undertaken, therefore an assessment of compliance is not relevant.

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

2.2.10 Evaluation of post audit approval documentation

The Auditor assessed whether post approval documents:

- Have been developed in accordance with the conditions and all other environmental licences and approvals applicable to the Project (if any) and their content is adequate.
- Have been implemented in accordance with the conditions and all other environmental licences and approvals applicable to the Project (if any).

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

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

2.2.11 Completing the audit

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

3. AUDIT FINDINGS

3.1 Approvals and documents audited, and evidence sighted

The documents audited comprised all the conditions from Schedule 2 and Schedule 3 of SSI 10038 applicable to the works being undertaken. The evidence sighted against each requirement is detailed within Appendix A.

3.2 Non-compliance, Observations and Actions

This section, including Table 4, presents the non-compliance and observations from the Independent Audit. Actions in response to each of the findings are also presented. Detailed findings against each requirement are presented in Appendix A.

In summary:

- There were 220 conditions assessed.
- Ten (10) non-compliances were identified against the conditions. These related to notification of incidents and non-compliances, flood mitigation, archaeological investigation work, heritage monitoring, out of hours works, traffic management documentation, and waste classification and disposal.
- Three (3) observations were identified in relation to the conditions. These related to AA reporting processes, notification of commencement of works and Project website accessibility.

Table 4: Findings from the first Independent Audit (March 2022)

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Status
Findings from the first Independent Audit						
SSI 10038 Conditions of Approval						
11038_IA1_01	A36	Observation	<p>Requirement: <i>The approved AA must:</i></p> <ul style="list-style-type: none"> a) <i>receive and respond to communication from the Planning Secretary in relation to the performance of Stage 1 of the CSSI in relation to noise and vibration;</i> b) <i>consider and inform the Planning Secretary on matters specified in the conditions of this approval relating to noise and vibration;</i> c) <i>consider and recommend, to the Proponent, improvements that may be made to avoid or minimise adverse noise and vibration impacts;</i> d) <i>review all proposed night-time works (with the exception of low risk activities) to determine if sleep disturbance would occur and recommend measures to avoid sleep disturbance or appropriate additional alternative mitigation measures;</i> e) <i>review all noise and vibration documents required to be prepared under the conditions of this approval and, should they be consistent with the conditions of this approval, endorse them before submission to the Planning Secretary (if required to be submitted to the Planning Secretary) or before implementation (if not required to be submitted to the Planning Secretary);</i> f) <i>regularly monitor the implementation of all noise and vibration documents required to be prepared under the conditions of this approval to ensure implementation is in accordance with what is stated in the document and the conditions of this approval;</i> g) <i>review the Proponent's notification of incidents in accordance with Condition A43 of this schedule;</i> h) <i>in conjunction with the ER (where required), the AA must:</i> <ul style="list-style-type: none"> I. <i>as may be requested by the Planning Secretary or Community Complaints Mediator (required by Condition B8 of this schedule), help plan, attend or undertake audits of noise and vibration management of Stage 1 of the CSSI including briefings, and site visits,</i> II. <i>in the event that conflict arises between the Proponent and the community in relation to the noise and vibration performance of Stage 1 of the CSSI, follow the procedure in the Overarching Community Communication Strategy referenced in Condition B1 of this schedule to attempt to resolve the conflict, and if it cannot be resolved, notify the Planning Secretary,</i> III. <i>if requested by the ER, consider relevant minor amendments made to the Site Establishment Management Plan, CEMP, relevant sub-plans and noise and vibration monitoring programs that require updating or are of an administrative nature, and are consistent with the conditions of this approval and the management plans and monitoring programs approved by the Planning Secretary and, if satisfied such amendment is necessary, endorse the amendment, (this does not include any modifications to the conditions of this approval),</i> IV. <i>if requested by the ER, review the noise impacts of minor ancillary facilities, and</i> V. <i>prepare and submit to the Planning Secretary and other relevant regulatory agencies, for information, a Monthly Noise and Vibration Report detailing the AA's actions and decisions on matters for which the AA was responsible in the preceding month. The Monthly Noise and Vibration Report must be submitted within seven (7) days following the end of each month for the duration of the AA's engagement for Stage 1 of the CSSI, or as otherwise agreed by the Planning Secretary.</i> <p>Observation: The auditor observed that there is limited detailed reporting on the AA's activities on the Project, particularly around activities such as site visits / monitoring and monitoring the implementation of noise and vibration documents. The auditor recommends consideration be given to the preparation of stand-alone reports following the AA's inspections or data monitoring reviews, or alternatively inclusion of greater detail on these activities in the monthly AA reports prepared for the Project, to better demonstrate compliance with clauses f) and h).</p>	The auditor recommends consideration be given to the preparation of stand-alone reports following the AA's site visits / monitoring and monitoring the implementation of noise and vibration documents, or alternatively, inclusion of greater detail on these activities in the monthly AA reports prepared for the Project.	Acoustic Advisor 30 June 2022	OPEN

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Status
11038_IA1_02	A38	Observation	<p>Requirement: <i>If construction of Stage 1 of the CSSI is to be phased, the Department must be notified in writing before the commencement of each phase, of the date of the commencement of that phase.</i></p> <p>Observation: Sydney Metro notified the Department on 06/12/2021 that construction would commence on Phase B1 works on 10/12/2021; however, the auditees advised that the actual construction commencement date for Phase B1 works was 10/01/2022. Notification should be submitted to the Department advising of the actual construction commencement date for Phase B1 works, to avoid any issues around non-compliance with timing of submission of documents required under this approval.</p>	Notification has been submitted to the Department correcting the construction commencement date for Phase B1 works on 5 April 2022.	Sydney Metro 5 April 2022	CLOSED
11038_IA1_03	A43	Non-compliance	<p>Requirement: <i>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.</i></p> <p>Non-compliance: Evidence provided regarding an incident on the Phase C (Delta) works, involving a structural collapse during demolition on 03/02/2022, indicates that the notification of the incident via the Major Projects website did not occur within 24 hours of the initial notification.</p>	Sydney Metro advised that this event was not considered to be an incident under A43 at the time and was notified under D37 as potential OOHW for emergency situations. Sydney Metro advised that a meeting was held on 9 March 2022 between Sydney Metro and DPE where it was agreed that any incident that was notified to SafeWork NSW would also be reported as an incident in line with A43. The auditor supports this approach.	Sydney Metro 9 March 2022	CLOSED
11038_IA1_04	A46	Non-compliance	<p>Requirement: <i>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.</i></p> <p>Non-compliance: The notification letter for the non-compliance against D35 reported for the Phase A (Quickway) works did not include what actions have been or would be undertaken to address the non-compliance. The auditor notes that the notification was submitted within the required timeframe.</p>	<p>Sydney Metro advised that an Environmental Incident and Non-Compliance Report Form (version 8.0) (SM-17-00000105) was completed for this event, including detail on actions undertaken/to be undertaken to address the non-compliance; however, this was not provided to DPE.</p> <p>Sydney Metro noted that the Environmental Incident and Non-Compliance Report Form will be completed and issued to DPE as part of the notification of any future non-compliances.</p>	Sydney Metro 27 April 2022	CLOSED
11038_IA1_05	B11	Observation	<p>Requirement: <i>A website or webpage providing information in relation to the CSSI must be established before commencement of work and maintained for the duration of construction, and for a minimum of 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:</i></p> <ol style="list-style-type: none"> <i>information on the current implementation status of Stage 1 of the CSSI;</i> <i>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;</i> <i>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;</i> <i>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;</i> 	The auditor recommends that consideration be given to providing a clear link on the Sydney Metro Project website's landing page to the Project's page on the DPE Major Projects website, to ensure easier access by the community to the Instrument of Approval.	Sydney Metro 29 July 2022	OPEN

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Status
			<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> <p>Observation: The auditor found that the Project website is not easy to navigate and that the process of finding the Instrument of Approval is not particularly straightforward.</p>			
11038_IA1_06	D10	Non-compliance	<p>Requirement: 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:</p> <p>a) a maximum increase in inundation time of one hour in a one (1) per cent Annual Exceedance Probability (AEP) flood event;</p> <p>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;</p> <p>c) a maximum increase of 50 mm in inundation of land at properties where floor levels would not be exceeded in a one (1) per cent AEP flood event; and</p> <p>d) no inundation of floor levels which are currently not inundated in a one (1) per cent AEP flood event.</p> <p>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, DPIE Water, DPI Fisheries, DPIE EES, NSW State Emergency Service (SES), SOPA (in respect of Sydney Olympic Park) and Relevant Council(s).</p> <p>Non-compliance: Details provided for flood modelling at The Bays (Phase B (AFJV) works) indicates that the design currently does not comply with D10(b) at seven locations outside the boundary of the construction site due to increased duration of inundation of more than one hour in the 1% AEP event. The auditor is not aware of this being formally reported as a non-compliance.</p>	<p>In response to this finding, Sydney Metro advised that a draft memo summarising post-construction flood levels at The Bays was provided to the auditor. However, the auditor notes that this document is what indicates that there is a non-compliance with D10.</p> <p>The auditor recommends that further investigation be undertaken to determine compliance with D10. If a non-compliance is confirmed, this is to be reported in line with A45 and A46.</p>	<p>AFJV 30 June 2022</p>	OPEN
11038_IA1_07	D25	Non-compliance	<p>Requirement: 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>e) 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>f) comparative analysis from archaeological investigations in Parramatta (including theses, publications and grey literature reports);</p> <p>g) 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>h) 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>Non-compliance: A non-compliance was raised against D25 for Phase B (AFJV) works in relation to archaeological investigation work that was conducted outside of the area described in AMS-01. This was reported to the Department on 20/01/2022 in accordance with A45.</p>	<p>This non-compliance was reported to the Department on 20/01/2022 in accordance with condition A45.</p>	<p>Sydney Metro</p>	CLOSED

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Status
11038_IA1_08	D35	Non-compliance	<p>Requirement: <i>Work must only be undertaken during the following hours:</i></p> <ul style="list-style-type: none"> 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. <p>Non-compliance: A non-compliance was raised against D35 for the Phase A (Quickway) works, associated with a concrete pour that extended past 6pm. This was reported to the Department on 09/09/2021 in accordance with A45.</p>	This non-compliance was reported to the Department on 09/09/2021 in accordance with condition A45.	Sydney Metro	CLOSED
11038_IA1_09	D38	Non-compliance	<p>Requirement: <i>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:</i></p> <ul style="list-style-type: none"> a) <i>identification of low and high-risk activities and an approval process that considers the risk of activities, proposed mitigation, management, and coordination, including where:</i> <ul style="list-style-type: none"> I. the ER and AA review all proposed out-of-hours activities and confirm their risk levels; II. low risk activities can be approved by the ER in consultation with the AA; and III. high risk activities that are approved by the Planning Secretary; b) <i>a process for the consideration of out-of-hours work against the relevant NML and vibration criteria;</i> c) <i>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;</i> d) <i>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</i> e) <i>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.</i> <p>This condition does not apply if the requirements of Condition D37(b) of this schedule are met.</p> <p>Non-compliance: A non-compliance was raised against D38 for Phase B (AFJV) works in relation to out of hours works that were undertaken on a date that was not approved under the associated out of hours works approval. This was reported to the Department on 22/12/2021 in accordance with A45.</p>	This non-compliance was reported to the Department on 22/12/2021 in accordance with condition A45.	Sydney Metro	CLOSED
11038_IA1_10	D43	Non-compliance	<p>Requirement: <i>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(ies) of the DNVIS.</i></p> <p>Non-compliance: A non-compliance was raised against D43 for the Phase C (Delta) works relating to an out of hours oversized plant delivery at Westmead that took place prior to endorsement of the Detailed Noise and Vibration Impact Assessment (DNVIS) by the Acoustic Advisor. This was reported to the Department on 20/01/2022 in accordance with A45.</p>	This non-compliance was reported to the Department on 20/01/2022 in accordance with condition A45.	Sydney Metro	CLOSED
11038_IA1_11	D47	Non-compliance	<p>Requirement: <i>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.</i></p> <p>Non-compliance: No evidence has been provided regarding the involvement of a heritage specialist in the installation of monitoring equipment for the RTA façade at the Clyde worksite (Phase C (Delta) works).</p>	Sydney Metro advised that heritage specialist advice was sought for the installation of vibration loggers within the heritage buildings at Parramatta (62-64 Macquarie St, (Kia Ora Building) and 43-47 George St, Parramatta), and that this advice confirmed that the use of existing holes to attach the vibration	Delta 31 May 2022	OPEN

Item	Ref.	Type	Details of item	Recommended or completed actions	By whom and by when	Status
				<p>logger would be unlikely to impact the heritage item. Sydney Metro advised that there are no additional loggers to be installed for heritage items for the Phase C1 works.</p> <p>The auditor notes that the correspondence provided was specifically for heritage items at Parramatta and not for the RTA Façade at Clyde. This advice was also received in April 2022, after the works at Clyde were completed. The auditor recommends that the Project seeks confirmation from a heritage specialist that no damage/impact has occurred to the RTA façade as a result of installation of monitoring equipment.</p>		
11038_IA1_12	D85	Non-compliance	<p>Requirement: <i>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.</i></p> <p>Non-compliance: AFJV has not provided site specific CTMPs and advised that they do not intend to submit these site-specific CTMPs to the Planning Secretary for information. This is contrary to a commitment made in section 2 of the approved OCTMP.</p>	The site-specific CTMPs for the Phase B (AFJV) works should be submitted to the Planning Secretary for information, in line with the approved CTP OCTMP and procedure adopted on the other Phases of the Project	Sydney Metro / AFJV Timing TBD	OPEN
11038_IA1_13	D114	Non-compliance	<p>Requirement: <i>All waste must be classified in accordance with the EPA's Waste Classification Guidelines, with appropriate records and disposal dockets retained for audit purposes</i></p> <p>Non-compliance: A non-compliance was raised against D114 for the Phase C (Delta) works in relation to the transportation of excavated material from site without obtaining prior waste classification. This was reported to the Department on 25/11/2021 in accordance with A45.</p>	This non-compliance was reported to the Department on 25/11/2021 in accordance with condition A45.	Sydney Metro	CLOSED

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

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

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

A review was conducted of the:

- *Sydney Metro West Stage 1 – Phasing Report*, Revision 1.2, 1 October 2021 (the Phasing Report)
- *Sydney Metro West Power Enabling Works Construction Environmental Management Plan*, Quickway, Revision 1.0, 2 November 2021
- *SMW Power Enabling Works Construction Noise and Vibration Management Plan*, Rev 0.0, 8 June 2021
- *SMW Power Enabling Works Overarching Construction Traffic Management Plan*, Quickway, Version B, 21 May 2021
- *Sydney Metro West Central Tunnelling Package Construction Environmental Management Plan*, AFJV, Revision 03, 9 November 2021
- *Sydney Metro West CTP Construction Noise and Vibration Management Plan*, AFJV, Rev 03, 6 December 2021
- *Sydney Metro West CTP Flora and Fauna Management Plan*, AFJV, Rev 02, 14 October 2021
- *Sydney Metro West CTP Soil and Water Management Plan*, AFJV, Rev 03, 3 November 2021
- *Sydney Metro West CTP Heritage Management Plan*, Rev 03, 16 November 2021
- *Sydney Metro West CTP Spoil Management Plan*, AFJV, Rev 03, 27 October 2021
- *Sydney Metro West CTP Overarching Construction Traffic Management Plan*, Rev 03, 24 January 2022
- *Sydney Metro West Demolition Works Construction Environmental Management Plan*, Delta, Revision 6, 22 December 2021
- *Sydney Metro West Demolition Construction Noise and Vibration Management Plan*, Rev 4, 25 October 2021
- *Sydney Metro West Demolition Heritage Management Sub-Plan*, Rev 3, 25 October 2021
- *Sydney Metro West Demolition Flora and Fauna Management Sub-Plan*, Rev 8, 17 January 2022
- *Sydney Metro West Demolition Construction Traffic Management Plan – Clyde*, Delta, Rev 2, 13 October 2021

- *Sydney Metro West Demolition Construction Traffic Management Plan – Parramatta, Delta, Rev 2, 14 October 2021*
- *Sydney Metro West Demolition Construction Traffic Management Plan – Westmead, Delta, Rev 2, 19 October 2021*
- *SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 4, 15/12/2021*
- *Sydney Metro West Overarching Community Communications Strategy, Revision 2.2, 7 April 2021*

The Auditor considers the documents to be adequate for the works being undertaken, noting the non-conformances and observations identified Section 3.2.

3.4 Summary of notices from agencies

To the Auditor's knowledge no formal notices were issued by the Department associated with SSI 10038 during the audit period.

3.5 Other matters considered relevant by the Auditor or DPE

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

3.6 Complaints

A complaints register is being maintained for the Project using the software, Consultation Manager. A total of 123 complaints were recorded between 5 August 2021 until 19 February 2022 (based on output reports from Consultation Manager provided by Sydney Metro). The complaints related predominantly to noise, out of hours works, property (acquisition, damage, and access), traffic, consultation, and worker behaviour.

Sydney Metro had investigated each and considered each complaint closed or not relevant to the Project.

3.7 Incidents

The Project has identified three (3) incidents, as defined by the consent, which occurred during the audit period. These were:

- Phase B (AFJV) works – Incident involving a water main strike at the Sydney Olympic Park site on 21 January 2022. Evidence demonstrates that the incident was reported to the Planning Secretary in line with A43.
- Phase C1 (Delta) works – Incident involving a partial structural collapse of the carpark being demolished at Parramatta on 3 February 2022. Evidence provided indicates that the

initial report to the Major Projects website was not made within 24 hours, as required under this condition. Sydney Metro notified DPE via email in line with condition D37(a).

- Phase C1 (Delta) works – Incident involving an unexpected contamination find at the Clyde worksite on 25 February 2022. Evidence has been provided to demonstrate that notification of the event took place in line with conditions A43 and A44.

A non-compliance has been raised against condition A43 in relation to reporting of the incident that occurred during the Phase C1 (Delta) works at Parramatta as included in Table 4, above.

3.8 Actual versus predicted impacts

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 – Westmead to The Bays and Sydney CBD*, 15 April 2020 (the EIS) and Sections 6.7 to 6.26 of the *Sydney Metro West Westmead to The Bays and Sydney CBD – Submissions Report Concept and Stage 1*, (no date) 2020 (the RtS).

The EIS and RtS included a range of studies and predictions that relied on observation, measurement and modelling of the existing environments and potential outcomes arising from the Project. Full assessment of the accuracy of these predictions would also require a significant number of studies involving measurement and modelling using actual data points as inputs. Other than the construction requirements specified in the conditions and REMMs, to the Auditor's knowledge there are no requirements to undertake such studies and doing so does not form part of this Independent Audit. Any such comparison is qualitative only.

Construction commenced on 13 July 2021. Works completed during the current audit period (i.e.: from the granting of approval on 11 March 2021 to March 2022) were largely limited to early works and site establishment activities, including:

- Phase A Power Enabling Works
- Phase C1 Demolition works at Westmead, Parramatta, and Clyde
- Phase B1 Central Tunnelling Early Works, including site establishment works and commencement of preparatory works for bulk excavation (piling, earthworks) at The Bays.

The following works had yet to commence:

- Phase B2 - Central Tunnelling Main Works
- Phase E – Existing Rail Corridor Enabling Works
- Phase F – Western Tunnelling

The works that are yet to commence are likely to be associated with greater environmental impacts than those carried out during the audit period.

Given the more limited nature of the works undertaken during the audit period, the environmental impacts are mostly minor or negligible and qualitatively well within that predicted by the EIS and RtS.

Quickway's power supply works at Rozelle, many of which were undertaken out of hours, might have been expected to generate more community complaints than were actually received. This reflects well on Quickway and the Sydney Metro teams' management of these works and community consultation efforts.

Likewise the Delta demolition works in the Parramatta Central area have generated fewer complaints that might have been expected. This also reflects well on Delta and the Sydney Metro teams' management of these works and community consultation efforts. It also reflects the use of innovative technology vis a vis the hydraulic shears that are being used wherever possible to demolish concrete structures, in place of rock hammers, thus reducing noise and vibration impacts.

4. CONCLUSIONS

This Audit Report presents the findings from the first Independent Audit for the construction period, covering the period from the granting of consent on 11 March 2021 to March 2022.

The overall outcome of the Independent Audit was very positive. Compliance records were organised and available at the time of the site inspection and interviews with Project personnel from Sydney Metro and its contractors.

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

In summary:

- There were 220 conditions assessed.
- Ten (10) non-compliances were identified against the conditions. These related to notification of incidents and non-compliances, flood mitigation, archaeological investigation work, heritage monitoring, out of hours works, traffic management documentation, and waste classification and disposal.
- Three (3) observations were identified in relation to the conditions. These related to AA reporting processes, notification of commencement of works and Project website accessibility.

Detailed findings are presented in Section 3, along with actions proposed or undertaken by the Project team to address the findings.

It is worth noting that there were in effect three audits (covering Phase A, B and C works) combined into this audit report, which was a significant undertaking for all involved. The relatively small number of findings – mainly administrative with negligible or low environmental / community impact - spread over all of these works is a testament to the strong compliance focus of the auditees.

Quickway's power supply works at Rozelle, many of which were undertaken out of hours, might have been expected to generate more community complaints than were actually received. This reflects well on Quickway and the Sydney Metro teams' management of these works and community consultation efforts.

Likewise the Delta demolition works in the Parramatta Central area have generated fewer complaints that might have been expected. This also reflects well on Delta and the Sydney Metro teams' management of these works and community consultation efforts. It also reflects the use of innovative technology vis a vis the hydraulic shears that are being used wherever possible to demolish concrete structures, in place of rock hammers, thus reducing noise and vibration impacts.

The Auditor would like to thank the auditees from Sydney Metro, Quickway, Delta, and AFJV, the Environmental Representative and the Acoustic Advisor, for their high level of organisation, cooperation, openness and assistance during the Independent Audit.

