Chatswood to Sydenham
COMPLIANCE TRACKING PROGRAM REPORT
Sydney Metro City & Southwest – Chatswood to Sydenham Compliance Tracking Program
Contents

1 Introduction ............................................................................................................................................. 3
  1.1 Background .................................................................................................................................. 3
  1.2 City & Southwest .......................................................................................................................... 4
  1.3 Purpose of this Report ..................................................................................................................... 4
  1.4 Environmental Representative Endorsement ................................................................................. 6

2 Project Delivery ...................................................................................................................................... 7
  2.1 Staging ................................................................................................................................................ 7
  2.2 Timing ................................................................................................................................................ 7
  2.3 Pre-Construction Works .................................................................................................................. 7
  2.4 Key Roles and Responsibilities ....................................................................................................... 9

3 Compliance Management ....................................................................................................................... 10
  3.1 Construction Environmental Management Framework ............................................................... 10
  3.2 Legislative Compliance .................................................................................................................. 10
  3.3 Environmental Requirements Lifecycle ......................................................................................... 11
  3.4 Environmental Surveillance ............................................................................................................ 13
    3.4.1 Environmental Inspections ...................................................................................................... 13
    3.4.2 Quarterly Compliance Reviews ............................................................................................. 14
    3.4.3 Audits and the Independent Environmental Audit Program ................................................ 14
  3.5 Incident Reporting ........................................................................................................................... 16
  3.6 Non-Compliance .............................................................................................................................. 16
  3.7 Compliance Reporting ..................................................................................................................... 17

Appendix 1 – Environmental Representative Endorsement ................................................................. 19

Appendix 2 – Environmental Representative Inspection Report Template ............................................. 20

Appendix 3 – Sydney Metro Environmental Incident Classification and Reporting Procedure ........................................................ 21

Appendix 4 – Sydney Metro Environmental Incident Classification and Reporting Form ........................................................ 22

Author: Adam Koutsamanis – Environmental Coordinator
Date: March 2017
Version: 1.0
Division: Sydney Metro Delivery Office – Safety, Sustainability and Environment
1 Introduction

1.1 Background

The New South Wales (NSW) Government is implementing *Sydney’s Rail Future* (Transport for NSW, 2012a), a plan to transform and modernise Sydney’s rail network so that it can grow with the city’s population and meet the needs of customers in the future.

Sydney Metro is a new standalone rail network identified in Sydney’s Rail Future. This 21st century network will deliver 31 metro stations and more than 65km of new metro rail for Australia’s biggest city – revolutionising the way Sydney travels.

Services start in the first half of 2019 using Sydney’s new-generation of fully-automated metro trains.

Sydney Metro has two phases:

- **Phase 1: Sydney Metro Northwest** – formerly the 36km North West Rail Link. This $8.3 billion project is now under construction and will open in the first half of 2019, with a metro train every four minutes in the peak. Tunnelling has finished and construction is progressing rapidly; and

- **Phase 2: Sydney Metro City & Southwest** – a new 30km metro line, extending metro rail from the end of Sydney Metro Northwest at Chatswood, under Sydney Harbour, through new CBD stations and southwest to Bankstown. It is due to open in 2024, with the capacity to run a metro train every two minutes each way through the centre of Sydney.

Both phases of Sydney Metro have been identified by the NSW Government as priority projects. The project is being delivered by Transport for NSW (TfNSW).

The alignments for both the Northwest and City & Southwest projects are mapped in Figure 1.

![Figure 1 – Sydney Metro project alignments](image-url)
1.2 City & Southwest

The project is subject to an environmental assessment and approval process under the Environmental Planning and Assessment Act 1979 (EP&A Act) and is classified as Critical State Significant Infrastructure (CSSI).

The City & Southwest project will extend metro rail from Sydney’s booming North West region, beneath Sydney Harbour, through new underground CBD stations and beyond to Bankstown.