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APPENDIX A – SSI 10038 CONDITIONS OF APPROVAL

Table 1: SSI 10038 Conditions of Approval for Concept Proposal – Project wide compliance

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
SCHEDULE 2: CONDITIONS OF APPROVAL FOR CONCEPT PROPOSAL						
PART C-A: ADMINISTRATIVE CONDITIONS						
General						
C-A1	Approval is granted to the 'Concept' as described in Schedule 1 and in Chapter 6 and in Chapter 7 of the Sydney Metro West – Westmead to The Bays and Sydney CBD Environmental Impact Statement dated 15 April 2020, as amended by the following: <ul style="list-style-type: none"> a) Sydney Metro West – Westmead to The Bays and Sydney CBD Amendment Report dated 20 November 2020; and b) Sydney Metro West – Westmead to The Bays and Sydney CBD Submissions Report dated 20 November 2020. 	No specific action for Phase A (Quickway) works.	No specific action for Phase B (AFJV) works.	No specific action for Phase C1 (Delta) works.	-	Compliant
C-A2	The Proponent must carry out the CSSI Concept in accordance with the conditions of this approval and the documents listed in Condition C-A1 of this schedule unless otherwise specified in, or required under, the conditions of this approval.	No specific action for Phase A (Quickway) works.	No specific action for Phase B (AFJV) works.	No specific action for Phase C1 (Delta) works.	-	Compliant
C-A3	In the event of an inconsistency between: <ul style="list-style-type: none"> a) the conditions of this approval and any document listed in Condition C-A1 of this schedule inclusive, the conditions of this approval will prevail to the extent of the inconsistency; and b) any document listed in Condition C-A1 of this schedule, the most recent document will prevail to the extent of the inconsistency. <p><i>Note: For the purpose of this condition, there will be an inconsistency between a term of this approval and any document if it is not possible to comply with both the term and the document.</i></p>	No specific action for Phase A (Quickway) works.	No specific action for Phase B (AFJV) works.	No specific action for Phase C1 (Delta) works.	-	Compliant
C-A4	Except to the extent described in any document listed in Condition C-A1 of this schedule, any over station development, including any future uses, does not form part of this CSSI and will be subject to the relevant assessment pathway prescribed by the EP&A Act.	No specific action for Phase A (Quickway) works.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	No specific action for Phase C1 (Delta) works.	-	Compliant
PART C-B: KEY ISSUE CONDITIONS						
Place and Design						
C-B1	Place and Design To ensure that a high-quality urban design response is achieved, the CSSI must have regard to, and be generally consistent with, the place and design principles for each location outlined in the documents listed in Condition C-A1 of this schedule, unless expressly specified in the conditions of this approval.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
C-B2	<p>Clyde Stabling and Maintenance Facility Site</p> <p>For the relevant future stage application, the following must be considered at the Clyde Maintenance and Stabling Facility site:</p> <ul style="list-style-type: none"> a) publicly-accessible active transport corridors immediately around the site adjoining James Ruse Drive that connects to existing and future links and open spaces; b) public spaces for recreational use on residual land to offset the loss of the private recreational land, or any alternate and commensurate opportunity that achieves the objective and provides value for money, developed in consultation with City of Parramatta Council; c) renaturalisation of parts of Duck Creek and A'Becketts Creek and rehabilitation of the riparian corridor; and d) integration with strategic planning for the precinct. 	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
C-B3	<p>Parramatta Metro Station Site</p> <p>The delivery of the section of the future Parramatta Civic Link located on the Parramatta metro station construction site must be facilitated to enable completion before operation of the CSSI.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
Aboriginal and Non-Aboriginal Heritage						
C-B4	The relevant future stage application relating to the design of stations must include a Heritage Interpretation Strategy, prepared in consultation with Heritage NSW, which outlines how key Aboriginal and non-Aboriginal heritage values and stories of Heritage items will be interpreted in the project design, including station and precinct urban design. The Heritage Interpretation Strategy must include procedures for how to include results of archaeological findings (historical and Aboriginal archaeological results) when they become available.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
C-B5	The Heritage Interpretation Strategy must be prepared in accordance with the NSW Heritage Manual, the NSW Heritage Office's Interpreting Heritage Places and Items: Guidelines (August 2005), and the NSW Heritage Council's Heritage Interpretation Policy.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
C-B6	<p>The Heritage Interpretation Strategy must include, but not be limited to:</p> <ul style="list-style-type: none"> a) a discussion of key interpretive themes, stories and messages proposed to interpret the history and significance of archaeological excavation, the affected Heritage items and sections of heritage conservation areas (if applicable); b) options for the re-purposing of archaeological finds (results and artefacts), heritage features or listed items salvaged or protected during construction stages of the CSSI, and how they will be integrated into the final project design; c) Aboriginal cultural and heritage values of the project area including the results of any archaeological investigations undertaken (or any interim results of any archaeological 	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>investigations that have commenced but have yet to be completed) and key socio-cultural values identified in the Aboriginal Cultural Heritage Assessment Report referred to in Condition C-A1 of this schedule, and those of any future stages of the CSSI;</p> <p>d) details of the audience, potential devices to be employed in interpretation, possible locations for interpretation and how this will be incorporated into design;</p> <p>e) engagement with the Relevant Council(s) and regard for any relevant council heritage interpretation guidelines; and</p> <p>f) with respect to the Parramatta construction site and (a) above, any discussion must include how the heritage interpretation of the CSSI relates to the heritage interpretations of other projects in Parramatta, including State Significant Development projects and other SSI projects.</p>					
Sustainability						
C-B7	The CSSI must achieve a minimum Infrastructure Sustainability Council of Australia (ISCA) Infrastructure Sustainability rating of 75 (Version 1.2) (or equivalent level of performance using a demonstrated equivalent rating tool) or a 5-Star Green Star rating (or equivalent level of performance using a demonstrated equivalent rating tool).	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	IS Rating Agreement Design & As Built v1.2: SMW CTP, ISC, 20/12/2021 SMW CTP Sustainability Management Plan, Rev 01, 03/12/2021 Interview with auditees, 01/03/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	AFJV has entered into a rating agreement with ISC. The Project's IS Rating strategy is detailed in section 3.2 of the Sustainability Management Plan, targeting a score of 75.	Compliant
Biodiversity and Trees						
C-B8	As many mature trees as practicable must be retained. In addition, within ten (10) years of the date of this approval or no later than the commencement of operation of the CSSI (whichever is earlier) there must be a net increase in the number of mature trees provided at a ratio of 2:1. A net increase in the number of mature trees does not apply to trees that are subject to a biodiversity offset	<p>Tree Register (spreadsheet), Sydney Metro</p> <p>Only one tree out of 32 was required to be removed, rest involved minor trimming.</p> <p>Minimal impact to vegetation has occurred during the Project. Road closures have been implemented in order to minimise trimming and/or removal of vegetation. Minimal vegetation has been impacted, only necessary trimming for plant and equipment movements has occurred.</p>	<p>Tree Register (spreadsheet), Sydney Metro</p> <p>Tree Register has been established for the project to document tree removal across the project sites. Sydney Metro advised that vegetation planting is outside of the Phase B (AFJV) works scope.</p>	<p>Tree Register (spreadsheet), Sydney Metro</p> <p>Pre-clearance reports prepared for each site to quantify mature trees removed. Post-clearance reports will be prepared prior to completing the works to provide Sydney Metro with a final quantification of mature trees removed from each site.</p> <p>Inspection Test Plan / Checklist: Demolition and Clearance Works (Flora and Fauna Management Pre-clearing/demolition</p>	Compliant, as per evidence referenced.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
				Inspection), Sydney Metro, 11/10/2021 Inspection Test Plan / Checklist: Demolition and Clearance Works (Flora and Fauna Management Pre-clearing/demolition Inspection), Sydney Metro, 30/09/2021 Tree Assessment – Horwood PI Paramatta, Accurate Tree Assessment, 25/11/2021 Tree Assessment – Alexandra Ave, Westmead, Accurate Tree Assessment, 25/11/2021 LE1343 Ecological Inspection Summary Letter, Lodge Environmental, 04/11/2021		
C-B9	The CSSI must result in an increase in tree canopy coverage.	Tree Register (spreadsheet), Sydney Metro As above. Minor trimming (apart from one tree removed).	Tree Register (spreadsheet), Sydney Metro Sydney Metro advised that vegetation planting is outside of the Phase B (AFJV) works scope. A Tree Register has been established for the project to document tree removal across the project sites.	Tree Register (spreadsheet), Sydney Metro To be evaluated by Sydney Metro once all data from vegetation clearance has been obtained.	Compliant, as per evidence referenced.	Compliant
C-B10	Parts of Duck Creek and A'Becketts Creek that remain open channels at the Clyde Stabling and Maintenance Facility site must be rehabilitated and / or renaturalised before operation of the CSSI commences. Only species that are representative of PCT 920 (Mangrove Forests in estuaries of the Sydney Basin Bioregion and South East Corner Bioregion) must be used in the revegetation of the riparian zone along the open channels to Duck Creek and A'Becketts Creek.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
Climate Change						
C-B11	The CSSI must be designed to withstand known impacts associated with climate change to year 2100.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Sydney Metro West – Central Tunnelling Package Climate Change Impact Assessment Report, Malo Sustainability Consulting	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	A climate change risk assessment has been carried out for the Phase B (AFJV) works, including the identification of adaptation measures for incorporation into the design.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
			(for AFJV), Rev 02, 06/10/2021			
SCHEDULE 3: CONDITIONS OF APPROVAL FOR STAGE 1						
PART A: ADMINISTRATIVE CONDITIONS						
General						
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> <ul style="list-style-type: none"> 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; and c) Sydney Metro West – Westmead to The Bays and Sydney CBD Amendment Report dated 20 November 2020.; and d) <u>Sydney Metro West – Westmead to The Bays and Sydney CBD Modification Request Letter dated 21 June 2021.</u> <p style="text-align: right;"><u>[SSI-10038 Mod 1]</u></p>	<p>ER Inspections provided, which include an assessment of compliance with the conditions.</p> <p>Phase C1 (Delta) Works – Consistency Assessment for Temporary use of Macquarie Lane car park, Parramatta (Dec 2021) sighted. Approved by SM on 16/12/2021 as compliant with CoA.</p>			<p>Stage 1 of CSSI has been conducted in accordance with all relevant documents and conditions. All required documentation has been endorsed by relevant authorities, management is being conducted in accordance with all plans, sub-plans, procedures and protocols as required. All Management plans with endorsements attached within documents. Compliance checks both internal and external (ER SM). Refer to CEMP documents for endorsement letters</p> <p>Whilst some non-compliances were identified (noted against individual conditions, below), these were not substantial (i.e.: resulting in material impact to people or the environment) or significant in number. Other than these few events, compliance is being achieved in all other respects, and on this basis the Auditor does not consider it appropriate to assign a non-compliance with this condition.</p>	Compliant
A2	<p>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.</p>	-			<p>Noted. No specific action for the contractors to address, works are being conducted in accordance with the condition.</p>	Compliant
A3	<p>In the event of an inconsistency between:</p> <ul style="list-style-type: none"> a) the conditions of this approval and any document listed in Condition A1 of this schedule, the conditions of this approval will prevail to the extent of the inconsistency; and b) any document listed in Condition A1 of this schedule, the most recent document will prevail to the extent of the inconsistency. <p><i>Note: For the purpose of this condition, there is an inconsistency between a term of this approval and any document if it is not possible to comply with both the term and the document.</i></p>	-			<p>Noted. This audit assess compliance with these conditions as the prevailing document. No inconsistencies have been identified.</p>	Compliant
A4	<p>In the event that there are differing interpretations of the conditions of this approval, including in relation to a condition of this approval, the Planning Secretary's interpretation is final.</p>	Interview with auditees, 01/03/2022			<p>The auditees are not aware of any differing interpretations requiring the Planning Secretary's input.</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
A5	<p>The Proponent must comply with all written requirements or directions of the Planning Secretary, including in relation to:</p> <ul style="list-style-type: none"> a) the environmental performance of Stage 1 of the CSSI; b) any document or correspondence in relation to Stage 1 of the CSSI; c) any notification given to the Planning Secretary under the conditions of this approval; d) any audit of Stage 1 of the CSSI; e) the conditions of this approval and compliance with the conditions of this approval (including anything required to be done under this approval); f) the carrying out of any additional monitoring or mitigation measures; and g) in respect of ongoing monitoring and management obligations, compliance with an updated or revised version of a guideline, protocol, Australian Standard or policy required to be complied with under the conditions of this approval. 	Interview with auditees, 01/03/2022			The auditees are not aware of any formal written directions from the Planning Secretary	Not triggered
A6	<p>Where the conditions of this approval require a document or monitoring program to be prepared, or a review to be undertaken, in consultation with identified parties, evidence of the consultation undertaken must be submitted to the Planning Secretary with the document. The evidence must include:</p> <ul style="list-style-type: none"> a) documentation of the engagement with the party identified in the condition of approval that has occurred before submitting the document for approval; b) a log of the dates of engagement or attempted engagement with the identified party and a summary of the issues raised by them; c) documentation of the follow-up with the identified party(s) where feedback has not been provided to confirm that the party(s) has none or has failed to provide feedback after repeated requests; d) outline of the issues raised by the identified party(s) and how they have been addressed; and e) a description of the outstanding issues raised by the identified party(s) and the reasons why they have not been addressed. 	Evidence referenced throughout this audit table			<p>Stage 1 of CSSI has been conducted in accordance with all relevant documents and conditions. All required documentation has been endorsed by relevant authorities, management is being conducted in accordance with all plans, sub-plans, procedures and protocols as required.</p> <p>All Management plans include the necessary endorsements / approvals (ER, AA, Secretary) within the documents attesting that the required consultation has been included within the endorsed or approved plan.</p>	Compliant
A7	This approval lapses five (5) years after the date on which it is granted, unless work has physically commenced on or before that date.	Notification of Commencement letter (revised date), Sydney Metro to DPE, 30/08/2021 DPE lodgment record, SSI-10038-PA-34			Construction commenced on 13/07/2021.	Compliant
A8	References in the conditions of this approval to any guideline, protocol, Australian Standard or policy are to such guidelines, protocols,	The CEMP and sub-plans referred to elsewhere in this Audit Table			The CEMP and sub-plans refer to the relevant guidelines and policies.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	standards or policies in the form they are in as at the date of this approval.					
A9	Any document that must be submitted or action taken within a timeframe specified in or under the conditions of this approval may be submitted or undertaken within a later timeframe agreed with the Planning Secretary. This condition does not apply to the written notification required in respect of an incident under Condition A43 of this schedule	Letter 'Request for postponement of Initial Environmental Audit under Condition A9', Sydney Metro to DPE, 24/08/2021 DPE lodgment record, SSI-10038-PA-32, 24/08/2021 Letter confirming acceptance of IA EOT, DPE to Sydney Metro, 20/01/2022			Extension of time requested and approved for postponement of initial Environmental Audit.	Compliant
Phasing						
A10	Stage 1 of the CSSI may be constructed in phases. Where phased construction is proposed, a Phasing Report must be prepared and submitted to the Planning Secretary for information. The Phasing Report must be submitted to the Planning Secretary for information no later than one (1) month before the commencement of construction of the first of the proposed phases of construction	SMW Phasing Report 1, Sydney Metro, 27/04/2021 Letter confirming conditional approval of Phasing Report 1, DPE to Sydney Metro, 03/05/2021 Notification of Commencement letter (revised date), Sydney Metro to DPE, 30/08/2021 DPE lodgment record, SSI-10038-PA-34 SMW Phasing Report 1.2, Sydney Metro, 01/10/2021			A Phasing Report has been prepared and was submitted to DPE on 27/04/2021, which was prior to commencement of construction of the first proposed phase (i.e., 13/07/2021). The latest version of the Phasing Report is revision 1.2. It is unclear whether the revised report has been submitted to the Planning Secretary.	Compliant
A11	The Phasing Report must: a) 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; b) specify the relevant conditions that apply to each phase and how compliance with conditions will be achieved across and between each of the phases of Stage 1 of the CSSI; c) set out mechanisms for managing any cumulative impacts arising from the proposed phasing; and d) for the purposes of informing Conditions C2, C7 and C18, 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. With respect to (d) above, the risk assessment must use an appropriate process consistent with AS/NZS ISO 31000: 2009; Risk Management - Principles and Guidelines and must be endorsed by the ER. [SSI-10038 Mod-1]	SMW Phasing Report 1, Sydney Metro, 27/04/2021 Letter confirming conditional approval of Phasing Report 1, DPE to Sydney Metro, 03/05/2021 Notification of Commencement letter (revised date), Sydney Metro to DPE, 30/08/2021 DPE lodgment record, SSI-10038-PA-34 SMW Phasing Report 1.2, Sydney Metro, 01/10/2021			Letter from the Department dated 03/05/2021 in response to submission of the Staging Report acknowledges report has been submitted for information but made recommendations regarding amendments to the report for clarity and readability. The letter also required the CNVMP and monitoring program to be approved by the Department following endorsement by the ER. The remainder of CEMP and Sub-Plans are required to be endorsed by the ER.	Compliant
A12	Stage 1 of the CSSI must be phased in accordance with the Phasing Report, as submitted to the Planning Secretary for information.	SMW Phasing Report 1.2, Sydney Metro, 01/10/2021			All works are being conducted in accordance with the Phasing Report. Works are being conducted in accordance with respective conditions as identified for Stage 1. Compliance monitoring is ongoing.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
A13	Where phasing is proposed, the conditions of this approval that apply or are relevant to the work or activities to be carried out in a specific phase must be complied with at the relevant time for that phase.	SMW Phasing Report 1.2, Sydney Metro, 01/10/2021			Appendix B of the Phasing Report sets out sets out which conditions have been deemed applicable to each phase of works.	Compliant
A14	Where changes are proposed to the phasing of construction, a revised Phasing Report must be prepared and submitted to the Planning Secretary for information before the commencement of changes to the phasing of construction.	SMW Phasing Report 1, Sydney Metro, 27/04/2021 SMW Phasing Report 1.2, Sydney Metro, 01/10/2021 Interview with auditees, 01/03/2022			The SMW Phasing Report has been revised twice to provide updates on scope of phases. From the audit interviews it is understood that changes to the current Phasing Report are being considered but have yet to be submitted to the Secretary for information.	Compliant
A15	With the approval of the Planning Secretary, the Proponent may submit any strategies, plans or programs required by this approval on a progressive basis within each phase of Stage 1 of the CSSI. <i>Notes:</i> 1. <i>While any strategy, plan or program may be submitted on a progressive basis, the Proponent will need to ensure that the existing activities on site are covered by suitable strategies, plans or programs at all times; and</i> 2. <i>If the submission of any strategy, plan or program is to be submitted on a progressive basis, then the relevant strategy, plan or program must clearly describe the activities to which the strategy, plan or program applies, the relationship of this activity to any future activities within the phase, and the trigger for updating the strategy, plan or program</i>	SMW Phasing Report 1.2, Sydney Metro, 01/10/2021 Interview with auditees, 01/03/2022			Documentation required under this approval has been submitted progressively as relevant to each phase of works, as evidenced throughout this audit. All documents are endorsed by relevant authorities (e.g., the ER, the AA) prior to commencement of works.	Compliant
Ancillary Facilities						
A16	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: a) they are located within or immediately adjacent to the Construction Boundary; and 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 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 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.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 0.0, 16/06/2021 ER endorsement letter – SMW Power Enabling Works CEMP, dated 18/06/2021 SMW Power Enabling Works Construction Environmental Management Plan (Appendix M – Minor Ancillary Facility Area A01), Quickway, Rev 1.0, 02/11/2021 ER endorsement letter – SMW Power Enabling Works Minor Ancillary	Interview with auditees, 01/03/2022 The auditees advised that no ancillary facilities have been required for the Phase B (AFJV) works that were not already identified in the documents listed in Condition A1.	Interview with auditees, 01/03/2022 The auditees advised that no ancillary facilities have been required for the Phase C1 (Delta) works that were not already identified in the documents listed in Condition A1.	Area E1 and L7 ancillary facilities were included as part of the CEMP for the Phase A (Quickway) works, which was endorsed by the ER on 18/06/2021. Minor Ancillary Facility AF01 has been approved for the Phase A (Quickway) works, which was not considered in the EIS. Approval granted via the process under A21. All ancillary facilities have been functioning since endorsement and are operating as intended. Re-location of storage yards from area E1 to area L7 completed by 15/11/2021.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<i>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.</i>	Facility Area 01, dated 31/05/2021				
Site Establishment Work						
A17	<p>Site Establishment Management Plan</p> <p>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> <ul style="list-style-type: none"> 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); b) figures illustrating the proposed operational site layout and the location of the closest sensitive land user(s); 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; d) details of how the site establishment activities described in subsection (a) of this condition will be carried out to: <ul style="list-style-type: none"> I. meet the performance outcomes stated in the documents listed in Condition A1 of this schedule, and II. manage the risks identified in the risk analysis undertaken in subsection (c) of this condition; and 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>Interview with auditees, 01/03/2022</p> <p>Condition is not triggered for the Phase A (Quickway) works. There is minimal risk that a SEMP will be required for the rest of the PEW.</p>	<p>Interview with auditees, 01/03/2022</p> <p>No Site Establishment Management Plans have been required to be prepared for the Phase B (AFJV) works to date.</p>	<p>SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 2, 24/09/2021</p> <p>ER endorsement letter – Delta SEMP Rev 2, dated 27/09/2021</p> <p>SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 4, 15/12/2021</p> <p>ER endorsement letter – Delta SEMP Rev 4, dated 15/12/2021</p>	<p>A Site Establishment Management Plan (SEMP) was prepared for the Phase C1 (Delta) works in consultation with City of Parramatta and Cumberland City Council prior to establishment of any ancillary facilities.</p> <p>The ER endorsed both revisions of the SEMP as satisfying requirements of this condition (see A19).</p>	Compliant
A18	<p>With the exception of a Site Establishment Management Plan relating to the Silverwater ancillary facility referred to in Condition A19 below and any other Site Establishment Management Plan expressly nominated by the Planning Secretary to be endorsed by the ER, all Site Establishment Management Plans must be submitted to the Planning Secretary for approval one (1) month before the establishment of any ancillary facilities.</p>	<p>Interview with auditees, 01/03/2022</p> <p>No Site Establishment Management Plans have been required to be</p>	<p>Interview with auditees, 01/03/2022</p> <p>No Site Establishment Management Plans have been required to be</p>	<p>Letter from DPE to Sydney Metro re: SEMP for Parramatta, Clyde and Westmead Enabling Works, dated 24/09/2021</p>	<p>Revision 1 of the SEMP for the Phase C1 (Delta) works was submitted to the Planning Secretary. A letter from the Planning Secretary dated 24/09/2021 nominated the ER to endorse the final version of the SEMP (see A19).</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
		prepared for the Phase A (Quickway) works to date.	prepared for the Phase B (AFJV) works to date.			
A19	A Site Establishment Management Plan relating to the Silverwater ancillary facility and any other Site Establishment Management Plan expressly nominated by the Planning Secretary must be submitted to the ER for endorsement one (1) month before the establishment of that ancillary facility or as otherwise agreed with the ER.	<p>Interview with auditees, 01/03/2022</p> <p>No Site Establishment Management Plans have been required to be prepared for the Phase A (Quickway) works to date.</p>	<p>Interview with auditees, 01/03/2022</p> <p>No Site Establishment Management Plans have been required to be prepared for the Phase B (AFJV) works to date.</p>	<p>Letter from DPE to Sydney Metro re: SEMP for Parramatta, Clyde and Westmead Enabling Works, dated 24/09/2021</p> <p>SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 2, 24/09/2021</p> <p>ER endorsement letter – Delta SEMP Rev 2, dated 27/09/2021</p> <p>SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 4, 15/12/2021</p> <p>ER endorsement letter – Delta SEMP Rev 4, dated 15/12/2021</p>	As requested by the Planning Secretary, the SEMP for the Phase C1 (Delta) works was submitted to the ER for endorsement.	Compliant
A20	<p>Use of Ancillary Facilities</p> <p>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>SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 0.0, 16/06/2021</p> <p>ER endorsement letter – SMW Power Enabling Works CEMP, dated 18/06/2021</p> <p>SMW Power Enabling Works Construction Environmental Management Plan (Appendix M – Minor Ancillary Facility Area A01), Quickway, Rev 1.0, 02/11/2021</p> <p>ER endorsement letter – SMW Power Enabling Works Minor Ancillary Facility Area 01, dated 31/05/2021</p>	<p>SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021</p> <p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021</p> <p>SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021</p> <p>SMW CTP Heritage Management Plan, Rev 03, 16/11/2021</p> <p>SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021</p>	<p>Letter from DPE to Sydney Metro re: SEMP for Parramatta, Clyde and Westmead Enabling Works, dated 24/09/2021</p> <p>SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 2, 24/09/2021</p> <p>ER endorsement letter – Delta SEMP Rev 2, dated 27/09/2021</p> <p>SMW Parramatta, Clyde and Westmead Enabling Works – Site Establishment Sub Plan, Delta, Rev 4, 15/12/2021</p> <p>ER endorsement letter – Delta SEMP Rev 4, dated 15/12/2021</p>	The Project has demonstrated compliance with A20.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
A21	<p>Minor Ancillary Facilities</p> <p>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> <ul style="list-style-type: none"> a) are located within or adjacent to the Construction Boundary; and b) have been assessed by the ER to have: <ul style="list-style-type: none"> 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 II. minimal environmental impact with respect to waste management and flooding, and III. no impacts on biodiversity, soil and water, and Heritage items beyond those already approved under other conditions of this approval. 	<p>SMW Power Enabling Works Construction Environmental Management Plan (Appendix M – Minor Ancillary Facility Area A01), Quickway, Rev 1.0, 02/11/2021</p> <p>ER endorsement letter – SMW Power Enabling Works Minor Ancillary Facility Area 01, dated 31/05/2021</p>	<p>Interview with auditees, 01/03/2022</p> <p>No minor ancillary facilities have been established for the Phase B (AFJV) works to date.</p> <p>Note: AFJV advised that an application has been submitted to the ER for use of an area adjacent to The Bays worksite for parking and truck layover. This application is currently being assessed by the ER.</p>	<p>Interview with auditees, 01/03/2022</p> <p>No minor ancillary facilities have been established for the Phase C1 (Delta) works to date.</p>	<p>Minor ancillary facility 'A01' utilised for Phase A (Quickway) works, endorsed by the ER as part of CEMP update (Rev 1.0, dated 02/11/2021).</p>	Compliant
A22	<p>Boundary Screening</p> <p>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>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Sydney Metro boundary screening sighted around fencing installed across Project worksites during site inspection. See photos in Appendix D of the Audit Report.</p>	Compliant
A23	<p>Boundary screening required under Condition A22 of this schedule must minimise visual impacts on adjacent sensitive land user(s).</p>	<p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Sydney Metro boundary screening sighted around fencing installed across Project worksites during site inspection. See photos in Appendix D of the Audit Report.</p>	Compliant
Independent Appointments						
A24	<p>All Independent Appointments required by the conditions of this approval must hold current membership of a relevant professional body, unless otherwise agreed by the Planning Secretary.</p>	<p>Environment Representative (ER) – see A27</p> <p>Acoustic Advisor (AA) – see A32 and A33</p> <p>Independent Auditor – see A40</p> <p>Community Complaints Mediator – see B7 and B8</p> <p>Excavation Director – see D27</p> <p>Independent Property Assessment Panel (IPIAP) – see D64</p>			<p>Independent appointments on the Project have been approved by the Planning Secretary and therefore considered to hold the relevant memberships and qualifications.</p>	Compliant
A25	<p>The Planning Secretary may at any time commission an audit of how an Independent Appointment has exercised their functions. The Proponent must:</p> <ul style="list-style-type: none"> a) facilitate and assist the Planning Secretary in any such audit; and 	<p>Interview with auditees, 01/03/2022</p>			<p>The auditees were not aware of any request from the Planning Secretary for an audit of how the how an Independent Appointment has exercised their functions on the Project.</p>	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	b) make it a term of their engagement of an Independent Appointment that the Independent Appointment facilitate and assist the Planning Secretary in any such audit.					
A26	Upon completion of an audit under Conditions A25 above, the Planning Secretary may withdraw its approval of an Independent Appointment should they consider the Independent Appointment has not exercised their functions in accordance with this approval. <i>Note: Conditions A25 and A26 of this schedule apply to all Independent Appointments including the ER, AA and Independent Auditor</i>	Interview with auditees, 01/03/2022			No audits have been completed for the Project under A25.	Not triggered
Environment Representative						
A27	Work must not commence until an Environmental Representative (ER) has been nominated by the Proponent and approved by the Planning Secretary.	Letter from DPE to Sydney Metro re: approval of ERs, dated 07/04/2021 Letter from DPE to Sydney Metro re: approval of additional ER, dated 21/09/2021			The following Environment Representatives (ERs) were approved by the Planning Secretary on 07/04/2021, prior to the notified construction commencement date of 13/07/2021: <ul style="list-style-type: none"> Michael Woolley Brett McLennan Jo Robertson Jacqueline Burgin In addition, Greg Byrnes was also approved as an ER on 21/09/2021.	Compliant
A28	The proposed ER must be a suitably qualified and experienced person(s) who was not involved in the preparation of the documents listed in Condition A1 of this schedule, and is independent from the design and construction personnel for the CSSI and those involved in the delivery of it.	Letter from DPE to Sydney Metro re: approval of ERs, dated 07/04/2021 Letter from DPE to Sydney Metro re: approval of additional ER, dated 21/09/2021			The personnel nominated to perform the role of ER on the Project have been deemed suitability qualified and experienced, as evidenced by the Planning Secretary's approval.	Compliant
A29	The Proponent may engage more than one ER for Stage 1 of the CSSI, in which case the functions to be exercised by an ER under the conditions of this approval may be carried out by any ER that is approved by the Planning Secretary for the purposes of Stage 1 of the CSSI. The ER must meet the requirements of the Department's Environmental Representative Protocol (DPE, 2018). The appointment of the ER must have regard to the Department's guideline Seeking approval from the Department for the appointment of independent experts (DPIE, 2020).	Letter from DPE to Sydney Metro re: approval of ERs, dated 07/04/2021 Letter from DPE to Sydney Metro re: approval of additional ER, dated 21/09/2021			As detailed above, five people have been approved by the Planning Secretary to perform the role of ER on the Project.	Compliant
A30	For the duration of the work or as agreed with the Planning Secretary, the approved ER must: a) receive and respond to communication from the Planning Secretary in relation to the environmental performance of Stage 1 of the CSSI; b) consider and inform the Planning Secretary on matters specified in the conditions of this approval;	ER inspection reports ER monthly reports and DPE lodgment receipts ER endorsement letters for documentation required under this approval, including CEMP and Sub-Plans			Evidence provided of weekly ER inspections being conducted across the Project. ER monthly reports also sighted for the Project to date, including evidence of submission to the Planning Secretary. The ER has also been involved in the review and endorsement of documentation on the	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>c) consider and recommend to the Proponent any improvements that may be made to work practices to avoid or minimise adverse impact to the environment and to the community;</p> <p>d) review documents identified in Conditions A10, A17, A19, C1, C5 and C14 of this schedule and any other documents that are identified by the Planning Secretary, to ensure they are consistent with requirements in or under this approval and if so:</p> <ul style="list-style-type: none"> I. endorse the documents before submission of such documents to the Planning Secretary (if those documents are required to be approved by the Planning Secretary); or II. endorse the documents before the implementation of such documents (if those documents are only required to be submitted to the Planning Secretary / Department for information or are not required to be submitted to the Planning Secretary / Department); <p>e) for documents that are required to be submitted to the Planning Secretary / Department for information under (d)(ii) above, the documents must be submitted as soon as practicable to the Planning Secretary / Department after endorsement by the ER, unless otherwise agreed by the Planning Secretary;</p> <p>f) regularly monitor the implementation of the documents listed in Conditions A10, A17, A19, C1, C5 and C14 of this schedule to ensure implementation is being carried out in accordance with the document and the conditions of this approval;</p> <p>g) as may be requested by the Planning Secretary, help plan or attend audits of the development commissioned by the Department including scoping audits, programming audits, briefings and site visits, but not independent environmental audits required under Condition A39 of this schedule;</p> <p>h) as may be requested by the Planning Secretary, assist in the resolution of community complaints received directly by the Department;</p> <p>i) consider or assess the impacts of minor ancillary facilities comprising lunch sheds, office sheds and portable toilet facilities as required by Condition A21 of this schedule; and</p> <p>j) consider any minor amendments to be made to the Site Establishment Management Plan, CEMP, CEMP Sub-plans and construction monitoring programs without increasing impacts to nearby sensitive receivers, and are consistent with the conditions of this approval and the Site Establishment Management Plan, CEMP, CEMP Sub-plans and construction monitoring programs approved by the Planning Secretary and, if satisfied such amendment is necessary, approve the</p>				<p>Project, including the CEMP and Sub-Plans across all phases.</p> <p>It is noted that No audits have been commissioned by the Secretary under A30 g).</p>	

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>amendment. This does not include any modifications to the conditions of this approval;</p> <p>k) prepare and submit to the Planning Secretary and other relevant regulatory agencies, for information, an Environmental Representative Monthly Report providing the information set out in the Environmental Representative Protocol under the heading "Environmental Representative Monthly Reports". The Environmental Representative Monthly Report must be submitted within seven (7) days following the end of each month for the duration of the ER's engagement for Stage 1 of the CSSI, or as otherwise agreed by the Planning Secretary; and</p> <p>l) assess the impacts of activities as required by the Low Impact Work definition.</p> <p>With respect to (d) above, the ER is not required to endorse the specialist content in documents requiring specialist review and / or endorsement.</p>					
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> <p>a) the Complaints Register (to be provided on a weekly basis or as requested); and</p> <p>b) 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).</p>	<p>Planning Approval Consistency Assessment Form, Version 3.0 27/11/2021</p> <p>Email correspondence re: submission of Consistency Assessment DG01 (Macquarie Lane Carpark) to the ER, dated 17/12/2021</p> <p>Email correspondence from Sydney Metro re: submission of weekly complaints reports to the ER</p> <p>Interview with auditees, 01/03/2022</p>			<p>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.</p>	Compliant
Acoustics Advisor						
A32	<p>A suitably qualified and experienced Acoustics Advisor(s) (AA) in noise and vibration management, who is independent of the design and construction personnel, must be nominated by the Proponent and engaged for the duration of work (as required by Condition A35 of this schedule) and for no less than six (6) months following completion of construction of Stage 1 of the CSSI.</p>	<p>AA approval letter from DPE to Sydney Metro, date d12/04/2021</p>			<p>Mr. Dave Anderson has been approved as the Principal Acoustic Advisor and Mr. Larry Clark has been approved as the Alternate Acoustic Advisor, as per the approval letter from DPE dated 12/04/2021.</p>	Compliant
A33	<p>Work must not commence until an AA has been nominated by the Proponent and approved by the Planning Secretary.</p>	<p>AA approval letter from DPE to Sydney Metro, date d12/04/2021</p> <p>Notification of Commencement letter (revised date), Sydney Metro to DPE, 30/08/2021</p>			<p>The AA was nominated and approved prior to commencement of construction (DPE approval letter dated 12/04/2021, construction commenced 13/07/2021 (see A37).</p>	Compliant
A34	<p>The Proponent must cooperate with the AA by:</p> <p>a) providing access to noise and vibration monitoring activities as they take place;</p> <p>b) providing access to the Complaints Register if requested;</p>	<p>Interview with auditees, 01/03/2022</p> <p>AA inspection reports</p> <p>AA monthly noise and vibration reports</p>			<p>The AA provided evidence that they have online access to live vibration monitoring records.</p> <p>Evidence of Complaints Registers being provided to the AA was sighted (e.g., email of 08/02/2022).</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<ul style="list-style-type: none"> c) providing for review of noise and vibration documents required to be prepared under the conditions of this approval; and d) considering any recommendations to improve practices and demonstrating, to the satisfaction of the AA, why any recommendation is not adopted. 				AA advised that they have attended the Phase A (Quickway) works being undertaken outside standard hours. They have not provided formal reports on these inspections but provide input to ER and directly to Sydney Metro.	
A35	The Proponent may nominate additional suitably qualified and experienced persons to assist the lead AA for the Planning Secretary's approval.	AA approval letter from DPE to Sydney Metro, date d12/04/2021			Mr. Dave Anderson has been approved as the Principal Acoustic Advisor and Mr. Larry Clark has been approved as the Alternate Acoustic Advisor, as per the approval letter from DPE dated 12/04/2021.	Compliant
A36	<p>The approved AA must:</p> <ul style="list-style-type: none"> a) receive and respond to communication from the Planning Secretary in relation to the performance of Stage 1 of the CSSI in relation to noise and vibration; b) consider and inform the Planning Secretary on matters specified in the conditions of this approval relating to noise and vibration; c) consider and recommend, to the Proponent, improvements that may be made to avoid or minimise adverse noise and vibration impacts; d) review all proposed night-time works (with the exception of low risk activities) to determine if sleep disturbance would occur and recommend measures to avoid sleep disturbance or appropriate additional alternative mitigation measures; e) review all noise and vibration documents required to be prepared under the conditions of this approval and, should they be consistent with the conditions of this approval, endorse them before submission to the Planning Secretary (if required to be submitted to the Planning Secretary) or before implementation (if not required to be submitted to the Planning Secretary); f) regularly monitor the implementation of all noise and vibration documents required to be prepared under the conditions of this approval to ensure implementation is in accordance with what is stated in the document and the conditions of this approval; g) review the Proponent's notification of incidents in accordance with Condition A43 of this schedule; h) in conjunction with the ER (where required), the AA must: <ul style="list-style-type: none"> i. as may be requested by the Planning Secretary or Community Complaints Mediator (required by Condition B8 of this schedule), help plan, attend or undertake audits of noise and vibration management of Stage 1 of the CSSI including briefings, and site visits, 	<p>AA inspection reports</p> <p>AA monthly noise and vibration reports and DPE lodgment receipts</p> <p>AA endorsement letters for documentation required under this approval, including detailed noise and vibration impact statements (DNVIS) and out of hours works (OOHW) applications</p>			<p>Observation: The auditor observed that there is limited detailed reporting on the AA's activities on the Project, particularly around activities such as site visits / monitoring and monitoring the implementation of noise and vibration documents. The auditor recommends consideration be given to the preparation of stand-alone reports following the AA's inspections or data monitoring reviews, or alternatively inclusion of greater detail on these activities in the monthly AA reports prepared for the Project, to better demonstrate compliance with clauses f) and h).</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>II. in the event that conflict arises between the Proponent and the community in relation to the noise and vibration performance of Stage 1 of the CSSI, follow the procedure in the Overarching Community Communication Strategy referenced in Condition B1 of this schedule to attempt to resolve the conflict, and if it cannot be resolved, notify the Planning Secretary,</p> <p>III. if requested by the ER, consider relevant minor amendments made to the Site Establishment Management Plan, CEMP, relevant sub-plans and noise and vibration monitoring programs that require updating or are of an administrative nature, and are consistent with the conditions of this approval and the management plans and monitoring programs approved by the Planning Secretary and, if satisfied such amendment is necessary, endorse the amendment, (this does not include any modifications to the conditions of this approval),</p> <p>IV. if requested by the ER, review the noise impacts of minor ancillary facilities, and</p> <p>V. prepare and submit to the Planning Secretary and other relevant regulatory agencies, for information, a Monthly Noise and Vibration Report detailing the AA's actions and decisions on matters for which the AA was responsible in the preceding month. The Monthly Noise and Vibration Report must be submitted within seven (7) days following the end of each month for the duration of the AA's engagement for Stage 1 of the CSSI, or as otherwise agreed by the Planning Secretary.</p>					
Notification of Commencement						
A37	The Department must be notified in writing of the date of commencement of construction before the commencement of construction	<p>Notification of Commencement letter, Sydney Metro to DPE, 04/06/2021</p> <p>Record of submission to DPE, SSI-10038-PA-18, 04/06/2021</p> <p>Notification of Commencement letter (revised date), Sydney Metro to DPE, 30/08/2021</p> <p>Record of submission to DPE, SSI-10038-PA-34, 30/08/2021</p>			<p>Sydney Metro notified DPE on 04/06/2021 that construction would commence on 28/06/2021.</p> <p>A follow up notification was sent by Sydney Metro to DPE on 30/08/2021 advising that construction had actually commenced on 13/07/2021.</p>	Compliant
A38	If construction of Stage 1 of the CSSI is to be phased, the Department must be notified in writing before the commencement of each phase, of the date of the commencement of that phase.	Notification of Commencement letter – Phase A, Sydney Metro to DPE, 30/08/2021	Notification of Commencement letter – Phase B1, Sydney Metro to DPE, 07/12/2021	Notification of Commencement letter – Phase C1, Sydney Metro to DPE, 07/12/2021	<p>The Phase A (Quickway) works commenced on 13/07/2021, as per the revised notification sent by Sydney Metro to DPE on 30/08/2021.</p> <p>Sydney Metro notified DPE on 06/12/2021 that construction would commence on Phase B1 works on 10/12/2021. The auditees advised</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
		Record of submission to DPE, SSI-10038-PA-35, 30/08/2021	Record of submission to DPE, SSI-10038-PA-74, 06/12/2021 Interview with auditees, 01/03/2022	Record of submission to DPE, SSI-10038-PA-75, 07/12/2021	that construction on Phase B1 works actually commenced on 10/01/2022. The Phase C1 (Delta) works commenced on 08/12/2021 at Westmead and Clyde, and 10/12/2021 at Parramatta, as per the revised notification sent by Sydney Metro to DPE on 07/12/2021. Observation: Sydney Metro notified the Department on 06/12/2021 that construction would commence on Phase B1 works on 10/12/2021; however, the auditees advised that the actual construction commencement date for Phase B1 works was 10/01/2022. Notification should be submitted to the Department advising of the actual construction commencement date for Phase B1 works, to avoid any issues around non-compliance with timing of submission of documents required under this approval.	
Independent Environmental Audit						
A39	Independent Audits of Stage 1 of the CSSI must be conducted and carried out in accordance with the Independent Audit Post Approval Requirements (DPIE, 2020).	This audit			This Independent Audit has been carried out in accordance with the Department's 2020 document entitled Independent Audit Post Approval Requirements. This is the first Independent Audit conducted for the project.	Compliant
A39.1	<u>Notwithstanding Condition A39, the Proponent may prepare an audit program to outline the scope and timing of each independent audit that will be undertaken during construction. If prepared, the audit program must be developed in consultation with, and approved by, the Planning Secretary before commencement of the first audit and implemented throughout construction.</u> [SSI-10038 Mod-1]	This audit			This Independent Audit has been carried out in accordance with the Department's 2020 document entitled Independent Audit Post Approval Requirements. An Audit Program has not been prepared as yet.	Not triggered
A40	Proposed independent auditors must be approved by the Planning Secretary before the commencement of an Independent Audit	Approval letter from DPE to Sydney Metro, dated 20/01/2022			The Department approved the Independent Auditors prior to the commencement of the first Independent Audit.	Compliant
A41	The Planning Secretary may require the initial and subsequent Independent Audits to be undertaken at different times to those specified in the Independent Audit Post Approval Requirements (DPIE, 2020), upon giving at least four (4) weeks' notice (or timing as stipulated by the Planning Secretary) to the Proponent of the date upon which the audit must be commenced.	Interview with auditees, 01/03/2022			The auditees are not aware of the Planning Secretary requiring audits to be conducted at different timeframes to that specified in the Independent Audit Post Approval Requirements, or the Audit Program (which is yet to be prepared).	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
A42	Independent Audit Reports and the Proponent's response to audit findings must be submitted to the Planning Secretary within two (2) months of undertaking the independent audit site inspection as outlined in the Independent Audit Post Approval Requirements (DPIE, 2020), unless otherwise agreed by the Planning Secretary.	Site inspection, 28/02/2022			This requirement is due following finalisation of the Audit Report. The site inspection was conducted on 28/02/22. The Audit Report is due 28/04/22.	Not triggered
Incident and Non-compliance Notification and Reporting						
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>Interview with auditees, 01/03/2022</p> <p>At the time of audit, the auditees were not aware of any incidents that meet the criteria under the Planning Approval having occurred.</p>	<p>Record of submission to DPE, SSI-10038-PA-103, 21/01/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Record of submission to DPE, SSI-10038-PA-111, 08/02/2022</p> <p>Environmental Incident and Non-compliance Notification Report – Clyde Unexpected Contamination Find, Sydney Metro, 25/02/2022</p> <p>Record of submission to DPE, SSI-10038-PA-125, 25/02/2022</p> <p>Site inspection, 28/02/2022</p>	<p>The auditees advised that one notifiable incident has occurred on the Phase B (AFJV) works, involving a water main strike at the Sydney Olympic Park site. Evidence demonstrates that the incident was reported to the Planning Secretary in line with A43.</p> <p>Two incidents have also occurred on the Phase C1 (Delta) works:</p> <ul style="list-style-type: none"> A partial structural collapse of the carpark being demolished at Parramatta. Evidence provided indicates that the initial report to the Major Projects website was not made within 24 hours, as required under this condition. Sydney Metro notified DPE via email in line with condition D37(a). An unexpected contamination find at the Clyde worksite on 25 February 2022. Evidence provided indicates that this incident was notified in line with A43. <p>Non-compliance: Evidence provided regarding an incident on the Phase C1 (Delta) works, involving a structural collapse during demolition on 03/02/2022, indicates that the notification of the incident via the Major Projects website did not occur within 24 hours of the initial notification.</p>	Non-compliant
A44	Subsequent notification must be given and reports submitted in accordance with the requirements set out in Appendix A.	<p>Interview with auditees, 01/03/2022</p> <p>Not triggered for Phase A (Quickway) works.</p>	<p>Environmental Incident and Non-compliance Notification Report – Water Strike Homebush, AFJV, 19/01/2022</p> <p>Record of submission to DPE, SSI-10038-PA-106, 30/01/2022</p>	<p>Incident Notification Form – Structural Collapse During Demolition, Sydney Metro, 03/02/2022</p> <p>Record of submission to DPE, SSI-10038-PA-111, 08/02/2022</p> <p>Environmental Incident and Non-compliance Notification Report – Clyde Unexpected Contamination Find, Sydney Metro, 25/02/2022</p>	Evidence provided indicates that incident notification has been undertaken in line with A44.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
				<p>Clyde Oil Seepage Incident Investigation Report, Sydney Metro, Version 2, March 2022</p> <p>Email correspondence confirming submission of Incident Investigation Report to DPE on 07/04/2022, email dated 26/04/2022</p>		
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>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 09/09/2021</p> <p>Record of submission to DPE, SSI-10038-PA-42, 09/09/2021</p>	<p>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 21/12/2021</p> <p>Record of submission to DPE, SSI-10038-PA-89, 22/12/2021</p> <p>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 20/01/2022</p> <p>Record of submission to DPE, SSI-10038-PA-102, 20/01/2022</p>	<p>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 25/11/2021</p> <p>Record of submission to DPE, SSI-10038-PA-71, 25/11/2021</p> <p>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 20/01/2022</p> <p>Record of submission to DPE, SSI-10038-PA-101, 20/01/2022</p>	<p>One non-compliance has been reported for the Phase A (Quickway) works, relating to condition D35 and involving a concrete pour that continued past approved construction hours without notification.</p> <p>The following two non-compliances were reported for the Phase B (AFJV) works:</p> <ul style="list-style-type: none"> Non-compliance against D38, involving out of hours works being undertaken on a date that was not approved under the associated out of hours works approval. Non-compliance against D25 involving archaeological investigation work that was conducted outside of the area described in AMS-01. <p>Two non-compliances were also reported for the Phase C1 (Delta) works, as follows:</p> <ul style="list-style-type: none"> Non-compliance against D114, in relation to the transportation of excavated material from site without obtaining prior waste classification. Non-compliance against D43, relating to an out of hours oversized plant delivery at Westmead that took place prior to endorsement of the Detailed Noise and Vibration Impact Assessment (DNVIS) by the Acoustic Advisor. <p>Sydney Metro provided clarification around the timing of reporting of the non-compliances identified for the Phase C1 (Delta) works to the Planning Secretary. Reporting occurred within seven days of Sydney Metro becoming aware that the events identified were deemed non-compliances with the conditions of the Infrastructure Approval.</p>	Compliant
A46	A non-compliance notification must identify the CSSI (including the application number for it), set out the condition of approval that the	See A45.	See A45.	See A45.	Non-compliance: The notification letter for the non-compliance against D35 reported	Non-compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
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	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. <i>Note: A non-compliance which has been notified as an incident does not need to also be notified as a noncompliance.</i>				for the Phase A (Quickway) works did not include what actions have been or would be undertaken to address the non-compliance. The auditor notes that the notification was submitted within the required timeframe.	
Identification of Workforce						
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.	Sydney Metro West truck sign template Photos of heavy vehicles with signage installed	Sydney Metro West truck sign template	Interview with auditees, 01/03/2022 Not triggered for the Phase C1 (Delta) works as no spoil has been removed from site to date.	AFJV advised that the requirement to have a Project identifier sticker on all heavy vehicles used for spoil haulage has been included in the Spoil Haulage Agreement as a mandatory requirement of plant onboarding. No haulage of spoil was observed to be taking place at the time of the site inspection.	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.	Site inspection, 28/02/2021	Site inspection, 28/02/2021 Photo of The Bays site provided by AFJV from 14/02/2022	Site inspection, 28/02/2021	Signage is in place at the Project sites in line with A48. See photos in Appendix D of the Audit Report.	Compliant
PART B: COMMUNITY INFORMATION AND REPORTING						
Community Information, Consultation and Involvement						
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.	SMW Overarching Community Communications Strategy, Sydney Metro, Rev 2.2, 07/04/2021 Community newsletters and notifications (available on Sydney Metro website) Interview with auditees, 01/03/2022 Site inspection 28/01/2022			Evidence provided during the audit demonstrates that the Overarching Community Communications Strategy is being implemented.	Compliant
Complaints Management System						
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.	SMW Overarching Community Communications Strategy, Sydney Metro, Rev 2.2, 07/04/2021 Sydney Metro Construction Complaints Management System, Version 1, 15/12/2021 Report output from Consultation Manager, Aug 2021 to Feb 2022 Interview with auditees, 01/03/2022			The Complaints Management System document describes and governs the Project's Complaints Management System.	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;	Sydney Metro Construction Complaints Management System, Version 1, 15/12/2021 Phone: 1800 612 173 (community information line open 24 hours) Email: sydneymetrowest@transport.nsw.gov.au https://www.sydneymetro.info/west/project-overview			The Complaints Management System document describes and governs the Complaints Management System. The phone number was tested. No issues.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
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	<ul style="list-style-type: none"> b) a postal address to which written complaints and enquires may be sent; c) an email address to which electronic complaints and enquiries may be transmitted; and d) 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. 	https://www.sydneymetro.info/website-accessibility			<p>The address was sighted on the signage during the inspection.</p> <p>The email address was sighted on the signage during the inspection.</p> <p>The Complaints Management System includes details on escalation and mediation.</p> <p>The Project website demonstrates that accessibility and language considerations have been incorporated.</p>	
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> <ul style="list-style-type: none"> 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. 	<p>Report output from Consultation Manager, Aug 2021 to Feb 2022</p> <p>Interview with auditees, 01/03/2022</p>			<p>A complaints register is being maintained for the Project by Sydney Metro using the software, Consultation Manager. Consultation Manager captures all of the information required under B4.</p> <p>A total of 123 complaints were recorded between 5 August 2021 until 19 February 2022 (based on output reports from Consultation Manager provided by Sydney Metro). The complaints related predominantly to noise, out of hours works, property (acquisition, damage, and access), traffic, consultation, and worker behaviour.</p>	Compliant
B5	<p>Complainants must be advised of the following information before, or as soon as practicable after, providing personal information:</p> <ul style="list-style-type: none"> a) the Complaints Register may be forwarded to government agencies, including the Department (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 	<p>Complaints line recording provided</p> <p>https://www.sydneymetro.info/complaints-privacy-collection-notice</p> <p>Interview with auditees, 01/03/2022</p>			<p>The complaints line included prompts about collection of personal information that was consistent with requirements a) – d) and includes a direction to the website for further information.</p> <p>The website includes the Collection Notice (Collection Statement).</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
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	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.					
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.	Interview with auditees, 01/03/2022			The auditor is not aware of any requests from the Planning Secretary for a copy of the Complaints Register.	Not triggered
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.	<p>Letter from Sydney Metro to Mr Steve Lancken confirming Community Complaints Mediator appointment, 14/12/2021</p> <p>Standing Offer Deed – Sydney Metro Mediation Services, Steve Lancken Conflict Management Pty Ltd trading as Negocio Resolutions, SMC-21-0232, 22/12/2021</p> <p>Letter from Mr Steve Lancken to Sydney Metro, dated 21/03/2022</p> <p>Interview with auditees, 01/03/2022</p>			<p>Sydney Metro has engaged Mr. Stephen Lancken (Steve Lancken Conflict Management Pty Limited t/as Negocio Resolutions) as the Community Complaints Mediator for the Project. Mr. Lancken has issued a letter stating his independence.</p> <p>The auditees advised that there has been no referral of complaints by the ER to date.</p>	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.	<p>Letter from Sydney Metro to Mr Steve Lancken confirming Community Complaints Mediator appointment, 14/12/2021</p> <p>Mediator Standards Board website – https://msb.org.au/mediators</p> <p>Interview with auditees, 01/03/2022</p>			<p>A search of the Mediator Standards Board website confirms that Mr. Stephen Lancken is accredited under the NMAS (ref. 130-3710).</p> <p>As noted above, the auditees advised that there has been no referral of complaints by the ER to date.</p>	Compliant
B9	Community Complaints Mediation will: <ul style="list-style-type: none"> 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 	Interview with auditees, 01/03/2022			Sydney Metro advised that there has been no requirement to date for Community Complaints Mediation in relation to the Project.	Not triggered
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.	<p>SMW Overarching Community Communications Strategy, Sydney Metro, Rev 2.2, 07/04/2021</p> <p>Sydney Metro Construction Complaints Management System, Version 1, 15/12/2021</p> <p>Interview with auditees, 01/03/2022</p>			The Complaints Management System described under B2 has been executed. No Community Complaints Mediation has been enacted to date.	Compliant
Provision of Electronic Information						
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)	<p>Sydney Metro website – https://www.sydneymetro.info/documents</p> <p>Phase A (Quickway) website – https://www.quickway.com.au/projects/sydney-metro-west-power-enabling-works/</p> <p>Phase B (AFJV) website – https://www.accion.com.au/sydney-metro-west-ctp/?_adin=0183579827</p>			<p>All documents required under B11 are able to be accessed from the Project website.</p> <p>Observation: The auditor found that the Project website is not easy to navigate and</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
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	<p>must be published before the relevant work commencing and maintained on the website or dedicated pages including:</p> <ul style="list-style-type: none"> 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. 	Phase B (Delta) website – https://www.deltagroup.com.au/sydney-metro-west-project/			that the process of finding the Instrument of Approval is not particularly straightforward.	
PART C: CONSTRUCTION ENVIRONMENTAL MANAGEMENT						
Construction Environmental Management Plan						
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	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 ER endorsement letter - Power Enabling Works Construction Environmental Management Plan, Rev 1.0, dated 04/11/2021	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021 ER endorsement letter DPE approval letter – CTP CEMP and Sub Plans, 20/12/2021	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021 ER endorsement letter DPE approval letter	CEMP and Sub-plans for each phase of the Project have been developed in accordance with CEMF requirements and have been endorsed by ER/approved by the Planning Secretary, as required.	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.	SMW Power Enabling Works Construction Environmental Management	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021	Refer to C1.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status																		
		Phase A	Phase B	Phase C1																				
		Plan, Quickway, Rev 1.0, 02/11/2021 ER endorsement letter - Power Enabling Works Construction Environmental Management Plan, Rev 1.0, dated 04/11/2021	ER endorsement letter DPE approval letter – CTP CEMP and Sub Plans, 20/12/2021	ER endorsement letter DPE approval letter																				
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.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 ER endorsement letter - Power Enabling Works Construction Environmental Management Plan, Rev 1.0, dated 04/11/2021	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021 ER endorsement letter DPE approval letter – CTP CEMP and Sub Plans, 20/12/2021	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021 ER endorsement letter DPE approval letter	Refer to C1 and A48.	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.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 ER endorsement letter - Power Enabling Works Construction Environmental Management Plan, Rev 1.0, dated 04/11/2021	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021 ER endorsement letter DPE approval letter – CTP CEMP and Sub Plans, 20/12/2021	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021 ER endorsement letter DPE approval letter	CEMPs for the Project were endorsed by the ER prior to submission to the Planning Secretary for approval.	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 (ies) request(s) is not included, the Proponent must provide the Planning Secretary / ER (whichever is applicable) justification as to why: <table border="1" data-bbox="341 1570 1038 1864"> <thead> <tr> <th></th> <th>Required CEMP Sub-plan</th> <th>Relevant government agencies to be consulted for each CEMP Sub-plan</th> </tr> </thead> <tbody> <tr> <td>(a)</td> <td>Noise and vibration</td> <td>SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</td> </tr> <tr> <td>(b)</td> <td>Flora and fauna</td> <td>DPIE EES, DPI Fisheries, SOPA (in respect of Sydney Olympic Park) and Relevant Council(s)</td> </tr> <tr> <td>(c)</td> <td>Soil and water</td> <td>DPIE EES, Relevant Council(s), SOPA (in respect of Sydney Olympic Park) and Sydney Water (if Sydney Water's assets are affected)</td> </tr> <tr> <td>(d)</td> <td>Heritage (Non-Aboriginal and Aboriginal)</td> <td>Heritage NSW, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</td> </tr> <tr> <td>(e)</td> <td>Spoil</td> <td>Relevant Council(s) and SOPA (in respect of Sydney Olympic Park)</td> </tr> </tbody> </table>		Required CEMP Sub-plan	Relevant government agencies to be consulted for each CEMP Sub-plan	(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	DPIE EES, DPI Fisheries, SOPA (in respect of Sydney Olympic Park) and Relevant Council(s)	(c)	Soil and water	DPIE EES, Relevant Council(s), SOPA (in respect of Sydney Olympic Park) and Sydney Water (if Sydney Water's assets are affected)	(d)	Heritage (Non-Aboriginal and Aboriginal)	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)	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 ER endorsement letter - Power Enabling Works Construction Environmental Management Plan, Rev 1.0, dated 04/11/2021 SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021 ER endorsement DPE approval	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021 SMW CTP Heritage Management Plan, Rev 03, 16/11/2021 SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021 ER endorsement letter	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021 SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 ER endorsement letter DPE approval letter	The CEMP Sub-plans prepared for the Project have been prepared in line with C5, as evidenced by their endorsement by the ER and approval by the Planning Secretary. For the Phase B (AFJV) works, the Planning Secretary conditionally approved the Construction Noise and Vibration Management Plan, subject to the Project resolving consultation with Sydney Olympic Park Authority (SOPA) in accordance with the requirements of condition C5.	Compliant
	Required CEMP Sub-plan	Relevant government agencies to be consulted for each CEMP Sub-plan																						
(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	DPIE EES, DPI Fisheries, SOPA (in respect of Sydney Olympic Park) and Relevant Council(s)																						
(c)	Soil and water	DPIE EES, Relevant Council(s), SOPA (in respect of Sydney Olympic Park) and Sydney Water (if Sydney Water's assets are affected)																						
(d)	Heritage (Non-Aboriginal and Aboriginal)	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)																						