The City & Southwest project comprises two mains sections, each being the subject of separate Environmental Impact Statement (EIS):

- The Chatswood to Sydenham section (almost entirely tunnelled beneath the surface), which was approved by the NSW Department of Planning and Environment on 9 January 2017, and
- The Sydenham to Bankstown section (involving the upgrade of the existing 13.5km rail line and existing stations between Sydenham and Bankstown). The EIS for this section is planned for public exhibition in 2017.

Services on Sydney Metro City & Southwest are expected to start in 2024.

The first of five tunnel boring machines will be in the ground before the end of 2018 to deliver new 15.5 km twin railway tunnels from the end of Sydney Metro Northwest at Chatswood to Marrickville.

The project will deliver seven new metro stations at:

- Crows Nest;
- Victoria Cross (North Sydney);
- Barangaroo;
- Martin Place;
- Pitt Street;
- Central Station (new underground platforms); and
- Waterloo.

1.3 Purpose of this Report

This report outlines the Compliance Tracking Program (CTP) to be implemented on the Chatswood to Sydenham portion of the City & Southwest project to monitor compliance with the planning approval conditions. The CTP will be implemented throughout construction of the project and for at least one year following the commencement of operations in 2024. Refer to Section 2.1 for further details on the staging of the project.

This CTP report is required to ensure compliance with the Chatswood to Sydenham planning approval conditions listed in Table 1.
<table>
<thead>
<tr>
<th>Condition Number</th>
<th>Condition</th>
<th>Section that addresses this condition</th>
</tr>
</thead>
<tbody>
<tr>
<td>A28</td>
<td>A <strong>Compliance Tracking Program</strong> to monitor compliance with the terms of this approval must be prepared, taking into consideration any staging of the CSSI [Critical State Significant Infrastructure] that is proposed in a <strong>Staging Report</strong> submitted in accordance with Condition A12 and Condition A13 of this approval.</td>
<td>This report</td>
</tr>
<tr>
<td>A29</td>
<td>The <strong>Compliance Tracking Program</strong> must be endorsed by the ER [Environmental Representative] then submitted to the Secretary [of the NSW Department of Planning and Environment] for information before the commencement of works or within another timeframe agreed with the Secretary.</td>
<td>Section 1.4 and Appendix 1</td>
</tr>
<tr>
<td>A30</td>
<td>The <strong>Compliance Tracking Program</strong> in the form required under Condition A28 of this approval must be implemented for the duration of construction and for a minimum of one (1) year following commencement of operation, or for a longer period as determined by the Secretary based on the outcomes of independent environmental audits, <strong>Environmental Representative Reports</strong> and regular compliance reviews submitted through <strong>Compliance Reports</strong>. If staged operation is proposed, or operation is commenced of [sic] part of the CSSI, the <strong>Compliance Tracking Program</strong> must be implemented for the relevant period for each stage or part of the CSSI.</td>
<td>Section 1.3 and Section 2.1</td>
</tr>
</tbody>
</table>
1.4 Environmental Representative Endorsement

In accordance with Condition A22 of the Chatswood to Sydenham Planning Approval, an Environmental Representative (ER) is to be engaged for the duration of construction on the Chatswood to Sydenham portion of the City & Southwest project. Furthermore, the ER is required to endorse this Compliance Tracking Program prior to submission to the Secretary of the NSW Department of Planning and Environment.

The ER was provided with opportunities to review and comment on this report throughout its development. Comments were considered and addressed as relevant prior to finalisation and submission to the Secretary.

Appendix 1 provides ER endorsement of this CTP report.
2 Project Delivery

2.1 Staging

The Chatswood to Sydenham portion of the City & Southwest project will be delivered in six stages:

- Early & Enabling Works (EEW)
- Tunnelling, Stations & Excavation (TSE)
- Central Station Main Works (CSMW)
- Stations, Electrical & Mechanical (STME)
- Line Wide Contracts (LWC)
- Trains, Systems, Operations & Maintenance (TSOM)

Each stage is comprised of one or more works packages each managed by a Principal Contractor. A more detailed explanation of staging can be found in the *Sydney Metro City & Southwest – Chatswood to Sydenham Staging Report*.