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			DPE approval letter			
C6	<p>The CEMP Sub-plans must state how:</p> <ul style="list-style-type: none"> 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. 	<p>SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021</p> <p>SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021</p> <p>ER endorsement</p> <p>DPE approval</p>	<p>SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021</p> <p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021</p> <p>SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021</p> <p>SMW CTP Heritage Management Plan, Rev 03, 16/11/2021</p> <p>SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021</p> <p>ER endorsement letter</p> <p>DPE approval letter</p>	<p>SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021</p> <p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021</p> <p>SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022</p> <p>ER endorsement letter</p> <p>DPE approval letter</p>	<p>The CEMP Sub-plans prepared for the Project have been prepared in line with C6, as evidenced by their endorsement by the ER and approval by the Planning Secretary.</p>	Compliant
C7	<p>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.</p>	<p>SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021</p> <p>SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021</p> <p>ER endorsement</p> <p>DPE approval</p>	<p>SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021</p> <p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021</p> <p>SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021</p> <p>SMW CTP Heritage Management Plan, Rev 03, 16/11/2021</p> <p>SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021</p>	<p>SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021</p> <p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021</p> <p>SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022</p> <p>ER endorsement letter</p> <p>DPE approval letter</p>	<p>The CEMP Sub-Plans prepared for the Project have been endorsed by the approved by the Planning Secretary.</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
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			ER endorsement letter DPE approval letter			
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.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021 ER endorsement letter DPE approval letter	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021 SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021 SMW CTP Heritage Management Plan, Rev 03, 16/11/2021 SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021 ER endorsement letter DPE approval letter	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021 SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021 SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 ER endorsement letter DPE approval letter	The CEMP Sub-Plans prepared for the Project have been endorsed by the ER.	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.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021 ER endorsement letter DPE approval letter	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021 SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021 SMW CTP Heritage Management Plan, Rev 03, 16/11/2021	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021 SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021 SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 ER endorsement letter DPE approval letter	The CEMP Sub-Plans were submitted to the Planning Secretary at least .one month before construction.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
			SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021 ER endorsement letter DPE approval letter			
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> <p style="text-align: right;"><u>SSI-10038 Mod-1</u></p>	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021 ER endorsement letter DPE approval letter	SMW CTP Construction Environmental Management Plan, AFJV, Rev 3, 09/11/2021 SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 ER endorsement letter, CTP Flora and Fauna Management Plan, dated 21/10/2021 SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021 ER endorsement letter - CTP Soil and Water Management Plan, dated 04/11/2021 SMW CTP Heritage Management Plan, Rev 03, 16/11/2021 ER endorsement letter – CTP Heritage Management Plan, dated 26/10/2021 SMW CTP Spoil Management Plan, AFJV, Rev 03, 27/10/2021 DPE approval letter – CTP Spoil Management Plan, dated 12/11/2021	SMW Demolition Works Construction Environmental Management Plan, Delta, Revision 6, 22/12/2021 SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021 SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 ER endorsement letter DPE approval letter	The CEMP and Sub-Plans were approved by the Planning Secretary prior to commencement 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:	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021	SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 ER endorsement letter, CTP Flora and Fauna	SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 ER endorsement letter	The Flora and Fauna Sub-plans prepared for the Project have been prepared in line with C13, as evidenced by their endorsement by the ER and approval by the Planning Secretary.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<ul style="list-style-type: none"> 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. 	ER endorsement letter DPE approval letter	Management Plan, dated 21/10/2021 DPE approval letter	DPE approval letter		
C12	In addition to the relevant requirements of the CEMF, the Soil and Water CEMP Sub-plan must include, but not be limited to: <ul style="list-style-type: none"> 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. 	SMW Power Enabling Works Construction Environmental Management Plan (Appendix H – Soil and Water Management Plan), Quickway, Rev 1.0, 02/11/2021 ER endorsement letter DPE approval letter	SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021 ER endorsement letter - CTP Soil and Water Management Plan, dated 04/11/2021 DPE approval letter – CTP CEMP and Sub Plans, 20/12/2021	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	The Soil and Water Sub-plans prepared for the Project have been prepared in line with C13, as evidenced by their endorsement by the ER and approval by the Planning Secretary.	Compliant
C13	In addition to the relevant requirements of the CEMF, the Heritage CEMP Sub-plan must include, but not be limited to: <ul style="list-style-type: none"> a) be prepared in consultation with a suitably qualified and experienced heritage expert; b) identify exclusion zones, archival recording requirements, baseline and periodic monitoring protocols (including before and during construction); 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; d) in association with Condition D61 of this schedule, set out the final site inspections to be conducted within three (3) months 	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	SMW CTP Heritage Management Plan, Rev 03, 16/11/2021 ER endorsement letter – CTP Heritage Management Plan, dated 26/10/2021 DPE approval letter – CTP CEMP and Sub Plans, 20/12/2021	SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021 ER endorsement letter – Demolition Heritage Management Sub-Plan, dated 04/11/2021 DPE approval letter – Heritage Management Plan Phase C1, dated 02/12/2021	The Heritage Sub-plans prepared for the Project have been prepared in line with C13, as evidenced by their endorsement by the ER and approval by the Planning Secretary.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status															
		Phase A	Phase B	Phase C1																	
	<p>of completion of construction for the following heritage sites unless otherwise agreed by the Planning Secretary:</p> <ol style="list-style-type: none"> I. the Roxy Theatre (SHR I00711); II. White Bay Power Station (SHR I01015); III. the former State Abattoirs (State Environmental Planning Policy (State Significant Precincts) 2005 Item 141); and IV. the RTA Depot facade fronting Unwin Street (Parramatta Local Environmental Plan 2011 I576); and <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>																				
Construction Monitoring Programs																					
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> <table border="1" data-bbox="341 1459 1038 1701"> <thead> <tr> <th></th> <th>Required Construction Monitoring Programs</th> <th>Relevant government agencies to be consulted for each Construction Monitoring Program</th> </tr> </thead> <tbody> <tr> <td>(a)</td> <td>Noise and vibration</td> <td>EPA, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</td> </tr> <tr> <td>(b)</td> <td>Blasting</td> <td>SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)</td> </tr> <tr> <td>(c)</td> <td>Surface water quality</td> <td>DPIE Water, Relevant Council(s) and Sydney Water (if any Sydney Water assets are impacted)</td> </tr> <tr> <td>(d)</td> <td>Groundwater</td> <td>DPIE Water and SOPA (in respect of Sydney Olympic Park)</td> </tr> </tbody> </table> <p><i>Note: The Blasting Construction Monitoring Program is only required to be prepared if blasting is proposed to be conducted during construction.</i></p>		Required Construction Monitoring Programs	Relevant government agencies to be consulted for each Construction Monitoring Program	(a)	Noise and vibration	EPA, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)	(b)	Blasting	SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)	(c)	Surface water quality	DPIE Water, Relevant Council(s) and Sydney Water (if any Sydney Water assets are impacted)	(d)	Groundwater	DPIE Water and SOPA (in respect of Sydney Olympic Park)	<p>Applicable for noise and vibration monitoring program only (as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021).</p> <p>SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021</p> <p>Monthly N&V reports presented to SM, AA and ER and uploaded to Quickway website</p> <p>https://www.quickway.com.au/projects/sydney-metro-west-power-enabling-works/</p> <p>Consultation on the Noise & Vibration Monitoring program has occurred and</p>	<p>Applicable for all monitoring programs except (b) blasting (as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021).</p> <p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>AA endorsement letter - CTP Construction Noise and Vibration Management Plan, dated 27/10/2021</p> <p>ER endorsement letter - CTP Construction Noise and Vibration Management Plan, dated 01/11/2021</p>	<p>Applicable for noise and vibration monitoring program only (as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021).</p> <p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p>	Compliant as per evidence referenced.	Compliant
	Required Construction Monitoring Programs	Relevant government agencies to be consulted for each Construction Monitoring Program																			
(a)	Noise and vibration	EPA, SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)																			
(b)	Blasting	SOPA (in respect of Sydney Olympic Park), Place Management NSW (in respect of The Bays) and Relevant Council(s)																			
(c)	Surface water quality	DPIE Water, Relevant Council(s) and Sydney Water (if any Sydney Water assets are impacted)																			
(d)	Groundwater	DPIE Water and SOPA (in respect of Sydney Olympic Park)																			

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
		the program was approved by DPIE on 23/06/2021.	<p>SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021</p> <p>SMW CTP Surface Water Quality Monitoring Program, AFJV, Rev 02, 25/10/2021</p> <p>ER endorsement letter – CTP Surface Water Quality Monitoring Program, dated 04/11/2021</p> <p>SMW CTP Construction Groundwater Management Plan, Rev 02, 25/10/2021</p> <p>ER endorsement letter – CTP Construction Groundwater Management Plan, dated 02/11/2021</p>			
C15	<p>Each Construction Monitoring Program must provide:</p> <ul style="list-style-type: none"> 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. 	SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021.	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021</p> <p>SMW CTP Construction Groundwater Management Plan, Rev 02, 25/10/2021</p>	<p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>Noise and Vibration Construction Monitoring Program included in the AA endorsed and DPIE approved NVMP (See Condition C1)</p>	Compliant as per evidence referenced.	Compliant
C16	<p>The Noise and Vibration Construction Monitoring Program and Blasting Construction Monitoring Program must include:</p> <ul style="list-style-type: none"> a) noise and vibration monitoring determined in consultation with the AA to confirm the best achievable construction noise and 	SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021.	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021	Compliant as per evidence referenced.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>vibration levels with consideration of all reasonable and feasible mitigation and management measures that will be implemented;</p> <p>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</p> <p>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.</p>		<p>AA endorsement letter - CTP Construction Noise and Vibration Management Plan, dated 27/10/2021</p> <p>ER endorsement letter - CTP Construction Noise and Vibration Management Plan, dated 01/11/2021</p> <p>NB. Blasting Monitoring Program not required for Phase B (AFJV) works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Noise and Vibration Construction Monitoring Program included in the AA endorsed and DPIE approved NVMP (See Condition C1)</p> <p>Blasting Construction Monitoring Program not required as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>		
C17	<p>Groundwater Construction Monitoring Program must include:</p> <p>a) groundwater monitoring networks at each construction excavation site;</p> <p>b) detail of the location of all monitoring bores with nested sites to monitor both shallow and deep groundwater levels and quality;</p> <p>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;</p> <p>d) results from existing monitoring bores;</p> <p>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;</p> <p>f) trigger levels for groundwater quality, salinity and groundwater drawdown in monitoring bores and / or other groundwater users;</p> <p>g) daily measurement of the amount of water discharged from the water treatment plants;</p> <p>h) water quality testing of the water discharged from treatment plants;</p> <p>i) management and mitigation measures and criteria;</p> <p>j) groundwater inflow to the excavations to enable a full accounting of the groundwater take from the Sydney Basin Central Groundwater Source; and</p> <p>k) reporting of groundwater gauging at excavations, groundwater monitoring, groundwater trigger events and action responses; and</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>SMW CTP Construction Groundwater Management Plan, Rev 02, 25/10/2021</p> <p>ER endorsement letter – CTP Construction Groundwater Management Plan, dated 02/11/2021</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Compliant as per evidence referenced.</p>	<p>Compliant</p>

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	l) methods for providing the data collected to Sydney Water where discharges are directed to their assets.					
C18	With the exception of any Construction Monitoring Programs expressly nominated by the Planning Secretary to be endorsed by the ER, all Construction Monitoring Programs must be submitted to the Planning Secretary for approval.	Only the Construction Noise and Vibration Monitoring Program (included in CNVMP) was required to be approved and this was approved by the Secretary on 23/6/21	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 Noise and Vibration Construction Monitoring Program included in the AA endorsed and DPIE approved NVMP (See Condition C1)	Compliant as per evidence referenced.	Compliant
C19	The Construction Monitoring Programs 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 undertakings made in the documents listed in Condition A1 of this schedule. Any of these Construction Monitoring Programs must be submitted to the ER for endorsement at least 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.	ER endorsed the Noise and Vibration Management Plan –29/3/21 including the Monitoring Program	ER endorsement letter - CTP Construction Noise and Vibration Management Plan, dated 01/11/2021 ER endorsement letter – CTP Surface Water Quality Monitoring Program, dated 04/11/2021 ER endorsement letter – CTP Construction Groundwater Management Plan, dated 02/11/2021	ER endorsement letter for AQMSP, 21/10/2021 ER endorsement letter for Heritage Management Sub-Plan, 04/11/2021 ER endorsement letter for CVNMP ER endorsement letter for FFFMP, 05/11/2021 ER endorsement letter for Waste Management Sub-Plan, 21/10/2021	Compliant as per evidence referenced.	Compliant
C20	Any of the Construction Monitoring Programs which require Planning Secretary approval must be endorsed by the ER and then submitted to the Planning Secretary for approval at least 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.	Secretary approved CNVMP (including monitoring program) on 23/6/21 Construction commencement date 13 th July 2021	ER endorsement letter - CTP Construction Noise and Vibration Management Plan, dated 01/11/2021 ER endorsement letter – CTP Surface Water Quality Monitoring Program, dated 04/11/2021 ER endorsement letter – CTP Construction Groundwater Management Plan, dated 02/11/2021	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 Noise and Vibration Construction Monitoring Program included in the ER endorsed and DPIE approved NVMP (See Condition C1)	Compliant as per evidence referenced.	Compliant
C21	Unless otherwise agreed with the Planning Secretary, construction must not commence until the Planning Secretary has approved, or the ER has endorsed (whichever is applicable), all of the required Construction Monitoring Programs and all relevant baseline data for the specific construction activity has been collected.	CEMP and sub plans are all endorsed by ER, with the exception of Noise and Vibration Monitoring Program which was by Planning Secretary on 23/6/21. CEMP was endorsed by the ER prior to	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 Noise and Vibration Construction Monitoring Program endorsed or	Compliant as per evidence referenced.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
		<p>construction works commencing.</p> <p>ER endorsed CEMP 18th June 2021</p> <p>Noise monitoring reports available on Quickway website indicate monitoring commenced 1/9/21</p> <p>Construction commencement date 13/7/21</p>	SMW CTP Construction Groundwater Management Plan, Rev 02, 25/10/2021	<p>approved prior to commencing Phase C1.</p> <p>The approved NVCMP outlined why baseline monitoring could not be collected due to significant Covid-19 restrictions with the LGAs of concern (Parramatta and Cumberland).</p>		
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.	<p>Noise monitoring reports available on Quickway project website:</p> <p>https://www.quickway.com.au/projects/sydney-metro-west-power-enabling-works/</p>	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>SMW CTP Soil and Water Management Plan, AFJV, Rev 03, 03/11/2021</p> <p>SMW CTP Construction Groundwater Management Plan, Rev 02, 25/10/2021</p>	<p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>The Noise and Vibration Construction Monitoring Program has been implemented across the Phase C1 works.</p> <p>Evidence sighted include monthly AA and ER reports</p>	Compliant as per evidence referenced.	Compliant
C23	<p>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.</p> <p><i>Note: Where a relevant CEMP Sub-plan exists, the relevant Construction Monitoring Program may be incorporated into that CEMP Sub-plan.</i></p>	<p>December 2021 noise monitoring reports lodged to Major Project Portal on 21/12/2021 and 10/01/2022</p> <p>Numerous records of attended noise monitoring sighted and evidence of them having been submitted to ER and AA sighted. Monitoring appears to have been conducted monthly, as required by Noise Monitoring Program.</p>	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021	Compliant as per evidence referenced.	Compliant
PART D: KEY ISSUE CONDITIONS						
Air Quality						
D1	All reasonably practicable measures must be implemented to minimise the emission of dust and other air pollutants during construction.	SMW Power Enabling Works Construction Environmental Management Plan (Section 7.7 – Air Quality Management), Quickway, Rev 1.0, 02/11/2021	<p>SMW CTP Air Quality Management Plan, AFJV, Rev 01, 13/10/2021</p> <p>Site inspection, 28/02/2021</p>	<p>SMW Demolition Air Quality Management Sub-Plan, Delta, Dev 2, 13/10/2021</p> <p>Site inspection, 28/02/2021</p>	<p>Dust and air quality issues are being managed as needed through controls such as water carts, street sweepers, water cannons, water sprayers, sprinklers, and hand-held hoses.</p> <p>No air quality issues were observed during the site inspection. See photos in Appendix D of the Audit Report.</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status										
		Phase A	Phase B	Phase C1												
		Site inspection, 28/02/2021			A number of air quality and dust related complaints have been raised, all of which have been closed.											
Biodiversity and Trees																
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.	SMW Power Enabling Works Construction Environmental Management Plan (Section 7.1 – Flora and Fauna Management), Quickway, Rev 1.0, 02/11/2021 Site inspection, 28/02/2022	SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 Site inspection, 28/02/2022	SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 Site inspection, 28/02/2022	Vegetation clearing on the Project has been carried out in line with Flora and Fauna Management Plans prepared and has been minimized as far as practicable.	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	SMW Power Enabling Works Construction Environmental Management Plan (Section 7.1 – Flora and Fauna Management), Quickway, Rev 1.0, 02/11/2021 Site inspection, 28/02/2022	SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 Site inspection, 28/02/2022	SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 Site inspection, 28/02/2022	The auditor is not aware of any impacts to plant community types exceeding those identified in the documents listed in Condition A1 of this schedule.	Not triggered										
D4	Before any vegetation clearing or tree removal that must be offset, 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. <table border="1" data-bbox="338 1234 1032 1465"> <caption>Table 3: Biodiversity Credits to be Retired</caption> <thead> <tr> <th>Credit Type</th> <th>Number of Credits</th> </tr> </thead> <tbody> <tr> <td colspan="2">Ecosystem Credits</td> </tr> <tr> <td>Mangrove Forests in estuaries of the Sydney Basin Bioregion and South East Corner Bioregion (Plant Community Type 920) - Poor</td> <td>3</td> </tr> <tr> <td colspan="2">Species Credits for Threatened Species</td> </tr> <tr> <td>Myotis macropus / Southern Myotis (Fauna)</td> <td>3</td> </tr> </tbody> </table> Note: Credits have been calculated using the Biodiversity Assessment Method.	Credit Type	Number of Credits	Ecosystem Credits		Mangrove Forests in estuaries of the Sydney Basin Bioregion and South East Corner Bioregion (Plant Community Type 920) - Poor	3	Species Credits for Threatened Species		Myotis macropus / Southern Myotis (Fauna)	3	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Statement confirming payment into the Biodiversity Conservation Fund for an offset obligation, Biodiversity Conservation Trust, dated 10/02/2022 Interview with auditees, 01/03/2022	Sighted statement from Biodiversity Conservation Trust confirming that Sydney Metro has made payment into the Biodiversity Conservation Fund under section 6.30(1) of the Act to satisfy an obligation to retire biodiversity credits, in line with D4 and D5. The auditees advised that there has been no removal of mangrove forests or Myotis macropus / Southern Myotis during the Phase C1 (Delta) works to date.	Compliant
Credit Type	Number of Credits															
Ecosystem Credits																
Mangrove Forests in estuaries of the Sydney Basin Bioregion and South East Corner Bioregion (Plant Community Type 920) - Poor	3															
Species Credits for Threatened Species																
Myotis macropus / Southern Myotis (Fauna)	3															
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Statement confirming payment into the Biodiversity Conservation Fund for an offset obligation, Biodiversity Conservation Trust, dated 10/02/2022	Sighted statement from Biodiversity Conservation Trust confirming that Sydney Metro has made payment into the Biodiversity Conservation Fund under section 6.30(1) of the Act to satisfy an obligation to retire biodiversity credits, in line with D4 and D5.	Compliant										
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	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Letter from DPE to Sydney Metro re: 'Evidence of Biodiversity Offset Credits Retirement', dated 15/03/2021	Sighted letter from DPE acknowledging that Sydney Metro has retired Biodiversity Offset Credits in accordance with condition D6. The auditees advised that there has been no removal of mangrove forests or Myotis	Compliant										

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	above before any vegetation clearing or tree removal that must be offset.			https://majorprojects.planninportal.nsw.gov.au/prweb/PRRestService/mp/01/getContent?AttachRef=SSI-10038-PA-123%2120220315T033236.351%20GMT	macropus / Southern Myotis during the Phase C1 (Delta) works to date.	
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Inspection Test Plan / Checklist: Clyde Demolition and Clearance Works (Flora and Fauna Management Pre-clearing/demolition Inspection), 11/10/2021	Inspection completed by suitably qualified and experienced ecologist from Lodge Environmental on 10/11/2021. Microbat management addressed in ITP provided.	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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Refer to D7.	Condition not triggered for the Phase C1 (Delta) works as no roosting sites have been identified (see D7).	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.	SMW Power Enabling Works Construction Environmental Management Plan (Section 7.1 – Flora and Fauna Management), Quickway, Rev 1.0, 02/11/2021 Site inspection, 28/02/2022	SMW CTP Flora and Fauna Management Plan, AFJV, Rev 02, 14/10/2021 Site inspection, 28/02/2022	SMW Demolition Flora and Fauna Management Sub-Plan, Rev 8, 17/01/2022 Site inspection, 28/02/2022	Evidence sighted during site inspection of trees being retained at the Project worksites. It appears that tree trimming has been minimised to the greatest extent practicable.	Compliant
Flooding						
D10	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 (1) per cent AEP flood event; and	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Memorandum: The Bays Flood Assessment – Retaining Systems, AFJV, 08/02/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Flood memo provided by AFJV notes the design currently does not comply with D10(b) at seven locations outside the boundary of the construction site due to increased duration of inundation of more than one hour in the 1% AEP event. All non-conforming locations are open space with size of each impacted location varying between 10 and 200 square metres. The memo also includes recommendations for mitigation measures to be considered in the design of the temporary works package to address safety of workers and future drainage issues for the trapped low areas.	Non-compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>d) no inundation of floor levels which are currently not inundated in a one (1) per cent AEP flood event.</p> <p>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, DPIE Water, DPI Fisheries, DPIE EES, NSW State Emergency Service (SES), SOPA (in respect of Sydney Olympic Park) and Relevant Council(s).</p>				<p>Non-compliance: Details provided for flood modelling at The Bays (Phase B (AFJV) works) indicates that the design currently does not comply with D10(b) at seven locations outside the boundary of the construction site due to increased duration of inundation of more than one hour in the 1% AEP event. The auditor is not aware of this being formally reported as a non-compliance.</p>	
D11	<p>Where flooding characteristics exceed the levels identified in Condition D10 above the Proponent must undertake the following:</p> <p>a) consult with property owners for properties adversely flood affected as a result of Stage 1 of the CSSI and mitigate where necessary; and</p> <p>b) (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.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Memorandum: The Bays Flood Assessment – Retaining Systems, AFJV, 08/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Based on the evidence provided for The Bays site, flooding characteristics do not appear to exceed the levels identified in D10.</p>	Not triggered
D12	<p>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), DPIE EES 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), DPIE EES 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), DPIE EES 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), DPIE EES 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), DPIE EES, SES and SOPA (in respect of Sydney Olympic Park) no later than one (1) month following the completion of construction.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Construction is currently being undertaken.</p>	Not triggered
Heritage						
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>SMW Power Enabling Works Construction Environmental Management Plan (Appendix G: Unexpected Heritage Finds and Human Remains Procedure), Quickway, Rev 1.0, 02/11/2021</p>	<p>SMW CTP Heritage Management Plan, Rev 03, 16/11/2021</p>	<p>SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021</p>	<p>Heritage management plans have been prepared and approved for each phase of the Project. The plans incorporated the Sydney Metro Unexpected Heritage Finds Procedure (see D31).</p> <p>There have been no reports to date of the Project physically affecting any Heritage item</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
					not identified in documents referred to in Condition A1.	
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.	Condition not triggered for the Phase A (Quickway) works.	Low Impact Works 009 Heritage Assessment Memo for The Bays, Artefact, 26/11/2022 Email correspondence re: method for affixing monitoring equipment at White Bay Power Station, dated 14/12/2021	Letter from Susan Rosen Associates to Delta: Heritage Impact of Accelerometer Deployments at 62-64 Macquarie St, (Kia Ora Building) and 43-47 George St, Parramatta, dated 11/04/2022	Evidence provided of vibration monitors being installed in heritage items at The Bays and Parramatta, in consultation with heritage expert. Refer to Non-compliance raised for the Phase C1 (Delta) works against D47.	Compliant
D15	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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Advice from GML dated 8 December 2021 and 28 January 2022 sighted Email from Sydney Metro to Delta, dated 09/12/2021 Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	Delta advised that it is currently unclear if the current demolition works are not likely to impact the Convict Drain. Email from Sydney Metro to Delta notes the following: "Further to the below, an ITP similar to what Swan provided for Clyde (attached) should be in place. In addition, given the suspended slab and location of the Convict Drain, you will need to update the demolition method to detail the work method in and around this area and have GML certify that the method complies with the ARDEM including any observations from GML that may be required to comply with the ARDEM. request GML" Excavation at the Parramatta metro station construction site has not yet commenced.	Not triggered
D16	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. 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	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	Installation of protective scaffolding installed on the outside of building being demolished adjacent to the Kia Ora Georgian House. Delta advised that no direct contact with the Kia Ora Building was required. See photos in Appendix D of the Audit Report.	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.	SMW Power Enabling Works Construction Environmental Management Plan (Section 7.5 Non-Aboriginal Heritage), Quickway, Rev 1.0, 02/11/2021 Interview with auditees, 01/03/2022	SMW CTP Heritage Management Plan, Rev 03, 16/11/2021 Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021 Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	For the Phase A (Quickway) works, management measures to protect the White Bay Power Station heritage site are included in the CEMP. Quickway advised that there are no works as part of their scope that would likely impact this heritage item. Delta advised that the RTA Depot facade and Roxy Theatre has not been impacted by the works at Clyde and Parramatta respectively.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
					AFJV advised of vibration monitoring being undertaken at White Bay Power Station to ensure no adverse impacts occur. Bulk excavation has not yet commenced at The Bays site.	
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 salvaged materials and moveable heritage register. The register must identify significant items to be salvaged. Salvage must occur where significance is retained and / 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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Salvage Report, The Pine Inn, Comber Consultants, Rev B, 22/02/2022 Interview with auditees, 01/03/2022	Heritage Salvage Advice 220 Church Street, 48 Macquarie Street and Parramall Shopping Centre, submitted to Sydney Metro July 2021	For the Phase B (AFJV) works, the auditors advised that three buildings were identified as being of potential local significance. Two of these buildings were assessed due to the need for demolition, and one was confirmed as local heritage (The Pine Inn at Burwood). A salvage report has been prepared for this item. For the Phase C1 (Delta) works, the auditees advised that none of the items identified for salvage in the report evidenced have yet been removed.	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.	SMW Power Enabling Works Construction Environmental Management Plan (Section 7.6 Aboriginal Heritage), Quickway, Rev 1.0, 02/11/2021	SMW CTP Heritage Management Plan, Rev 03, 16/11/2021	SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021	Heritage management plans have been prepared and approved for each phase of the Project. The plans incorporated the Sydney Metro Unexpected Heritage Finds Procedure (see D31). There have been no reports to date of the Project impacting Aboriginal objects except as authorised by this approval.	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.	Condition not triggered for the Phase A (Quickway) works.	Interview with auditees, 01/03/2022	Interview with auditees, 01/03/2022	Minutes from initial Aboriginal Focus Group meeting with the RAPs on 02/11/2021 sighted. Sydney Metro provided examples of ongoing consultation that has occurred with the RAPs, including: <ul style="list-style-type: none">• Review of the methodology for Aboriginal archaeological test excavation at Clyde. The methodology was issued to RAPs on 30 November 2021.• Ongoing participation in the Aboriginal archaeological program at Parramatta including the Aboriginal archaeological test excavation at Parramatta in March 2022• Review of methodology for Aboriginal archaeological test excavation in accordance with the Code of Practice for the Archaeological Investigation of Aboriginal Objects 2010 in Parramatta Park. Methodology was issued to RAPs on 9 March 2022.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
					Sydney Metro advised that RAPs will also participate in the Aboriginal archaeological test excavation at Clyde in April 2022.	
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022	Not applicable to the current Phase C1 (Delta) works.	AFJV has showed no impact to PAD site at The Bays, therefore an Aboriginal Archaeological Test Excavation Methodology(s) not deemed to be required. Project currently working on getting agreement from the RAPs and planning to consult with Heritage NSW and send this to DPE for agreement. AFJV advised that report from Excavation Director confirms no impact to the PAD site. Some work has occurred within the boundary of the site, but has been undertaken under the Archaeological Method Statement and direction of the Excavation Director.	Compliant
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Archaeological Research Design and Excavation Methodology	Clyde—Sydney Metro Aboriginal Heritage Work Method Statement (Draft Report), Issue No. 2, 30/11/2021 Sydney Metro West Parramatta Station Construction Site Aboriginal Heritage Report (Report prepared for Sydney Metro), October 2021 Various SM emails dated 26/27 October 2021 indicate consultation has occurred	Condition deemed compliant as per evidence provided.	Compliant
D23	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 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. The Aboriginal Cultural Heritage Excavation Report(s) must document the results of the archaeological test excavations and any subsequent salvage excavations. The RAPs must be given a minimum of 28 days to consider the report and provide comments before the report is finalised. The final report must be provided to Heritage NSW within 24 months of the completion of the Aboriginal archaeological excavations (both test and salvage).	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not triggered at this stage as Aboriginal cultural heritage test and salvage excavations have not yet been completed.	Not applicable to the current Phase C1 (Delta) works.	Not triggered at this stage for the Project.	Not Triggered
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	SMW Power Enabling Works Construction Environmental Management	SMW CTP Heritage Management Plan, Rev 03, 16/11/2021	SMW Demolition Heritage Management Sub-Plan, Rev 3, 25/10/2021	The auditees advised that there have been no previously unidentified Aboriginal objects discovered during the Project works to date.	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	contacted to provide specialist heritage advice, before construction commences. 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).	Plan (Appendix G), Quickway, Rev 1.0, 02/11/2021 Interview with auditees, 01/03/2022	Interview with auditees, 01/03/2022	Interview with auditees, 01/03/2022		
D25	<p>Excavation and Archeology</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> <ol style="list-style-type: none"> 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; comparative analysis from archaeological investigations in Parramatta (including theses, publications and grey literature reports); 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 a reconsideration of archaeological methods to manage the sites based on this additional assessment. <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><i>Note: Nothing in these conditions prevents the Archaeological Research Design and Excavation Methodology to be separate procedures.</i></p> <p style="text-align: right;">[SSI-10038 Mod-1]</p>	<p>Power Enabling Works— The Bays Station Construction Site: Historical Archaeological Test Excavation Report, GML Heritage, Issue 1 (Draft), 23/01/2022</p> <p>Archaeological Research Design and Excavation Methodology (ARDEM) prepared by GML heritage to discuss management of works near identified WBPS heritage inlet canal. ARDEM endorsed 5th November 2021. https://www.quickway.com.au/projects/sydney-metro-west-power-enabling-works/</p> <p>As per the requirements of the ARDEM, Heritage Consultant and Archaeologist from GML, in consultation of the nominated Excavation Director, has been on site during excavation of the case bore pit where the potential heritage item 'inlet canal 'may be identified, to supervise and document any findings.</p>	<p>The Bays Metro Station Archeological Research Design and Excavation Methodology (ARDEM) for the Central Tunneling Package, AFJV, Rev 3, 24/11/2021</p> <p>Approval letter from DPE to Sydney Metro - The Bays Metro Station Archeological Research Design and Excavation Methodology (CTP), dated 02/12/2021</p> <p>Archaeological Method Statements (AMS) provided for:</p> <ul style="list-style-type: none"> Site establishment Station box grouting HV excavation Station box excavation CFA piling CWS excavation <p>Non-compliance reported – 2022-01-13 AMS-01 The Bays</p> <p><i>Saw cutting and hardstand lifting activity extended beyond the specific area approved under Archaeological Method Statement (AMS) – 01 which is a sub-document of the Archaeological Research and Design Excavation Methodology (ARDEM) (CoA D25)</i></p>	<p>Sydney Metro West Parramatta Station Construction Site Archaeological Research Design & Excavation Methodology, GML Heritage, Rev 4, 15/10/2021</p> <p>Approval letter from DPE to Sydney Metro - Parramatta Metro Station Archeological Research Design and Excavation Methodology, dated 28/10/2021</p>	<p>Non-compliance: A non-compliance was raised against D25 for Phase B (AFJV) works in relation to archaeological investigation work that was conducted outside of the area described in AMS-01. This was reported to the Department on 20/01/2022 in accordance with A45.</p>	Non-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	ARDEM was prepared by GML heritage included requirements of the above	The Bays Metro Station Archeological Research Design and Excavation	Sydney Metro West Parramatta Station Construction Site	Condition deemed compliant as per evidence provided.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	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.	condition. The revised ARDEM has been approved 5 th November 2021. https://www.quickway.com.au/projects/sydney-metro-west-power-enabling-works/ Power Enabling Works— The Bays Station Construction Site Historical Archaeological Test Excavation Report (GML 23/1/22) prepared in accordance with the ARDEM	Methodology (ARDEM) for the Central Tunneling Package, AFJV, Rev 3, 24/11/2021 Approval letter from DPE to Sydney Metro - The Bays Metro Station Archeological Research Design and Excavation Methodology (CTP), dated 02/12/2021 Interview with auditees, 01/03/2022	Archaeological Research Design & Excavation Methodology, GML Heritage, Rev 4, 15/10/2021 Approval letter from DPE to Sydney Metro - Parramatta Metro Station Archaeological Research Design and Excavation Methodology, dated 28/10/2021 Advice from GML dated 8 December 2021 and 28 January 2022 sighted Email from Sydney Metro to Delta, dated 09/12/2021 Site inspection, 28/02/2022 Interview with auditees, 01/03/2022		
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.	DPE approval letter – Nomination of Excavation Directors, 08/09/2021			The following persons have been approved by DPE to perform the Excavation Director role on the project: <ul style="list-style-type: none"> • Dr Tim Owen, Principal, GML Heritage Pty Ltd (Aboriginal archaeology) • Dr Iain Stuart, Principal Artefact Heritage Pty Ltd • 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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Not triggered at this stage for the Phase B (AFJV) or Phase C1 (Delta) works.	Not triggered

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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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Not triggered at this stage for the Phase B (AFJV) or Phase C1 (Delta) works.	Not triggered
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. <i>Note: In reference to (b) above, this may involve partnerships with museums, local heritage centres and/or universities</i>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Not triggered at this stage for the Phase B (AFJV) or Phase C1 (Delta) works.	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.	Unexpected Heritage Finds Procedure, Sydney Metro, Version 4.1, May 2021 Exhumation Management Procedure, Sydney Metro, Version 5.1, May 2021 Record of submission to DPE, SSI-10038-PA-6, 07/06/2021 DPE approval letter – Unexpected Finds and Human Remains Procedure, 15/06/2021			Unexpected Heritage Finds and Human Remains Procedure has been prepared for the Project and approved by the Planning Secretary.	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.	Unexpected Heritage Finds Procedure, Sydney Metro, Version 4.1, May 2021 Exhumation Management Procedure, Sydney Metro, Version 5.1, May 2021 Record of submission to DPE, SSI-10038-PA-6, 07/06/2021 DPE approval letter – Unexpected Finds and Human Remains Procedure, 15/06/2021			Unexpected Heritage Finds and Human Remains Procedure has been prepared for the Project and approved by the Planning Secretary.	Compliant
D33	The Unexpected Heritage Finds and Human Remains Procedure, as submitted to the Planning Secretary, must be implemented for the duration of construction. <i>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.</i>	Sydney Metro Unexpected Finds and Human Remains Procedure is being used and is included as appendix G in the CEMP. This is evidenced by the referral of the unexpected bridge works in Mansfield Street Rozelle to GML (see CoA D13 above) Unexpected heritage find protocol was triggered on 4/11/21 in relation to an unexpected find in Mansfield Street, Rozelle. Specialist advice from GML was sought in relation to the	Potential Unexpected Finds Register, only one actual confirmed unexpected heritage find Potential Unexpected Finds Register, only one actual confirmed unexpected heritage find Completed unexpected finds form for the confirmed find	No unexpected heritage or human remains identified during Phase C1 (Delta) works.	Unexpected heritage finds have occurred on the Phase A (Quickway) works and Phase B (AFJV) works, as detailed in evidence. These were managed in line with the Unexpected Heritage Finds and Human Remains Procedures.	Compliant

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		find, which was assessed to be the remains of an historic bridge with local heritage significance.				
Noise and Vibration						
D34	<p>Land Use Survey</p> <p>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.</p>	Detailed Land Use Survey was completed on 1st April 2021 and is included as Appendix A of the NVMP.	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 As noted in the endorsed NVMS, this assessment was not possible due to significant Covid-19 restrictions in place.	Addressed in Construction Noise and Vibration Management Plans prepared for each phase of the Project.	Compliant
D35	<p>Construction Hours</p> <p>Work must only be undertaken during the following hours:</p> <ul style="list-style-type: none"> 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. 	<p>SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021</p> <p>Quickway induction presentation</p> <p>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 09/09/2021</p> <p>Record of submission to DPE, SSI-10038-PA-42, 09/09/2021</p> <p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>AFJV induction presentation</p> <p>Site inspection, 28/02/2022</p>	<p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>All works were undertaken within the approved hours, with the exception of known/approved out of hours works and NCR03 (oversized plant delivery at Westmead – see Condition A45) – reported as a non-compliance against D43</p>	Non-compliance: A non-compliance was raised against D35 for the Phase A (Quickway) works, associated with a concrete pour that extended past 6pm. This was reported to the Department on 09/09/2021 in accordance with A45.	Non-compliant
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> <ul style="list-style-type: none"> a) between the hours of 8:00 am to 6:00 pm Monday to Friday; b) between the hours of 8:00 am to 1:00 pm Saturday; and c) if continuously, then not exceeding three (3) hours, with a minimum cessation of work of not less than one (1) hour. <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>SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021</p> <p>EPL not applicable to Phase A (Quickway) works</p>	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>Demolition works at Parramatta included provision of respite periods.</p> <p>Included in site induction</p>	<p>Management of high noise intensive work detailed in the Construction Noise and Vibration Management Plans.</p> <p>Compliance with D36 is monitored as part of ER inspections.</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
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> <ol style="list-style-type: none"> I. for the delivery of materials required by the NSW Police Force or other authority for safety reasons; or 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>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 impact, including:</p> <ol style="list-style-type: none"> I. construction that causes LAeq(15 minute) noise levels: <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 II. construction that causes LAFmax(15 minute) noise levels no more than 15 dB(A) above the rating background level at any residence; or III. construction that causes: <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>This requirement has been included in the OOHW Protocol as part of the CNVMP and is being implemented throughout construction. Refer to CNVMP Appendix C for OOHW Protocol.</p> <p>There have been no OOHW triggered for safety or emergency situations.</p> <p>OOHW approved under the protocol are:</p> <ul style="list-style-type: none"> • OOHW003 -Mansfield and Mullens – Bedbore and trenching. • OOHW005 -Robert Street Trenching • OOHW007 -Darling Street HDD 	<p>Various example Out of Hours Works Permits provided</p>	<p>Notification of emergency out of hours works</p> <ul style="list-style-type: none"> • Email sent 04/02/2022, subject "Emergency Works this weekend (4 and 5 Feb)" from Matthew.Marrinan@transport.nsw.gov.au • Email sent 04/02/2022, subject "Emergency Works this weekend (5 and 6 Feb)" from Matthew.Marrinan@transport.nsw.gov.au 	<p>Evidence provided of out of hours works being conducted on the Project in line with the requirements of D37.t</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<ul style="list-style-type: none"> I. 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). <p>d) By Prescribed Activity, including:</p> <ul style="list-style-type: none"> 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 impact circumstances identified in (b) above, unless otherwise agreed by the Planning Secretary. <p><i>Note: Tunnelling does not include station box excavation</i></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> <ul style="list-style-type: none"> 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>SMW Power Enabling Works Construction Noise and Vibration Management Plan (Appendix C: Out of Hours Works Protocol), Rev 0.0, 08/06/2021</p> <p>This requirement has been included in the OOHW Protocol as part of the CNVMP and is being implemented throughout construction as indicated in response to D37 above.</p>	<p>OOHW Protocol</p> <p>OOHW Permit examples</p> <p>Letter from Sydney Metro to DPE – Notification of non-compliance, dated 21/12/2021</p> <p>Record of submission to DPE, SSI-10038-PA-89, 22/12/2021</p>	<p>SMW Out of Hours Application Form</p> <p>The Out of Hour Work Protocol was prepared in consultation with the ER, AA and EPA. It was incorporated into the endorsed NVMSP as section 5.3.1.</p>	<p>Non-compliance: A non-compliance was raised against D38 for Phase B (AFJV) works in relation to out of hours works that were undertaken on a date that was not approved under the associated out of hours works approval. This was reported to the Department on 22/12/2021 in accordance with A45.</p>	Non-compliant

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	<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><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></p>	CNVMP Appendix C				
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>SMW Power Enabling Works Construction Noise and Vibration Management Plan, Rev 0.0, 08/06/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021</p> <p>Site inspection, 28/02/2022</p>	<p>Noise and vibration mitigation set out in Construction Noise and Vibration Management Plans.</p> <p>Sighted implementation of noise mitigation measures onsite, including use of hydraulic shears at Parramatta for the demolition of the car park adjacent to receivers and use of noise blankets around Quickway utility works.</p>	Compliant

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	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. <i>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.</i>					
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.	Not triggered for the Phase A (Quickway) works.	Not triggered at this stage for the Phase B (AFJV) works as bulk excavation and tunnelling have not yet commenced.	Not triggered for the Phase C1 (Delta) works.	Condition not triggered for the Project. Requirement has been incorporated into relevant management documents prepared for each phase of work.	Not triggered
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.	Quickway provides weekly update to SM Comms of upcoming works as part of the Enviro Breakout Meeting. Consultation with relevant stakeholders was conducted by Sydney Metro as deemed necessary. An example of a comms distributed handout provided by SM for 13/8/21 out of hours work in Darling Street Rozelle	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 Site inspection, 28/02/2022	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021	Condition deemed compliant as per evidence provided.	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 techniques.	Requirements are included in the CNVMP. All relevant noise mitigation measures have been employed during construction and will continue to be utilised throughout the entirety of the Project. Noise mitigation (noise mats) are implemented at each work site. Refer to CEMP-NVMP section 9.2 Reference photos	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 Site inspection, 28/02/2022	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021 During demolition, the use of shears/pulverisers was applied at Parramatta to minimise the potential noise levels around sensitive land users. Site inspection, 28/02/2022	Condition deemed compliant as per evidence provided.	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	A Detailed Noise and Vibration Impacts Statement 31/8/21 (Hutchison Weller) was prepared for the Project and outlines all	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021	Acoustics Advisor Endorsement (29/10/2021) for Clyde early works: Detailed noise and vibration	Non-compliance: A non-compliance was raised against D43 for the Phase C1 (Delta) works relating to an out of hours oversized plant delivery at Westmead that took place prior to endorsement of the Detailed Noise	Non-compliant