2.2 Timing

Construction on the Chatswood to Sydenham portion of the City & Southwest project will begin in 2017 and continue until operations commence in Quarter 2 of 2024:

- Project construction will commence in Quarter 2 of 2017 with the commencement of the Early & Enabling Works stage;
- TSE and CSMW will be largely complete by Quarter 2 of 2021; and the
- STME, LWC and TSOM stages are planned to commence in Quarter 1 of 2019.

Figure 2 provides an indicative construction program for the Chatswood to Sydenham portion of the City & Southwest project. Further details on the timing of each stage are provided in the *Sydney Metro City & Southwest – Chatswood to Sydenham Staging Report*.

2.3 Pre-Construction Works

Some works on the project will be delivered prior to the commencement of construction on the project (refer to Section 2.1), in accordance with the definition of 'construction' in the Chatswood to Sydenham planning approval.

Sydney Metro requires approval to be obtained for all pre-construction works prior to their commencement. Depending on the scope of works, this approval may be granted by TfNSW or the Secretary. The ER will endorse any Minor Works Packages prepared by Principal Contractors for the Secretary and may also endorse Minor Works package prepared for TfNSW approval.
### Figure 2 – City & Southwest Chatswood to Sydenham Indicative Construction Program
2.4 Key Roles and Responsibilities

Each stage of the Chatswood to Sydenham portion of the City & Southwest project will have the following key environmental roles allocated to its scope of works:

- **TfNSW Nominated Environmental Representatives (NER)** – This role facilitates environmental management processes for TfNSW and has assigned responsibilities in various environmental procedures. This person will also participate in environmental surveillance activities on behalf of TfNSW. There is one NER assigned to each Principal Contractor.

- **Contractor’s Environment Manager (EM)** – This role represents the Principal Contractor and is responsible for all aspects of environmental management.

- **Environmental Representative (ER)** – This role represents the Secretary of the NSW Department of Planning and Environment and is a requirement of Condition A22 of the Chatswood to Sydenham Planning Approval (SSI 15_7400). The ER acts as the Secretary’s independent point of contact for all compliance matters. Refer to Condition A24 of the Chatswood to Sydenham Planning Approval for a comprehensive list of the ER’s responsibilities.

- **Acoustic Advisor (AA)** – This role represents the Secretary of the NSW Department of Planning and Environment and is a requirement of Condition A25 of the Chatswood to Sydenham Planning Approval (SSI 15_7400). The AA acts as the Secretary’s point of contact for all noise and vibration matters. Refer to Conditions A25 and A27 for a comprehensive description of the AA’s responsibilities.

In accordance with the Chatswood to Sydenham Planning Approval conditions, the ER and AA are to work in conjunction with each other on all matters relating to:

- Review and approval of Out of Hours works;
- Noise and vibration audits;
- Community conflict resolutions regarding noise and vibration issues;
- Consideration of minor amendments to Noise and Vibration Sub-plans;
- Assessment of minor ancillary facility noise impacts; and
- Submission of monthly Noise and Vibration Reports to the Secretary.
3 Compliance Management

3.1 Construction Environmental Management Framework

The Chatswood to Sydenham EIS contains the Construction Environmental Management Framework (CEMF) as Appendix D. The CEMF represents TfNSW’s minimum requirements for environmental management and specifies a standard framework that each contractor must establish and document in their Construction Environmental Management Plan. Some of these requirements specifically relate to the CTP, including:

- Compliance management and reporting;
- Training, awareness and competence;
- Environmental monitoring, inspections and auditing;
- Emergency and incident response; and
- Environmental non-compliances.

Compliance with the CEMF is a contractual requirement for each of the Contractors.

3.2 Legislative Compliance

The City & Southwest project is subject to legislative environmental compliance requirements relating to the:

- **Environmental Planning and Assessment Act 1979 (NSW)** – where TfNSW has identified the need for two separate Planning Approvals (refer to Section 1.2), and

- **Protection of the Environment Operations Act 1997 (NSW)** – where TfNSW has identified the need for a number of Environment Protection Licences (EPL) required during the construction and operation of the project. These EPLs will be held by the contractors as relevant and applicable to their scope of works.