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	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.	<p>requirements of this condition. Monthly Noise and Vibration reports are presented to Sydney Metro and uploaded onto Quickway website. https://www.quickway.com.au/projects/sydney-metro-west-power-enabling-works/</p> <p>The DNVIS was conditionally approved on 12/7/21 by the AA, and then approved in full covering all of Quickway's work scope following attended monitoring carried out by the AA.</p> <p>No further DNVISs are considered to be required.</p>	<p>The Bays DNVIS</p> <p>Burwood North DNVIS</p> <p>Five Dock DNVIS</p> <p>Sydney Olympic Park DNVIS</p> <p>Evidence of DNVISs being provided to AA and ER before commencement of works</p>	<p>impact statement (DNVIS) Rev 3 25/10/2021</p> <p>Acoustics Advisor Endorsement (29/10/2021) for Paramatta early works: Detailed noise and vibration impact statement (DNVIS) Rev 3 25/10/2021</p> <p>Acoustics Advisor Endorsement (03/11/2021) for Westmead early works: Detailed noise and vibration impact statement (DNVIS) Rev 4 02/11/2021</p> <p>Detailed Noise and Vibration Impact Statement (Clyde) Rev 3 25/10/2021</p> <p>Detailed Noise and Vibration Impact Statement (Paramatta) Rev 3 25/10/2021</p> <p>Detailed Noise and Vibration Impact Statement (Westmead) Rev 4 02/11/2021</p>	and Vibration Impact Assessment (DNVIS) by the Acoustic Advisor. This was reported to the Department on 20/01/2022 in accordance with A45.	
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.	A Detailed Noise and Vibration Impacts Statement was prepared for the Project and outlines all requirements of this condition. Works are conducted in accordance with CNVMP, DNVIS, and CNVS.	<p>The Bays DNVIS</p> <p>Burwood North DNVIS</p> <p>Five Dock DNVIS</p> <p>Sydney Olympic Park DNVIS</p>	See Condition D43.	Condition deemed compliant as per evidence provided.	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.	Quickway will provide weekly update to SM Comms of upcoming works as part of the Environmental Breakout Meetings. SM Comms undertake consultation requirements. SM comms providing information via letterbox drops and emails, potential re location for some residents for OOHW and some day-time works.	The Bays DNVIS	SMW Demolition Construction Noise and Vibration Management Plan, Rev 4, 25/10/2021	Condition deemed compliant as per evidence provided.	Compliant

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		Noise cancelling headphones and/or earplugs offered to residents in close proximity to works. Properties on Cross Street were notified. An example of a communications distributed handout provided by SM for 13/8/21 out of hours work in Darling Street Rozelle				
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.	Vibration monitoring is conducted regularly to measure vibration impacts from works to ensure the screening criteria is not exceeded with a screening criteria of 7.5mm/s (non-heritage) 2.5mm/s (heritage structures determined as structurally unsound). Vibration reports are uploaded to the Quickway website and submitted to Sydney Metro monthly.	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 SMW CTP Heritage Management Plan, Rev 03, 16/11/2021 Site inspection, 28/02/2022 White Bay Power Station St Albans Church	Vibration monitors installed at each site with provision for alarms based on triggers as outlined in the NVMSPP. Macquarie Street properties monitored. 1 reading came through that exceeded the vibration trigger. Osterman receives the warning. Text alert goes to Delta Project Manager, with live data link.	Evidence provided of vibration monitoring being conducted to ensure works are not impacting on heritage listed items. No non-compliances have been reported against D46 during the audit period.	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.	Not triggered for the Phase A (Quickway) works	Low Impact Works 009 Heritage Assessment Memo for The Bays, Artefact, 26/11/2022 Email correspondence re: method for affixing monitoring equipment at White Bay Power Station	Letter from Sue Rosen Associates to Delta - Heritage Impact of Accelerometer Deployments at 62-64 Macquarie St, (Kia Ora Building) and 43-47 George St, Parramatta, dated 11/04/2022	Non-compliance: No evidence has been provided regarding the involvement of a heritage specialist in the installation of monitoring equipment for the RTA façade at the Clyde worksite (Phase C1 (Delta) works).	Non-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.	Interview with auditees, 01/03/2022			Sydney Metro and the delivery contractors advised that no at-property treatment has been conducted as part of the Project on any identified Heritage items to date. Upcoming treatments required for 41-45 George St (Phase C1 (Delta) works) are expected to occur late March.	Not triggered
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.	Not triggered for Phase A (Quickway) works.	SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021 Site inspection, 28/02/2022	Criteria noted in the approved NVMSPP. No heritage items have been determined to be structurally unsound.	Evidence provided demonstrates compliance with D49. AFJV advised during site inspection that the Phase B (AFJV) works has conservatively adopted the 2.5mm/s criterion for the White Bay Power Station even though they haven't assessed structurally unsound.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
			Interview with auditees, 01/03/2022	Condition surveys undertaken by suitably qualified structural engineer.		
D50	<p>Utility Coordination and Respite</p> <p>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> <ol style="list-style-type: none"> 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 consider the provision of alternative respite or mitigation to impacted noise sensitive receivers; and provide documentary evidence to the AA in support of any decision made by the Proponent in relation to respite or mitigation. <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>All respite periods are adhered to as outlined in D51. SM comms team are in charge of providing respite for noise affected receivers (overnight stays, office space during the day, noise cancelling headphones (>250 units have been taken by residents))</p> <p>Cumulative impacts with WCX are assessed during regular meetings and works are planned to coordinate so residents have as minimal impact as possible.</p> <p>AA is continuously updated with all works during fortnightly environmental progress meetings and is consulted with and approves all OOHW applications inclusive of proposed respite and/or mitigation.</p>	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>AFJV Utility Manager</p> <p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>Coordination meetings held with Parramatta Light Rail project team. Minutes of PCPLR / Delta Coordination Meeting Nos. 14 & 15 sighted.</p> <p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	Evidence provided shows that coordination has been undertaken with others conducting works in proximity to the Project to ensure adequate respite is provided.	Compliant
D51	<p>Out-of-Hours Works – Community Consultation and Respite</p> <p>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> <ol style="list-style-type: none"> a progressive schedule for periods no less than three (3) months, of likely out-of-hours work; a description of the potential work, location and duration of the out-of-hours work; the noise characteristics and likely noise levels of the work; and 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>This requirement is addressed within the and CNVMP. Community notification is provided at least 7 days prior to works commencing in a new area. OOHW permits are sent to the AA and ER for review and approval prior to any out of hours works commencing. Refer to OOHW Protocol appendix C of the CNVMP.</p> <p>An example of a communications distributed handout provided by SM for 13/08/2021 out of hours work in Darling Street Rozelle</p>	<p>SMW CTP Construction Noise and Vibration Management Plan, AFJV, Rev 03, 06/12/2021</p> <p>Managed through notification of out of hours works and quarterly project newsletters.</p> <p>Quarterly notifications provide schedule of works and more prescriptive detail is provided in the notifications themselves.</p> <p>No response received to date regarding respite periods.</p> <p>Sample notifications and newsletters from the website</p>	<p>Project update – Clyde, December 2021</p> <p>Project update – Parramatta December 2021</p> <p>Project update – Westmead December 2021</p> <p>Plant delivery Westmead. DNVIS prepared. Notification provided regarding these works.</p> <p>Several OOHW application packs provided in D38.</p> <p>Matthew Chow (SM Comms) liaised with affected community. Details sighted in Consultation Manager records for various</p>	Evidence provided shows that community consultation and respite for out of hours works is being implemented in line with D51.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<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.</p> <p><i>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.</i></p>			Westmead properties during Feb 2022.		
D52	<p>Traffic Noise Mitigation at Westmead</p> <p>Sensitive land uses located along local roads used to divert traffic from the closure of Alexandra Avenue in Westmead that will be affected by additional road traffic noise from the diverted traffic in excess of the criteria identified in the NSW Road Noise Policy (the RNP criteria) during construction of Stage 1 of the CSSI (the Affected Properties) are eligible to receive at-property noise mitigation treatments.</p> <p>Owners of Affected Properties must be advised of the range of noise mitigation options that can be installed at or in their property and given a choice as to which of these they agree to have installed. A copy of all noise mitigation guidelines and procedures that will be used to determine at-property treatment at each Affected Property must be provided to the property owner.</p> <p>At property mitigation measures and packages must be determined based on the measured exceedance levels above the RNP criteria. Road traffic noise levels must be measured before and after the altered traffic flow detour.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
D53	<p>Blasting</p> <p>Blasting associated with Stage 1 of the CSSI must only be undertaken during the following hours:</p> <ul style="list-style-type: none"> a) 9:00am to 5:00pm, Monday to Friday, inclusive; b) 9:00am to 1:00pm on Saturday; and c) at no time on Sunday or public holidays; or d) as authorised through an EPL. <p>This condition does not apply in the event of a direction from the NSW Police Force or other relevant authority for safety or emergency reasons to avoid loss of life, property loss and / or to prevent environmental harm.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
D54	<p>Blasting Management Strategy</p> <p>A Blast Management Strategy must be prepared and must include:</p> <ul style="list-style-type: none"> a) sequencing and review of trial blasting to inform blasting; b) regularity of blasting; c) intensity of blasting; d) periods of relief; and 	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	e) blasting program.					
D55	The Blast Management Strategy must be endorsed by a suitably qualified and experienced person.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
D56	The Blast Management Strategy must be prepared in accordance with relevant guidelines in order to ensure that all blasting and associated activities are carried out so as not to generate unacceptable noise and vibration impacts or pose a significant risk to sensitive land user(s).	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
D57	The Blast Management Strategy must be submitted to the Planning Secretary for information no later than one (1) month before the commencement of blasting. The Blast Management Strategy as submitted to the Planning Secretary, must be implemented for all blasting activities.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not applicable.	Not triggered
Socio-Economic, Land Use and Property						
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.	SMW Power Enabling Works Interface Management Plan, 3869-SMW-IMP-001, Quickway, Revision B, 02/06/2021 Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	Site inspection, 28/02/2022 Interview with auditees, 01/03/2022 Photos of asphalt re-instatement (TC_00137.jpg and TC_00186.jpg)	Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	Evidence provided during the audit suggests that the Project is being designed and constructed with the objective of minimising impacts to, and interference with, third party property and infrastructure. AFJV reported some infrastructure impacts to the Port Access Road at The Bays worksite (a private road for the Ports Authority). The HV and sewer relocation impacts this asset as per certified designs obtained by Sydney Metro with consultation/approval from the relevant service providers (Ausgrid and Sydney Water). Once conduits/pipes installed, the road is reinstated. AFJV also highlighted that at Project completion, mill and re-sheet of the pavement to take place to hand back the road in best condition. The HV relocation scope has been completed and photos of reinstatement provided.	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.	SMW Power Enabling Works Interface Management Plan, 3869-SMW-IMP-001, Quickway, Revision B, 02/06/2021 Utilities Consultation Memo, 3869-SMW-MEMO-008, Quickway, Revision 0, 06/08/2021 Site inspection, 28/02/2022	Minutes – Jemena/ SM/ AFJV Weekly Progress Meeting, dated 16/12/2021 Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	Site inspection, 28/02/2022 Interview with auditees, 01/03/2022	Engagement with utilities and services providers on the Phase A (Quickway) works is governed by the Interface Management Plan. Utilities Consultation Memo provided demonstrating Quickway's ongoing communication with service providers. For the Phase B (AFJV) works, the auditees advised that Sydney Metro completed utilities investigation and determined services to relocate, protect or decommission. AFJV are in the process of implementing the requested scope of works and investigate unknown services to determine further actions. Example	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
		Interview with auditees, 01/03/2022			evidence of consultation with affected service providers provided. The Phase C1 (Delta) works involve the disconnection of existing services to facilitate demolition, as well as service relocation. Evidence provided shows that these works are planned and executed to minimise disruption to services. Delta advised that consultation with affected parties during the service relocation works is coordinated by the Sydney Metro Comms Team.	
D60	<p>Condition Survey</p> <p>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>	KBR Property Condition Survey Master Register, dated 02/07/2021	Dilap Survey Master Register, AFJV, 03/02/2022 Interview with auditees, 01/03/2022	Pre-Construction Condition Survey Summary Register, dated 15/11/2021 Interview with auditees, 01/03/2022	Evidence provided demonstrates that Pre-construction Condition Surveys have been conducted in accordance with D60.	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.	Post-construction condition surveys not yet triggered for the Phase A (Quickway) works as they are not yet completed.	Post-construction condition surveys not triggered as Phase B (AFJV) works have only just commenced construction.	Post-construction condition surveys not triggered for Phase C1 (Delta) works – to be carried out following completion of works.	Post-construction condition surveys not yet triggered for the Project.	Not triggered
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.	Interview with auditees, 01/03/2022	Interview with auditees, 01/03/2022 Sydney Metro and AFJV advised that there has been no property damage to date as a result of the Phase B (AFJV) works.	Interview with auditees, 01/03/2022 Sydney Metro and Delta advised that there has been no property damage to date as a result of the Phase C1 (Delta) works.	For the Phase A (Quickway) works, alleged property damage complaints received have been addressed and documents submitted to Sydney Metro for review and processing. No damage has been attributed to properties from construction activities. No complaints have been referred to the IPIAP to date.	Not triggered
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 the vibration criteria identified in the DNVIS	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Evidence of vibration monitoring being conducted in line with the conditions provided for each phase of works. See also C16 and D46.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	prepared under Condition D43 of this schedule, then all construction affecting settlement must cease immediately and must not resume until fully rectified or a revised method of construction is established that will ensure protection of affected buildings.	Quickway Noise and Vibration Monitoring Reports – https://drive.google.com/file/d/1nf_W6J6sLTYTLwOXGJRB-q8CPLaFrXAk/view	It is noted that bulk excavation and tunnelling has not yet commenced on the Phase B (AFJV) works.	Vibration monitors installed at each site during structural demolition. Monitoring by Osterman sighted.		
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.	Letter from Sydney Metro to DPE regarding formation of IPIAP, 03/02/2022 Record of submission to DPE, SSI-10038-PA-108, 03/02/2022			Letter from Sydney Metro to DPE confirms establishment of IPIAP and includes details of members, their qualifications, and statements of independence.	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.	Interview with auditees, 01/0/2022			Sydney Metro and its contractors advised that no unresolved property-related disputes have occurred to date in relation to the Project works.	Not triggered
D66	Settlement must be monitored for any period beyond the minimum timeframe requirements of Condition D63 of this schedule 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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/0/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Settlement monitoring under D63 has not yet commenced as part of the Phase B (AFJV) works.	Not triggered.
D67	<p>Community Benefit Plan(s)</p> <p>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:</p> <ul style="list-style-type: none"> 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. <p>Nothing in this condition prevents the preparation of individual Community Benefit Plans for each station precinct.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	<p>SMW Stage 1 Community Benefit Plan, Sydney Metro, Version 1, December 2021</p> <p>Record of submission to DPE, SSI-10038-PA-70, 08/11/2021</p> <p>Approval letter from DPE, 12/11/2021</p>	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	A Community Benefit Plan has been prepared by Sydney Metro for the project. The plan was submitted to and approved by DPE.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	SMW Stage 1 Community Benefit Plan, Sydney Metro, Version 1, December 2021 Record of submission to DPE, SSI-10038-PA-70, 08/11/2021 Approval letter from DPE, 12/11/2021 Notification of Commencement letter – Phase B1, Sydney Metro to DPE, 07/12/2021 Record of submission to DPE, SSI-10038-PA-74, 06/12/2021	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	A Community Benefit Plan was submitted to DPE on 08/11/2021 and approved on 12/11/2021. This was prior to commencement of construction on Phase B1 works.	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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/0/2022	Interview with auditees, 01/0/2022	Sydney Metro, AFJV, and Delta advised that there has been no potential to date for the Phase B (AFJV) or Phase C1 (Delta) works to impact on the operation of festivals or events at Parramatta, Sydney Olympic Park, or Five Dock.	Not triggered
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 – Rozelle 33kv Power Supply Works, Sydney Metro, Version 4, May 2021 Email from DPE to Sydney Metro acknowledging receipt of Small Business Owners Engagement Plan, dated 27/05/2021	CTP Small Business Owners Engagement Plan, AFJV, Rev B, December 2021 Record of submission to DPE, SSI-10038-PA-92, 23/12/2021	Small Business Owners Engagement Plan – Parramatta and Clyde Enabling Works, Sydney Metro Version 1, October 2021 Approval letter from DPE to Sydney Metro re: Small Business Owners Engagement Plan – Parramatta and Clyde Enabling Works, dated 13/10/2021	Small Business Owners Engagement Plans have been prepared for each phase of the Project and submitted to the Planning Secretary in line with D70. Regarding timing of submission, it is noted that Sydney Metro notified DPE on 06/12/2021 that construction would commence on Phase B1 works on 10/12/2021. However, the auditees advised that construction on Phase B1 works actually commenced on 10/01/2022. This is addressed in A38.	Compliant
Soils and Contamination						
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	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Detailed Site Investigation – The Bays Construction Site, ERM, Rev 03, 14/01/2022 Station Box Detailed Site Investigation – The Bays, ERM, Draft 1.0, 28/01/2022 Letter – Interim Site Audit Advice Site Auditor Endorsement of Station Box Detailed Site Investigation	Detailed Site Investigation – Westmead, ADE Consulting Group, Rev 01, 20/01/2022 Detailed Site Investigation – Parramatta, ADE Consulting Group, Rev 02, 18/01/2022	For the Phase B (AFJV) works, The Bays site has been split across two DSIs – one for the station box footprint and one for all areas outside the station box. The DSIs for The Bays are approved by Sophie Wood, ERM Partner and CEnvP(SC). The Five Dock DSI has been prepared by Morgan Singleton-Fookes, CEnvP(SC).	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<p>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.</p> <p><i>Note: Nothing in this condition prevents the Proponent from preparing individual Detailed Site Investigation Reports (for contamination) for separate sites.</i></p>		<p>The Bays Construction Site, Sydney Metro West, Enviroview Pty Ltd, 08/02/2022</p> <p>Five Dock Station Detailed Site Investigation, Epic Environmental, Rev 0, 18/02/2022</p>		<p>The DSIs prepared for the Phase C1 (Delta) works were reviewed by Dr. Santo Ragusa, Principal Environmental Scientist and CEnvP(SC).</p>	
D72	<p>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.</p> <p><i>Note: Nothing in this condition prevents the Proponent from preparing individual Remedial Action Plans for separate sites.</i></p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Detailed Site Investigation – The Bays Construction Site, ERM, Rev 03, 14/01/2022</p> <p>Station Box Detailed Site Investigation – The Bays, ERM, Draft 1.0, 28/01/2022</p> <p>Five Dock Station Detailed Site Investigation, Epic Environmental, Rev 0, 18/02/2022</p>	<p>Detailed Site Investigation – Westmead, ADE Consulting Group, Rev 01, 20/01/2022</p> <p>Detailed Site Investigation – Parramatta, ADE Consulting Group, Rev 02, 18/01/2022</p> <p>Interview with auditees, 01/03/2022</p>	<p>In the DSI for The Bays construction site (Phase B (AFJV) works), ERM notes the following:</p> <p><i>“Since remediation actions, including management, are required to make the Site suitable for use, a Remedial Action Plan is required to describe the proposed remediation actions and validation requirements.”</i></p> <p>The auditor understands that a Remedial Action Plan has not yet been prepared for The Bays.</p> <p>For the Station Box at The Bays, ERM concluded that remediation action is not required to make the Station Box suitable for use, because 100% of the soil and rock inside the Station Box footprint is required to be removed for construction purposes.</p> <p>No recommendations for a Remedial Action Plan are made in the Five Dock DSIs prepared for the Phase B (AFJV) works.</p> <p>No recommendations for a Remedial Action Plan are made in the DSIs prepared for the Phase C1 (Delta) works.</p>	Compliant
D73	<p>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.</p> <p><i>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.</i></p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Interview with auditees, 01/0/2022</p>	<p>Interview with auditees, 01/0/2022</p>	<p>Remediation works have not yet commenced on the Phase B (AFJV) works.</p> <p>Condition not triggered for the Phase C1 (Delta) works.</p>	Not triggered
D74	<p>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).</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Interview with auditees, 01/0/2022</p>	<p>Interview with auditees, 01/0/2022</p>	<p>Validation Reporting is not yet required for the Phase B (AFJV) works.</p> <p>Condition not triggered for the Phase C1 (Delta) works.</p>	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<i>Note: Nothing in this condition prevents the Proponent from preparing individual Validation Reports for separate sites.</i>					
D75	<p>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.</p> <p><i>Note: Nothing in this condition prevents the Proponent from obtaining Section A Site Audit Statements for individual parcels of remediated land.</i></p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/0/2022	Interview with auditees, 01/0/2022	<p>Site Audit Statement is not yet required to be prepared for the Phase B (AFJV) works.</p> <p>Condition not triggered for the Phase C1 (Delta) works.</p>	Not triggered
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	<p>Detailed Site Investigation – The Bays Construction Site, ERM, Rev 03, 14/01/2022</p> <p>Station Box Detailed Site Investigation – The Bays, ERM, Draft 1.0, 28/01/2022</p> <p>Five Dock Station Detailed Site Investigation, Epic Environmental, Rev 0, 18/02/2022</p> <p>Interview with auditees, 01/0/2022</p>	<p>Detailed Site Investigation – Westmead, ADE Consulting Group, Rev 01, 20/01/2022</p> <p>Detailed Site Investigation – Parramatta, ADE Consulting Group, Rev 02, 18/01/2022</p> <p>Interview with auditees, 01/0/2022</p>	Not triggered as the DSIs that have been prepared for the Project are in the process of being finalised, and none of the other documents listed have been prepared for the Project to date.	Not triggered
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.	SMW Power Enabling Works Construction Environmental Management Plan (Appendix H: Soil and Water Management Plan), Quickway, Rev 1.0, 02/11/2021	SMW CTP Works Soil and Water Management Plan (Appendix E: Contamination and Asbestos Unexpected Finds Procedure), AFJV, Rev 3, 03/11/2021	SMW Demolition Works Construction Environmental Management Plan (Appendix C: Additional Environmental Procedures), Delta, Revision 6, 22/12/2021	Contamination and Asbestos Unexpected Finds Procedures are in place for each phase of the Project, incorporated into the approved management plans referenced.	Compliant
D78	The Unexpected Contaminated Land and Asbestos Finds Procedure must be implemented throughout construction.	<p>SMW Power Enabling Works Construction Environmental Management Plan (Appendix H: Soil and Water Management Plan), Quickway, Rev 1.0, 02/11/2021</p> <p>Waste Classification Report – SMW Power Enabling Works, Alliance Geotechnical and Environmental Solutions, dated 02/02/2022</p>	<p>SMW CTP Works Soil and Water Management Plan (Appendix E: Contamination and Asbestos Unexpected Finds Procedure), AFJV, Rev 3, 03/11/2021</p> <p>SWM CTP Contamination Unexpected Finds Register, AFJV, last entry 07/02/2022</p>	<p>SMW Demolition Works Construction Environmental Management Plan (Appendix C: Additional Environmental Procedures), Delta, Revision 6, 22/12/2021</p> <p>Environmental Incident and Non-compliance Notification Report – Clyde Unexpected Contamination Find, Sydney Metro, 25/02/2022</p> <p>Site inspection, 28/02/2022</p>	<p>One unexpected asbestos find has occurred on the Phase A (Quickway) works at Robert Street, Rozelle, as summarised in the waste classification report referenced.</p> <p>Four unexpected asbestos finds have been discovered during the Phase A (AFJV) works, recorded in the Contamination Unexpected Finds Register.</p> <p>An unexpected find was also discovered at the Clyde worksite (Phase C1 (Delta) works) on 25/02/2022. The find was an underground fuel tank that had filled with water due to heavy rainfall and bubble to the surface with hydrocarbons. Observed controls put in place to contain the contaminated water. Delta</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
				Interview with auditees, 01/03/2022	advised that the event was notified to the relevant authorities (including the EPA) and emergency services were called to site. Refer to site photos in Appendix D. See also A43 and A44.	
Sustainability						
D79	<p>A Water Reuse Strategy must be prepared, which sets out options for the reuse of collected stormwater and groundwater during Stage 1 of the CSSI. The Water Reuse Strategy must include, but not be limited to:</p> <ul style="list-style-type: none"> a) evaluation of reuse options; b) details of the preferred reuse option(s), including volumes of water to be reused, proposed reuse locations and/or activities, proposed treatment (if required), and any additional licences or approvals that may be required; c) measures to avoid misuse of recycled water as potable water; d) consideration of the public health risks from water recycling; and e) time frame for the implementation of the preferred reuse option(s). <p>The Water Reuse Strategy must be prepared based on best practice and advice sought from relevant agencies, as required. The Strategy must be applied during construction.</p> <p>Justification must be provided to the Planning Secretary if it is concluded that no reuse options prevail.</p> <p>A copy of the Water Reuse Strategy must be made publicly available.</p> <p>Nothing in this condition prevents the Proponent from preparing separate Water Reuse Strategies for the construction phases of Stage 1 of the CSSI.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	CTP Water Reuse Strategy, AFJV, Rev 02, 14/12/2021 https://proaccionaau.blob.core.windows.net/media/55tgd-bcf/ctp-water-reuse-strategy.pdf	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	The Water Reuse Strategy addresses the requirements of D79. A copy of the Water Reuse Strategy for the Phase B (AFJV) works is available on AFJV's project website.	Compliant
Traffic and Transport						
D80	Access to all utilities and properties must be maintained during works, unless otherwise agreed with the relevant utility owner, landowner or occupier.	<p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p> <p>SMW Power Enabling Works Construction Parking and Access Strategy, Rev 1.0, dated 25/06/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW CTP Overarching Construction Traffic Management Plan, AFJV, Rev 03, 24/01/2022</p> <p>SMW CTP Construction Parking and Access Strategy, AFJV, Rev 1, 15/12/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW Demolition Construction Traffic Management Plan – Clyde, Delta, Rev 2, 13/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Parramatta, Delta, Rev 2, 14/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan –</p>	<p>Maintenance of access is addressed in project Construction Traffic Management Plans (CTMPs) and Construction Parking and Access Strategies (CPAS).</p> <p>For the Phase A (Quickway) works, alternative parking has been provided at the Rozelle Substation for local residents impacted by the works.</p> <p>Some complaints have been raised in relation to parking and access, the majority of which were deemed unavoidable and all of which have been closed.</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
				<p>Westmead, Delta, Rev 2, 19/10/2021</p> <p>SMW Demolition Construction Parking and Access Strategy – Parramatta, Delta, Rev 4, 09/12/2021</p> <p>SMW Demolition Construction Parking and Access Strategy – Clyde, Delta, Rev 3, 11/10/2021</p> <p>SMW Demolition Construction Parking and Access Strategy – Westmead, Rev 4, 12/10/2021</p> <p>Site inspection, 28/02/2022</p>		
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.	<p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p> <p>Site inspection, 28/02/2022</p>	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>For the Phase A (Quickway) works, there have been some impacts to access of residents' driveways and on-street parking. Alternative parking has been provided at the Rozelle Substation for local residents impacted by the works. This is addressed in section 5.2 of the OCTMP for these works. No access impacts were observed during the site inspection, with access having been reinstated.</p> <p>The auditees advised that D81 has not been triggered for the Phase B (AFJV) and Phase C1 (Delta) works.</p>	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.	<p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p>	<p>SMW CTP Overarching Construction Traffic Management Plan, AFJV, Rev 03, 24/01/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Restrictions around the use of Robert Street for the Phase B (AFJV) works are detailed in section 4.7 of the approved OTCMP. The Bays site is accessed via Solomons Way and exited via Sommerville Road.</p> <p>Use of Robert Street, Rozelle is permitted for delivery of the Phase A (Quickway) works.</p>	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.	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Haulage of spoil not required for the Phase A (Quickway) works.</p> <p>Spoil haulage has not yet commenced on the Phase B (AFJV) works as bulk excavation and tunnelling have not yet commenced.</p>	Not triggered
D84	The primary egress routes for spoil haulage trucks at Sydney Olympic Park metro station construction site must be determined in consultation with SOPA.	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Not triggered at this stage for the Phase B (AFJV) works.</p>	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
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.	<p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Power Enabling Works OCTMP, dated 26/07/2021</p> <p>Manning Street to Darling Street Trenching Works, Construction Traffic Management Plan, Version B, 21/06/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Manning Street to Darling Street CTMP, dated 28/07/2021</p> <p>Darling Street Trenching and Under-bore, Construction Traffic Management Plan, Version B, 03/06/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Darling Street CTMP, dated 28/07/2021</p> <p>Merton Street to Mullen Street – Trenching, Construction Traffic Management Plan, Version C, 08/06/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Merton Street to Mullen Street CTMP, dated 30/07/2021</p> <p>Mullen Street to The Bays Station Trenching and Thrust-bore, Construction Traffic Management Plan, Version C, 08/06/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Mullen Street to The Bays CTMP, dated 30/07/2021</p>	<p>SMW CTP Overarching Construction Traffic Management Plan, AFJV, Rev 03, 24/01/2022</p> <p>Letter from DPE to Sydney Metro re: receipt of CTP OCTMP, dated 03/02/2022</p>	<p>SMW Demolition Construction Traffic Management Plan – Clyde, Delta, Rev 2, 13/10/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Clyde CTMP, dated 08/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Parramatta, Delta, Rev 2, 14/10/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Parramatta CTMP, dated 13/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Westmead, Delta, Rev 2, 19/10/2021</p> <p>Letter from DPE to Sydney Metro re: receipt of Westmead CTMP, dated 28/10/2021</p>	<p>CTMPs have been prepared for each phase of the Project, addressing the requirements of the CTMF. Evidence demonstrates CTMPs have been provided to the Planning Secretary for information.</p> <p>Non-compliance: AFJV has not provided site specific CTMPs and advised that they do not intend to submit these site-specific CTMPs to the Planning Secretary for information. This is contrary to a commitment made in section 2 of the approved OCTMP.</p>	Non-compliance