While compliance with Planning Approval requirements is the responsibility of TfNSW, these requirements may be wholly or partially allocated by TfNSW to one or more contractors. Compliance with EPL requirements is the responsibility of the contractors.
The Chatswood to Sydenham planning approval requirements comprise of:

- 199 Conditions of Approval (CoAs) as issued by the Secretary of the NSW Department of Planning and Environment, and
- 139 Revised Environmental Mitigation Measures (REMMs) as committed to by TfNSW in Chapter 11 of the *City & Southwest Chatswood to Sydenham Submissions and Preferred Infrastructure Report*.

Given the staged delivery of the project, the planning approval requirements will be triggered at different points along the project’s construction and operation phases. The allocation of planning approval requirements to each stage of the project is fully detailed in the *Sydney Metro City & Southwest – Chatswood to Sydenham Staging Report*.

### 3.3 Environmental Requirements Lifecycle

Given the staged nature of the Chatswood to Sydenham Project, the CoA and REMMs will be required to be met at various times during delivery and by different parties. TfNSW has undertaken an analysis of the CoA and REMMs and allocated responsibility to them in contract documents with Principal Contractors as follows:

- **TfNSW**: The requirement is the prime responsibility of TfNSW with limited obligations placed on the Principal Contractor and TfNSW will maintain oversight of compliance to the requirement through this CTP.
- **Contractor**: The requirement is the prime responsibility of the Principal Contractor and TfNSW will maintain oversight of compliance to the requirement through this CTP.
- **Shared**: The CoA requires compliance activities to be met by both parties and each will coordinate with the other while TfNSW maintains oversight of compliance to the requirement through this CTP.

When a Condition of Approval or a REMM is allocated to a Principal Contractor through contracts they become *Environmental Requirements*.

Conditions of Approval and REMMs as issued under the Planning Approval and documented in the Preferred Infrastructure Report are considered to become *Active* at the project level once these documents are made public. These conditions will remain Active until no further evidence or activity is required to maintain compliance against each contract to which it has been allocated. When that occurs, the condition becomes *Inactive*.

Within each contract, *Environmental Requirements* progress through two phases:

1. **Ongoing** – further action is required to achieve compliance.
2. **Complete** – no further evidence or activity is required to maintain compliance. This is verified in an adequacy review conducted by the ER and TfNSW prior to the Environmental requirement being completed.

During the period of time an *Environmental Requirement* is *Ongoing* it is regularly assessed through surveillance activities and determined to be either *Compliant* or *Non-Compliant*.

The terms ‘Compliant’ and ‘Non-Compliant’ are defined as:

- **Compliant** – Sufficient evidence is available to demonstrate the condition is currently being met.
- **Non-Compliant** – there is a lack of evidence to demonstrate the condition is being met, or a clear breach of a requirement.
Figure 3 – Planning Approval Requirement Lifecycle
3.4 Environmental Surveillance

A variety of monitoring and review activities will be undertaken to ensure compliance with Environmental Requirements Error! Reference source not found., provides a summary of these activities and Sections 3.4.1 to 3.4.3 provide further information.

Table 2 – Compliance Monitoring and Review Activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Responsibility</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ongoing environmental site surveillance</td>
<td>Contractors</td>
<td>Daily (work days)</td>
</tr>
<tr>
<td>Environmental inspections</td>
<td>ER in conjunction with TfNSW and contractors</td>
<td>Between weekly and monthly dependent on risk profile</td>
</tr>
<tr>
<td>Review of environmental actions and controls</td>
<td>Contractors and TfNSW</td>
<td>Between weekly and monthly dependent on risk profile</td>
</tr>
<tr>
<td>Environmental performance and compliance reporting</td>
<td>Contractors and TfNSW</td>
<td>Monthly</td>
</tr>
<tr>
<td>Environmental risk assessment review</td>
<td>Contractors</td>
<td>Quarterly</td>
</tr>
<tr>
<td>Formal compliance review of planning approval requirements</td>
<td>Contractors and TfNSW, in conjunction with the ER</td>
<td>Quarterly for contractors and six-monthly for TfNSW</td>
</tr>
<tr>
<td>Environmental auditing</td>
<td>Contractors, TfNSW, Independent third-party auditor and the ER (as requested). Refer to Section 3.4.2.</td>
<td>Six-monthly (generally)</td>
</tr>
<tr>
<td>Environmental management reviews</td>
<td>Contractors</td>
<td>Annually</td>
</tr>
</tbody>
</table>

3.4.1 Environmental Inspections

Contractors are expected to undertake daily site surveillance at all their sites. This includes walk-overs, maintenance of environmental controls and identification and rectification of emergent environmental risks.