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
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.	<p>SMW Power Enabling Works Heavy Construction Vehicle use of Local Roads Request, Delta, Rev 1.0, 25/06/2021</p> <p>Approval letter from DPE to Sydney Metro, dated 05/07/2021</p>	<p>Sydney Olympic Park Heavy Vehicle Route, AFJV, Rev 02, 22/12/2021</p> <p>Approval letter from DPE to Sydney Metro re: SOPA HLVR, dated 14/01/2022</p> <p>East Street and Henry Street Five Dock Heavy Vehicle Route, AFJV, Rev 1, 09/02/2022</p>	<p>SMW Demolition Works Heavy Vehicle Local Road Report Clyde, Delta, Rev 4, 12/10/2021</p> <p>Letter from DPE to Sydney Metro re: Clyde HVLR approval, dated 15/10/2021</p> <p>SMW Demolition Works Heavy Vehicle Local Road Report Parramatta, Delta, Rev 3, 07/10/2021</p> <p>Letter from DPE to Sydney Metro re: Parramatta HVLR approval, dated 19/10/2021</p> <p>SMW Demolition Works Heavy Vehicle Local Road Report Westmead, Delta, Rev 2, 27/10/2021</p> <p>Letter from DPE to Sydney Metro re: Westmead HVLR approval, dated 03/11/2021</p>	<p>A number of submissions have been made to the Planning Secretary for approval of the use of local roads under D86. Evidence of approval sighted.</p> <p>East Street and Henry Street Five Dock Heavy Vehicle Route request still be submitted to the Planning Secretary for approval.</p>	Compliant
D87	<p>All requests to the Planning Secretary for approval to use local roads under Condition D86 above must include the following:</p> <ul style="list-style-type: none"> 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. 	<p>SMW Power Enabling Works Heavy Construction Vehicle use of Local Roads Request, Delta, Rev 1.0, 25/06/2021</p> <p>Approval letter from DPE to Sydney Metro, dated 05/07/2021</p>	<p>Sydney Olympic Park Heavy Vehicle Route, AFJV, Rev 02, 22/12/2021</p> <p>Approval letter from DPE to Sydney Metro re: SOPA HLVR, dated 14/01/2022</p>	<p>SMW Demolition Works Heavy Vehicle Local Road Report Clyde, Delta, Rev 4, 12/10/2021</p> <p>Letter from DPE to Sydney Metro re: Clyde HVLR approval, dated 15/10/2021</p> <p>SMW Demolition Works Heavy Vehicle Local Road Report Parramatta, Delta, Rev 3, 07/10/2021</p> <p>Letter from DPE to Sydney Metro re: Parramatta HVLR approval, dated 19/10/2021</p> <p>SMW Demolition Works Heavy Vehicle Local Road Report Westmead, Delta, Rev 2, 27/10/2021</p> <p>Letter from DPE to Sydney Metro re: Westmead HVLR approval, dated 03/11/2021</p>	<p>All requests for approval to use local roads under Condition D86 have been approved by the Planning Secretary.</p>	Compliant
D88	Road Dilapidation	SMW Power Enabling Works Heavy Construction Vehicle use of Local Roads	TeamBinder transmittal, Road Dilapidation Report –	SMW Demolition Works Heavy Vehicle Local Road	Evidence provided indicates that road dilapidation surveys have been undertaken in accordance with D88.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	Before any local road is used by a Heavy Vehicle for the purposes of construction of Stage 1 of the CSSI, a Road Dilapidation Report must be prepared for the road. A copy of the Road Dilapidation Report must be provided to the Relevant Road Authority(s) within three (3) weeks of completion of the survey and at no later than one (1) month before the road being used by Heavy Vehicles associated with the construction of Stage 1 of the CSSI.	Request (Appendix I), Delta, Rev 1.0, 25/06/2021 Email correspondence detailing submission of dilapidation reports to Council, 16/04/2021	Burwood Council, 07/12/2021 TeamBinder transmittal, Road Dilapidation Report – City of Canada Bay, 06/12/2021 TeamBinder transmittal, Road Dilapidation Report – Ports Authority, 05/01/2022 TeamBinder transmittal, Road Dilapidation Report – SOPA, 07/12/2021 TeamBinder transmittal, Road Dilapidation Report – TfNSW, 17/12/2021 Interview with auditees, 01/03/2022	Report Clyde, Delta, Rev 4, 12/10/2021 SMW Demolition Works Heavy Vehicle Local Road Report Parramatta, Delta, Rev 3, 07/10/2021 SMW Demolition Works Heavy Vehicle Local Road Report Westmead, Delta, Rev 2, 27/10/2021 Email correspondence providing Parramatta & Clyde Enabling Works Road Dilapidation Report to representatives from City of Parramatta Council and Cumberland City Council, dated 02/10/2021		
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.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022			Not triggered at this stage for the Project works.	Not triggered
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	SMW Power Enabling Works Construction Parking and Access Strategy, Rev 1.0, dated 25/06/2021 SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021 Site inspection, 28/02/2022	SMW CTP Construction Parking and Access Strategy, AFJV, Rev 1, 15/12/2021 Site inspection, 28/02/2022	SMW Demolition Construction Parking and Access Strategy – Parramatta, Delta, Rev 4, 09/12/2021 SMW Demolition Construction Parking and Access Strategy – Clyde, Delta, Rev 3, 11/10/2021 SMW Demolition Construction Parking and Access Strategy – Westmead, Rev 4, 12/10/2021 Site inspection, 28/02/2022	Parking and access management aspects are communicated to Project personnel. Monitoring of construction parking and access management is considered as part of ER inspections. Some complaints have been raised in relation to parking and access, the majority of which were deemed unavoidable and all of which have been closed.	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;	SMW Power Enabling Works Construction Parking and Access Strategy, Rev 1.0, dated 25/06/2021	SMW CTP Construction Parking and Access Strategy, AFJV, Rev 1, 15/12/2021	SMW Demolition Construction Parking and Access Strategy – Parramatta, Delta, Rev 4, 09/12/2021 SMW Demolition Construction Parking and Access Strategy – Westmead, Rev 4, 12/10/2021	Construction Parking and Access Strategies have been prepared for each phase of works in line with D91. It is noted that the DPE approval letter for the CPAS prepared for Phase B (AFJV) works notes that consultation with City of Canada Bay Council was ongoing at the time of writing and	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	<ul style="list-style-type: none"> 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. 		<p>DPE approval letter (to Sydney Metro) for SMW CTP CPAS, 21/12/2021</p> <p>Minutes – Interface Meeting with City of Canada Bay Council, dated 22/02/2022</p>	<p>Access Strategy – Clyde, Delta, Rev 3, 11/10/2021</p> <p>SMW Demolition Construction Parking and Access Strategy – Westmead, Rev 4, 12/10/2021</p>	<p>that an updated CPAS is required to be submitted once this consultation is resolved. AFJV advised that this consultation is ongoing, and that this topic is discussed as part of interface meetings with City of Canada Bay Council (example minutes provided).</p>	
D92	<p>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.</p>	<p>DPE lodgment record, SSI-10038-PA-17, 31/05/2021</p> <p>CPAS approval Letter from DPE to Sydney Metro, 02/07/2021</p> <p>Notification of Commencement letter – Phase A, Sydney Metro to DPE, 30/08/2021</p>	<p>DPE lodgment record, SSI-10038-PA-72, 26/11/2021</p> <p>CTP CPAS approval letter from DPE to Sydney Metro, dated 21/12/2021</p> <p>Site inspection, 28/02/2022</p>	<p>DPE lodgment record (Clyde CPAS), SSI-10038-PA-46, 18/09/2021</p> <p>Letter from DPE to Sydney Metro re: Clyde CPAS approval, dated 18/10/2021</p> <p>DPE lodgment record (Parramatta CPAS), SSI-10038-PA-48, 21/09/2021</p>	<p>The Construction Parking and Access Strategies prepared for the Project have been submitted to the Planning Secretary and approved in line with D92. Evidence of implementation was sighted during the site inspection (see photos in Appendix D of the Audit Report).</p> <p>Note, observation raised for A38 to clarify actual construction commencement date for the Phase B1 works.</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
		Site inspection, 28/02/2022		<p>Letter from DPE to Sydney Metro re: Parramatta CPAS approval, dated 15/12/2021</p> <p>DPE lodgment record (Westmead CPAS), SSI-10038-PA-49, 22/09/2021</p> <p>Letter from DPE to Sydney Metro re: Westmead CPAS approval, dated 20/10/2021</p> <p>Notification of Commencement letter – Phase C1, Sydney Metro to DPE, 07/12/2021</p> <p>Site inspection, 28/02/2022</p>		
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.	<p>SMW Power Enabling Works Construction Parking and Access Strategy, Rev 1.0, dated 25/06/2021</p> <p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p> <p>Manning Street to Darling Street Trenching Works, Construction Traffic Management Plan, Version B, 21/06/2021</p> <p>Darling Street Trenching and Under-bore, Construction Traffic Management Plan, Version B, 03/06/2021</p> <p>Merton Street to Mullen Street – Trenching, Construction Traffic Management Plan, Version C, 08/06/2021</p> <p>Mullen Street to The Bays Station Trenching and Thrust-bore, Construction Traffic Management Plan, Version C, 08/06/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW CTP Construction Parking and Access Strategy, AFJV, Rev 1, 15/12/2021</p> <p>SMW CTP Overarching Construction Traffic Management Plan, AFJV, Rev 03, 24/01/2022</p> <p>Site inspection, 28/02/2022</p>	<p>SMW Demolition Construction Traffic Management Plan – Clyde, Delta, Rev 2, 13/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Parramatta, Delta, Rev 2, 14/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Westmead, Delta, Rev 2, 19/10/2021</p> <p>Site inspection, 28/02/2022</p>	<p>Evidence sighted as part of this audit demonstrates that measures have been implemented across the Project to maintain pedestrian, cyclist and vehicular access to, and parking in the vicinity of, businesses and affected properties.</p> <p>See photos in Appendix D of the Audit Report.</p>	Compliant

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D94	<p>Road Safety</p> <p>A Traffic and Transport Liaison Group(s) must be established in accordance with the Construction Traffic Management Framework to inform the development of CTMPs.</p>	<p>Sydney Metro West Traffic and Transport Liaison Group – Terms of Reference, Rev 0.3, 27/07/2021</p> <p>Sydney Metro West TTLG Minutes – Meeting 11, 27/01/2022</p> <p>Sydney Metro West TTLG Minutes – Meeting 12, 24/02/2022</p>			<p>TTLG has been established by Sydney Metro. The TTLG meetings are attended by representatives from the contractors delivering each phase of works.</p>	Compliant
D95	<p>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.</p>	<p>Interview with auditees, 01/03/2022</p>			<p>There has been no requirement to conduct supplementary analysis and modelling for construction traffic across the Project to date.</p>	Not triggered
D96	<p>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:</p> <ul style="list-style-type: none"> 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. <p>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.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Condition not applicable to Phase B works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Not applicable.</p>	Not triggered
D97	<p>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.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>No permanent road works have commenced at this stage. Works on the WestConnex haulage road at The Bays site is considered an internal haul road and is temporary.</p>	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
D98	<p>Pedestrian and Cyclist Access</p> <p>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.</p>	<p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p> <p>Manning Street to Darling Street Trenching Works, Construction Traffic Management Plan, Version B, 21/06/2021</p> <p>Darling Street Trenching and Under-bore, Construction Traffic Management Plan, Version B, 03/06/2021</p> <p>Merton Street to Mullen Street – Trenching, Construction Traffic Management Plan, Version C, 08/06/2021</p> <p>Mullen Street to The Bays Station Trenching and Thrust-bore, Construction Traffic Management Plan, Version C, 08/06/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW CTP Overarching Construction Traffic Management Plan, AFJV, Rev 03, 24/01/2022</p> <p>Site inspection, 28/02/2022</p>	<p>SMW Demolition Construction Traffic Management Plan – Clyde, Delta, Rev 2, 13/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Parramatta, Delta, Rev 2, 14/10/2021</p> <p>SMW Demolition Construction Traffic Management Plan – Westmead, Delta, Rev 2, 19/10/2021</p> <p>Site inspection, 28/02/2022</p>	<p>Requirements to maintain pedestrian and cyclist access around worksites is addressed in the referenced management plans. Evidence of measures to address this condition were sighted across the Project worksites during the site inspection.</p> <p>See photos in Appendix D of the Audit Report.</p>	Compliant
D99	<p>Spoil Movement</p> <p>Opportunities to maximise spoil material removal by non-road methods must be investigated and implemented where reasonably practicable to minimise movements by road.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>File note, AFJV, 08/12/2021</p> <p>Interview with auditees, 01/03/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Opportunities investigated for the Phase B (AFJV) works but found to be not feasible.</p>	
D100	<p>Emergency Vehicle Access</p> <p>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.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Condition applicable to Westmead worksite, therefore not applicable to Phase B (AFJV) works.</p>	<p>Interview with auditees, 01/03/2022</p>	<p>Not triggered, no disruption to emergency vehicle access during Phase C11 works.</p>	Not triggered
Utilities Management						
	<p>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</p>	<p>Utilities Consultation Memo, 3869-SMW-MEMO-008, Quickway, Revision 0, 06/08/2021</p>	<p>SMW CTP Underground Services Investigation Report – The Bays, Veris, 17/02/2022</p> <p>Utilities Investigation Report – The Bays Worksite,</p>	<p>Email re: Pole Mounted Service - Temporary removal and reinstatement at Clyde, 19/10/2021</p>	<p>Evidence provided demonstrates that works associated with utilities, services, and other infrastructure are being undertaken in consultation with the relevant asset owners.</p> <p>Consultation with third parties is ongoing across the Project to identify preferred work</p>	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	and be responsible for advising local residents and businesses affected before any planned disruption of service.		SmarterWX Locate, 27/09/2021 Minutes – Jemena/SM/AFJV Weekly Progress Meeting, 16/12/2021	Email from Delta to Endeavour Energy – RFI re: live substation, 21/02/2022	methodologies and where required, protection or additional requirements.	
D102	<p>Utility Coordination Manager</p> <p>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:</p> <ul style="list-style-type: none"> 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. 	Interview with auditees, 01/03/2022			Sydney Metro has appointed the role of Utility Coordination Manager, performed by Paul Rogers, Utilities & Stakeholder Manager. Each contractor provides information to the Utilities Coordination Manager as requested.	Compliant
Urban Design and Visual Amenity						
D103	<p>Ancillary Facilities</p> <p>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.</p>	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 Site inspection, 28/02/2022	SMW CTP Visual Amenity Management Plan, AFJV, Rev 01, 19/10/2021 Site inspection, 28/02/2022	SMW Demolition Works Construction Environmental Management Plan, Delta, Rev 6, 22/12/2021 Site inspection, 28/02/2022	Some evidence sighted evidence of wayfinding information installed across the Project sites. It is noted that the Project is still in the early stages of construction. See photos in Appendix D of the Audit Report.	Compliant
D104	Nothing in this approval permits advertising on any element of Stage 1 of the CSSI.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021 Site inspection, 28/02/2022	SMW CTP Visual Amenity Management Plan, AFJV, Rev 01, 19/10/2021 Site inspection, 28/02/2022	SMW Demolition Works Construction Environmental Management Plan, Delta, Rev 6, 22/12/2021 Site inspection, 28/02/2022	No advertising applied to external elements was observed during the site inspection.	Compliant
D105	<p>Temporary Activations</p> <p>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.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Meeting, Five Dock Activation Discussion, Sydney Metro and City of Canada Bay, 11/11/2021 Presentation: Addressing the challenges of the Metro, City of Canada Bay, 11/11/2021 Grant opportunity memo, Five Dock Metro mitigation program, 11/11/2021	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Evidence of consultation with City of Canada Bay regarding opportunities for activation of area in proximity to Five Dock worksite.	Compliant

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
D106	<p>Five Dock Metro Station Eastern Construction Site</p> <p>The acoustic shed at the Five Dock metro station eastern construction site must be designed and constructed in a manner that minimises visual amenity, solar access and overshadowing impacts to the residential apartments at 110 Great North Road, Five Dock facing the acoustic shed. The potential visual amenity, solar access and overshadowing impacts of the acoustic shed on the affected residential apartments must be assessed in a Visual Amenity, Solar Access and Overshadowing Report prepared by the Proponent.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	SMW CTP Five Dock Visual Amenity, Solar Access and Overshadowing Report, AFJV, Rev B (01), 01/03/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Addressed in the Solar Access and Overshadowing Report, which has been submitted to the Department. AFJV confirmed that the acoustic sheds at the Five Dock sites are planned to be installed in June 2022.	Compliant
D107	<p>The Visual Amenity, Solar Access and Overshadowing Report must include:</p> <ul style="list-style-type: none"> a) visual amenity impact assessments from the relevant residential apartments to the acoustic shed at the Five Dock metro station eastern construction site; b) solar access assessments of the relevant residential apartments, with consideration for the relevant development controls in the City of Canada Bay Development Control Plan (Version 4, 21 October 2020) and the Apartment Design Guide; and c) a consultation plan to detail how potential impacts and mitigation measures will be discussed and negotiated with potentially affected property owners. <p>The Visual Amenity, Solar Access and Overshadowing Report must be provided to the Planning Secretary for approval within (1) month prior to the installation of the acoustic shed at the Five Dock metro station eastern construction site.</p>	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	<p>SMW CTP Five Dock Visual Amenity, Solar Access and Overshadowing Report, AFJV, Rev B (01), 01/03/2022</p> <p>Record of submission to DPE, SSI-10038-PA-128, 02/03/2022</p>	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Solar Access and Overshadowing Report has been prepared and submitted to the Department. AFJV confirmed that the acoustic sheds at the Five Dock sites are planned to be installed in June 2022.	Compliant
D108	Where the acoustic shed causes a moderate (or greater) adverse visual amenity impact and / or unreasonable overshadowing and solar access impacts to any of the subject residential apartments, the Proponent must consult with the relevant affected property owners and occupiers to identify appropriate mitigation measures and an agreed implementation program. A copy of agreed implementation programs must be provided to the Planning Secretary for information.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	SMW CTP Five Dock Visual Amenity, Solar Access and Overshadowing Report, AFJV, Rev B (01), 01/03/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not triggered based on the outcomes of the investigation detailed in the Solar Access and Overshadowing Report.	Not triggered
D109	<p>Lighting and Security</p> <p>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.</p>	<p>SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021</p> <p>SMW Power Enabling Works Overarching Construction Traffic Management Plan, Quickway, Version B, 21/05/2021</p>	<p>SMW CTP Visual Amenity Management Plan, AFJV, Rev 01, 19/10/2021</p> <p>Site inspection, 28/02/2022</p> <p>Interview with auditees, 01/03/2022</p>	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	<p>Commitment has been made by Quickway and AFJV to ensure works minimise light spill to surrounding properties and comply with referenced standards.</p> <p>The auditees reported that no lighting related complaints have been received during the audit period.</p>	Compliant

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		Phase A	Phase B	Phase C1		
		Photos of night works provided by Quickway Interview with auditees, 01/03/2022				
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.	SMW Power Enabling Works Construction Environmental Management Plan, Quickway, Rev 1.0, 02/11/2021	SMW CTP Visual Amenity Management Plan, AFJV, Rev 01, 19/10/2021 Site inspection, 28/02/2022	SMW Demolition Works Construction Environmental Management Plan, Delta, Rev 6, 22/12/2021	There were minimal opportunities to minimise visual amenity impacts associated with the Phase A (Quickway) works due to the minor and temporary nature of these works. For the Phase B (AFJV) works, construction phase visual amenity impacts and mitigation are discussed in the Visual Amenity Management Plan, with inclusion of site layout plans in Appendix B. Works at The Bays site were consistent with the plan. For the Phase C1 (Delta) works, fencing and hoarding has been installed around the boundary of the sites, including installation of Sydney Metro branded shade cloth.	Compliant
Waste						
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.	SMW Power Enabling Works Construction Environmental Management Plan (Appendix F – Waste and Spoil Management Plan), Quickway, Rev 1.0, 02/11/2021	SMW CTP Waste Management Plan, AFJV, Rev 01, 22/10/2021 Site inspection, 28/02/2022	SMW Demolition Waste Management Sub-Plan, Delta, Rev 4, 16/12/2021 Site inspection, 28/02/2022	Waste management processes adopted on the Project incorporate the principles of waste avoidance, reduction, reuse, and recycling. Waste storage and management practices sighted during inspection (see photos in Appendix D of Audit Report).	Compliant
D112	The importation of waste and the storage, treatment, processing, reprocessing or disposal of such waste must comply with the conditions of the current EPL for Stage 1 of the CSSI, or be done in accordance with a Resource Recovery Exemption or Order issued under the Protection of the Environment Operations (Waste) Regulation 2014, as the case may be.	SMW Power Enabling Works Construction Environmental Management Plan (Appendix F – Waste and Spoil Management Plan), Quickway, Rev 1.0, 02/11/2021 SMW Power Enabling Works Material Tracking Register, last updated 02/02/2022	SMW CTP Imported Material Procedure, AFJV, Rev 01, 03/02/2022 SMW CTP Material Import (s143) Register, AFJV, latest entry 09/02/2022	Not triggered for the Phase C1 (Delta) works as no waste has been imported to site.	Procedure and register sighted for the importation of waste material to the Phase B (AFJV) works in line with Resource Recovery Exemption/Order. No importation of waste material has occurred on the Phase A (Quickway) works, just the importation of quarry material. It is noted that no EPL(s) were in place across the Project at the time of the audit.	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.	SMW Power Enabling Works Construction Environmental Management Plan (Appendix F – Waste and Spoil Management	SMW CTP Waste Management Plan, AFJV, Rev 01, 22/10/2021	SMW Demolition Waste Management Sub-Plan, Delta, Rev 4, 16/12/2021	Evidence provided demonstrates that waste generated across the Project is being exported to appropriately licensed facilities in line with D113.	Compliant

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		Plan), Quickway, Rev 1.0, 02/11/2021 SMW Power Enabling Works Material Tracking Register, last updated 02/02/2022	The Bays Waste Disposal Register, AFJV, last updated 23/02/2022 SMW CTP Waste Destination Approval Form – Suez Kemps Creek, dated 21/01/2022	SMW Demolition Waste Disposal Summary – Feb 2022		
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.	SMW Power Enabling Works Construction Environmental Management Plan (Appendix F – Waste and Spoil Management Plan), Quickway, Rev 1.0, 02/11/2021 SMW Power Enabling Works Material Tracking Register, last updated 02/02/2022	SMW CTP Waste Management Plan, AFJV, Rev 01, 22/10/2021 SMW CTP Waste Tracking Register – The, AFJV, last updated 23/02/2022	SMW Demolition Waste Management Sub-Plan, Delta, Rev 4, 16/12/2021 Waste Classification Report – Clyde, Property Risk Australia, 08/12/2021 Letter from Sydney Metro to DPE – Notification of non-compliance, dated 25/11/2021 Record of submission to DPE, SSI-10038-PA-71, 25/11/2021	One instance of non-compliance was raised during the audit period for the Phase C1 (Delta) works, noted below. Despite this event, evidence provided indicates that waste generated across the Project is being classified, tracked, and disposed/ recycled appropriately. Non-compliance: A non-compliance was raised against D114 for the Phase C1 (Delta) works in relation to the transportation of excavated material from site without obtaining prior waste classification. This was reported to the Department on 25/11/2021 in accordance with A45.	Non-compliant
Water						
D115	Work on waterfront land must be carried out in accordance with controlled activity guidelines.	Not triggered for the Phase A (Quickway) works – no works are proposed to take place on waterfront lands.	Not triggered for the Phase B (AFJV) works to date. Site inspection, 28/02/2022	Not triggered for the Phase C1 (Delta) works to date. Site inspection, 28/02/2022	Condition not triggered at this stage but will become applicable when works are undertaken on Duck Creek crossing at Clyde.	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).	SMW Power Enabling Works Construction Environmental Management Plan (Appendix H – Soil and Water Management Plan), Quickway, Rev 1.0, 02/11/2021 Erosion and Sediment Control Plan for Stockpiling, 3869-SMW-ESCP-003, Revision 0,08/07/2021 Site inspection, 28/02/2022	SMW CTP Construction Soil and Water Management Plan, AFJV, Rev 3, 03/11/2021 Progressive Erosion and Sediment Control Plan (PESCP) –Central Tunnelling Package -The Bays–Stage 1a, AFJV, Rev 05, 28/02/2022 Site inspection, 28/02/2022 Progressive Erosion and Sediment Control Plan (PESCP) – Central Tunnelling Package – Burwood – Stage 1a, AFJV, Rev 01, 09/03/2022	SMW Demolition Works Construction Environmental Management Plan, Delta, Rev 6, 22/12/2021 Site inspection, 28/02/2022	Erosion and sediment control plans have been prepared for all Project worksites and controls were observed to be in place during the site inspection. Site controls are inspected as part of Environment Representative inspections. It is noted that AFJV advised of an incident that occurred involving overtopping of erosion and sediment controls at The Bays worksite due to a rainfall event. The incident was not deemed to meet the criteria of a notifiable incident under the Infrastructure Approval. AFJV responded by boarding up the pipe inlet involved and arranging a site inspection with the Soil Conservationist.	Compliant

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		Phase A	Phase B	Phase C1		
			Environmental Incident and Non-compliance Notification Report, AFJV, 11/02/2022			
D117	<p>Water Quality</p> <p>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.</p>	<p>SMW Power Enabling Works Construction Environmental Management Plan (Appendix H – Soil and Water Management Plan), Quickway, Rev 1.0, 02/11/2021</p> <p>Erosion and Sediment Control Plan for Stockpiling, 3869-SMW-ESCP-003, Revision 0,08/07/2021</p> <p>Site inspection, 28/02/2022</p>	<p>SMW CTP Construction Soil and Water Management Plan, AFJV, Rev 3, 03/11/2021</p> <p>Progressive Erosion and Sediment Control Plan (PESCP) – Central Tunnelling Package -The Bays–Stage 1a, AFJV, Rev 05, 28/02/2022</p> <p>Progressive Erosion and Sediment Control Plan (PESCP) – Central Tunnelling Package – Burwood – Stage 1a, AFJV, Rev 01, 09/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>For the Phase A (Quickway) works, these principles are included in the Soil and Water Management Plan (Appendix H of CEMP). Section 4 of SWMP covers the component identified in the condition. All sites are managed in accordance with Landcom’s Blue Book, with erosion and sediment controls in place to ensure no impact to waterways. No direct discharge to waterways has occurred.</p> <p>For the Phase B (AFJV) works, surface water at The Bays site is being managed in accordance with the site PESCP. The auditees advised that there is currently no discharge of water from site, with collected water disposed as liquid waste. AFJV advised that a water treatment plant has been procured for The Bays site.</p> <p>AFJV is in the process of applying for discharge criteria for each Phase B (AFJV) worksite as part of the project’s Environment Protection Licence (EPL) application.</p>	Compliant
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> <ul style="list-style-type: none"> 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 bioaccumulative and persistent toxicants, the ANZG (2018) guidelines values at a minimum of 99 per cent species protection level. <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 evidence such as international scientific literature or water quality guidelines from other countries, must be used.</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Not triggered at this stage – water treatment plant has been procured but has not yet been established and commissioned onsite.</p>	Not triggered
D119	<p>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</p>	<p>Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>Interview with auditees, 01/03/2022</p> <p>Site inspection, 28/02/2022</p>	<p>Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.</p>	<p>The auditees advised that there have been no discharges to stormwater at this stage during the Phase B (AFJV) works. All water is</p>	Not triggered

Unique ID	Compliance requirement	Evidence collected			Independent Audit findings and recommendations	Compliance status
		Phase A	Phase B	Phase C1		
	National Water Quality Guidelines, with a level of detail commensurate with the potential water pollution risk.				collected onsite and disposed of as liquid waste, if required.	
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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not triggered for Phase B (AFJV) works to date.	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.	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Not triggered for Phase B (AFJV) works to date. Bulk excavation has not yet commenced.	Not triggered
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: <ul style="list-style-type: none"> 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. 	Condition not applicable to Phase A works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	Interview with auditees, 01/03/2022 Site inspection, 28/02/2022	Condition not applicable to Phase C1 works as per SMW Phasing Report 1.2, Sydney Metro, 01/10/2021.	The auditees advised that groundwater modelling reports are completed as part of each design package. Bulk excavation planned to commence in April 2022.	Not triggered

*Changes to conditions made by Mod 1 (July 2021). Deletions are in ~~strikeout~~, and additions are in **bold and underlined**.

APPENDIX B – PLANNING SECRETARY AGREEMENT OF INDEPENDENT AUDITORS



Department of Planning and Environment

Ben Armstrong

Our ref: SSI-10038

Sydney Metro
PO Box K659
Haymarket NSW 1240

Your ref: Sydney Metro West Stage 1

File: SSI-10038-PA-32; PA-96; PA-98

via Major Projects Portal

20 January 2022

Dear Ben

Sydney Metro West Stage 1 (SSI-10038)

Independent Environmental Auditors Nomination & Initial Audit Extension

Thank you for your letter dated 12 January 2022 requesting the Planning Secretary's approval of suitably qualified, experienced and independent persons as independent environmental auditors for the Sydney Metro West Stage 1 project (SSI-10038-PA-96&98), as well as the earlier letter dated 24 August 2021 requesting the Planning Secretary's approval to postpone the initial audit (SSI-10038-PA-32).

The Department has reviewed the nominations and information you have provided against the *Independent Audit Post Approval Requirements (DPIE, 2020) (IA PAR)*. The Department is satisfied that Wolfpeak's Mr Fermio, Mr Low and Ms Azzopardi are certified with Exemplar Global as either principal or lead auditors in environmental management systems, are suitably experienced and qualified in state significant projects, and have supplied declarations of independence.

Consequently, I can advise that in accordance with Condition A40 of SSI-10038, the Planning Secretary has agreed to the following audit team for the initial audit:

- Mr Fermio, Wolfpeak, as auditor
- Mr Low, Wolfpeak, as auditor
- Ms Azzopardi, Wolfpeak, as audit support.

The Department has also carefully considered the earlier request, made under condition A9 of SSI-10038, to postpone the initial audit.

As you are aware, under Condition A39 of SSI-10038 independent audits must be conducted and carried out in accordance with the IA PAR (as the Planning Secretary has not been consulted on, or approved, an alternative audit program under Condition A39.1).

Under the IA PAR, the initial audit is due within 12 weeks of the commencement of construction, with subsequent audits due every 26 weeks during the construction phase. Noting that Sydney Metro advised the Department that construction commenced on 13 July 2021 (our ref



Department of Planning and Environment

SSI-10038-PA-34), the Planning Secretary agrees to the postponement of the initial audit and requires the initial audit be undertaken within 38 weeks of the commencement of construction.


Please ensure this correspondence is appended to the Independent Audit Report.

The Independent Audit must be prepared, undertaken and finalised in accordance with the IA PAR. Failure to meet these requirements will require revision and resubmission.

Please note that a further auditor nomination must be made and written agreement from the Planning Secretary provided prior to undertaking any subsequent independent audits. The Department also reserves the right to request an alternate auditor or audit team for future audits.

If you wish to discuss the matter further, please contact Alex McGuirk, Senior Compliance Officer, at compliance@planning.nsw.gov.au.

Yours sincerely,



Thomas Minchin

A/Team Leader Compliance – Government Projects

Planning & Assessment | Department of Planning and Environment

As nominee of the Planning Secretary

APPENDIX C – CONSULTATION RECORDS

Ann Azzopardi

From: Alex McGuirk <Alex.McGuirk@dpie.nsw.gov.au >
Sent: Thursday, 10 February 2022 10:58 AM
To: Steve Fermio
Cc: Ania Dorocinska
Subject: RE: Sydney Metro West Stage 1- SSI 10038 - Independent Audit No. 1

Hi Steve,

Thank you for consulting with the Department of Planning and Environment (Department) on the scope of the Sydney Metro West (Concept & Stage 1) initial construction audit.

Please ensure the audit is conducted in accordance with Condition A39 of Infrastructure Approval SS-10038, which requires the audit to be carried out in accordance with the Independent Audit Post Approval Requirements (May, 2020) noting the additional temporal scope requested by Sydney Metro which was approved by the Department on 20 January 2022. Consistent with section 3.3 of those requirements, please ensure:

- All conditions applicable to the concept and the current Stage 1 phases are audited, noting the phased construction
- The environmental performance of the development is assessed, including but not limited to actual versus predicted impacts
- A high level assessment of the environmental management plans/sub-plans is included
- Matters considered relevant to this audit:
 - Communication of compliance obligations to works contractors, including endorsements/approvals required prior to commencement
 - Provision of required information on the project website and whether that information is "easy to navigate" (refer condition B11)
 - Ongoing consultation with affected community regarding specific noise mitigation measures, including respite periods (refer for example conditions D51, D43)
 - Reporting to the Department as per the Environmental Representative Protocol (October, 2018)
 - Notification of incidents and non-compliances to the Department.

Happy to discuss,

Alex McGuirk
Senior Compliance Officer
Planning & Assessment | Department of Planning & Environment
Locked Bag 5022 | PARRAMATTA NSW 2124
www.dpie.nsw.gov.au



From: Steve Fermio <sfermio@wolfpeak.com.au>
Sent: Monday, 24 January 2022 10:42 AM
To: DPE PSVC Compliance Mailbox <compliance@planning.nsw.gov.au>; Alex McGuirk

<Alex.McGuirk@dpie.nsw.gov.au>

Cc: Ann Azzopardi <aazzopardi@wolfpeak.com.au>; Derek Low <dlow@wolfpeak.com.au>; Matthew Marrinan <Matthew.Marrinan@transport.nsw.gov.au>; Pamela Tummers@transport.nsw.gov.au

Subject: Sydney Metro West Stage 1- SSI 10038 - Independent Audit No. 1

Hi there.

I am one of the Department of Planning and Environment (the Department) approved independent auditors on the Sydney Metro West – SSI 10038 (the Project), as per the Department's correspondence dated 20 January 2022.

I am currently preparing to undertake the first independent audit on the Project. The audit is required to be conducted in accordance with SSI 10038 condition A39 and the Department's 2020 *Independent Audits Post Approval Requirements* (or IAPAR).

The audit pertains to post-approval requirements and compliance during the construction phase of the Project.

In accordance with Section 3.2 of the IAPAR, I am consulting with the Department on the scope of the audit and for confirmation as to whether other parties or agencies are to be consulted.

The required scope (outlined in Section 3.3 of the IAPAR) already covers an assessment of each relevant condition along with all post approval documents prepared to satisfy the conditions of Approval, including an assessment of the implementation of Environmental Management Plans and Sub-plans, complaints, incidents and so forth. These are included in the audit scope for this Project.

In providing input to the scope, I kindly request Department confirm:

- if it has any key issues it would like examined, relating to post-approval requirements and compliance that are not already called up by the scope in Section 3.3 of the IAPAR; or
- if it recommends that other parties or agencies be consulted. If the Department is able to identify any additional parties or agencies to be consulted at its earliest convenience that would be greatly appreciated.

At this stage, the site inspection component of the audit is scheduled to commence in late February. To assist with audit preparation if the Department can provide any input it may have to the scope of the audit by Friday 11th February that would also be greatly appreciated.

Any questions please let me know. I look forward to hearing from you.

Kind regards,

Steve Fermio | Principal Environmental & Earth Scientist

Director



E: sfermio@wolfpeak.com.au



M: 0417 170 645




P: 1800 979 716



A: 17A High Street, Wauchope NSW 2446

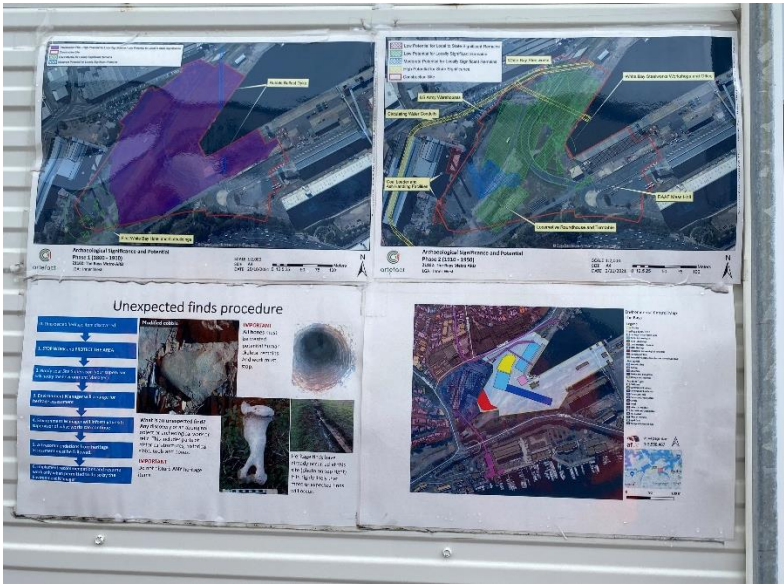

www.wolfpeak.com.au


APPENDIX D – PHOTOS



No.	Comment	Photograph
1	Water storage tanks onsite at The Bays worksite (Phase B (AFJV) works)	 <p>A photograph showing several large, cylindrical water storage tanks at a construction site. One tank is light blue with some text on it, and others are orange. They are situated on a dirt and gravel area, partially enclosed by a metal fence. The sky is overcast.</p>
2	Street sweeper onsite at The Bays worksite (Phase B (AFJV) works)	 <p>A photograph of a white street sweeper truck with 'RAYGAL' and the phone number '9629-3970' written on its side. The truck is parked on a wet asphalt road at a construction site. In the background, there are trees and a bridge structure under a cloudy sky.</p>


No.	Comment	Photograph
3	Compound boundary fencing with Sydney Metro shade cloth installed at The Bays worksite (Phase B (AFJV) works)	
4	Delineation of works on corner of Moodie St and McCleer St, Rozelle (Phase A (Quickway) works)	
5	Noise blankets installed on fencing around excavation site (Phase A (Quickway) works)	

No.	Comment	Photograph
6	Barriers, fencing, and signage installed around excavation site (Phase A (Quickway) works)	
7	Signage on fence of Quickway compound site (Phase A (Quickway) works)	

No.	Comment	Photograph
8	Environmental Control Map and heritage management documents on display at The Bays worksite (Phase B (AFJV) works)	 <p>The photograph shows a board with several documents. At the top are two maps: the left one is an aerial map with a purple shaded area, and the right one is a site plan with various colored zones and labels. Below the maps is a document titled 'Unexpected finds procedure' which includes a flowchart with steps like '1. Report any unexpected finds to the site manager', '2. Stop work in the area immediately', '3. Excavate and bag the find', '4. Report the find to the archaeologist', '5. Excavate and bag the find', '6. Report the find to the archaeologist', and '7. Excavate and bag the find'. To the right of the flowchart are images of archaeological finds, including a metal object and a circular hole in the ground. Further right is another map with a legend and a scale bar.</p>
9	Concrete truck placing excess concrete into lined skip bin at The Bays worksite (Phase B (AFJV) works)	 <p>The photograph shows a white concrete mixer truck with a red and black logo on its drum. The truck is parked on a dirt surface at a construction site. Its discharge chute is extended and positioned over a large, lined skip bin. In the background, there are other construction materials, a crane, and a cloudy sky.</p>

No.	Comment	Photograph
10	Grasshopper waste skip bin at The Bays worksite (Phase B (AFJV) works)	
11	Site boundary fencing with Sydney Metro shade cloth installed at the Clyde worksite (Phase C1 (Delta) works)	
12	Controls installed around unexpected contamination find site (hydrocarbon tank) at Clyde worksite (Phase C1 (Delta) works)	

No.	Comment	Photograph
13	Traffic and pedestrian delineation around carpark demolition site in Parramatta (Phase C1 (Delta) works)	
14	Signage directing pedestrians around demolition site on Macquarie St, Parramatta (Phase C1 (Delta) works)	

No.	Comment	Photograph
15	Retention of 'Kia Ora' heritage building adjacent to demolition site, Parramatta (Phase C1 (Delta) works)	

APPENDIX E – DECLARATIONS

Declaration of Independence – Auditor




Project Name:	Sydney Metro West – Concept and Stage 1
Consent Number:	SSI-10038
Description of Project:	Development of the Sydney Metro West project comprising: <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 ◦ stabling 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. 1
Date:	12/04/2022

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

- i. the audit has been undertaken in accordance with relevant condition(s) of consent and the *Independent Audit Post Approval Requirements (Department 2020)*;
- ii. the findings of the audit are reported truthfully, accurately and completely;
- iii. I have exercised due diligence and professional judgement in conducting the audit;
- iv. I have acted professionally, objectively and in an unbiased manner;
- v. I am not related to any proponent, owner or operator of the project neither as an employer, business partner, employee, or by sharing a common employer, having a contractual arrangement outside the audit, or by relationship as spouse, partner, sibling, parent, or child;
- vi. I do not have any pecuniary interest in the audited project, including where there is a reasonable likelihood or expectation of financial gain or loss to me or spouse, partner, sibling, parent, or child;
- vii. neither I nor my employer have provided consultancy services for the audited project that were subject to this audit except as otherwise declared to the Department prior to the audit; and
- viii. I have not accepted, nor intend to accept any inducement, commission, gift or any other benefit (apart from payment for auditing services) from any proponent, owner or operator of the project, their employees or any interested party. I have not knowingly allowed, nor intend to allow my colleagues to do so.

Notes:

- a) Under section 10.6 of the *Environmental Planning and Assessment Act 1979* a person must not include false or misleading information (or provide information for inclusion in) in a report of monitoring data or an audit report produced to the Minister in connection with an audit if the person knows that the information is false or misleading in a material respect. The proponent of an approved project must not fail to include information in (or provide information for inclusion in) a report of monitoring data or an audit report produced to the Minister in connection with an audit if the person knows that the information is materially relevant to the monitoring or audit. The maximum penalty is, in the case of a corporation, \$1 million and for an individual, \$250,000; and
- b) The *Crimes Act 1900* contains other offences relating to false and misleading information: section 307B (giving false or misleading information – maximum penalty 2 years imprisonment or 200 penalty units, or both)

Name of Auditor:	Steve Fermio
Signature:	
Qualification:	Bachelor of Science (Hons) Exemplar Global Auditor Number 110498
Company:	WolfPeak Pty Ltd

Declaration of Independence – Auditor




Project Name:	Sydney Metro West – Concept and Stage 1
Consent Number:	SSI-10038
Description of Project:	Development of the Sydney Metro West project comprising: <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 ◦ stabling 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.
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Proponent:	Sydney Metro
Title of audit	Independent Audit No. 1
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- v. I am not related to any proponent, owner or operator of the project neither as an employer, business partner, employee, or by sharing a common employer, having a contractual arrangement outside the audit, or by relationship as spouse, partner, sibling, parent, or child;
- vi. I do not have any pecuniary interest in the audited project, including where there is a reasonable likelihood or expectation of financial gain or loss to me or spouse, partner, sibling, parent, or child;
- vii. neither I nor my employer have provided consultancy services for the audited project that were subject to this audit except as otherwise declared to the Department prior to the audit; and
- viii. I have not accepted, nor intend to accept any inducement, commission, gift or any other benefit (apart from payment for auditing services) from any proponent, owner or operator of the project, their employees or any interested party. I have not knowingly allowed, nor intend to allow my colleagues to do so.

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- 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:	Ann Azzopardi
Signature:	
Qualification:	Bachelor of Science (Hons), Environmental Science/Geography – University of Sydney Exemplar Global Auditor Number 114283
Company:	WolfPeak Pty Ltd