In addition, environmental inspections are required to be organised and undertaken on a regular basis. These inspections will be undertaken jointly by the Environmental Representative (ER), the contractor’s Environment Manager, the TfNSW Nominated Environmental Representative, the Acoustic Advisor and Independent Certifier (the Independent Certifier is responsible for independent certification of the project’s designs, including review and determination of whether designs comply with the applicable contract).

The collaborative approach to conducting environmental inspections reduces duplication and ensures consistency in discussing and resolving any issues arising from the inspections.

Following each environmental inspection, the ER is required to prepare an ER Inspection Report detailing any issues, incidents and non-compliances identified during the inspection. This report is to be issued to all attendees and any other relevant parties within 24 hours. The contractor is required to address any issues, incidents or non-compliances identified and consider the risk ratings and
recommendations provided in the report with respect to implementing corrective and preventative actions.

An example of an ER Inspection Report Template is provided as Appendix 2.

### 3.4.2 Quarterly Compliance Reviews

Contractors are required to undertake a quarterly review of the compliance requirements allocated to them by TfNSW. The review is a collaborative exercise undertaken in conjunction with TfNSW (or an implementation group if applicable) and the ER. The review process includes:

- TfNSW issuing each contractor a Compliance Tracking Register spreadsheet template two weeks following the commencement of a calendar quarter. This spreadsheet template contains a list of all the compliance requirements that have been allocated to the contractor.
- During the quarter, the contractor is required to complete the template by demonstrating how compliance against each requirement has been achieved. In the event of non-compliance against a requirement, the details of the non-compliance should be entered into the template.
- Following the completion of the Compliance Tracking Register by the contractor, the ER reviews the spreadsheet and provides an interpretation of the contractor’s compliance during the quarter in a Quarterly Compliance Report. The completed template and ER report is then issued to TfNSW.

The same review process will be implemented for compliance requirements that are wholly or partially retained by TfNSW, with the following exceptions:

- The completion of the Compliance Tracking Register will be coordinated by an environmental compliance team; and
- TfNSW-retained compliance requirements will be formally reviewed on a six-monthly basis, rather than a quarterly basis. The main reason for this being that TfNSW-retained compliance requirements are generally:
  - Significantly less than those allocated to contractors,
  - Less onerous than those allocated to contractors, and
  - Comprise ‘one-off’ actions or activities.

### 3.4.3 Audits and the Independent Environmental Audit Program

Three levels of auditing will occur during construction of the City and Southwest – Chatswood to Sydenham project:

- Internal Principal Contractor Auditing;
- Second Party Auditing by Sydney Metro; and
- Independent Environmental Auditing.

Internal environmental auditing will be led and coordinated by the contractors in accordance with the requirements of the Construction Environmental Management Framework. These audits will include:

- Compliance against planning approval requirements (as allocated to each contract), any applicable Environment Protection Licences, and other permits;
- Compliance against the Contractor’s Construction Environmental Management Plan, sub-plans and procedures;
- Community consultation and complaint response;
- Environmental training records, and
- Environmental monitoring and inspection results.

Second party auditing will be led and coordinated by the Sydney Metro Audit & Assurance team. The Audit & Assurance team will coordinate a range of audits across Sydney Metro each year in accordance with the Sydney Metro Management Audit Plan (MAP). The MAP has been developed based on the risk profile of Sydney Metro operations and is implemented with respect to the Sydney Metro Audit & Assurance Standard. The MAP includes environmental audits within its scope which will generally be coupled with other disciplines such as safety and quality. The Audit & Assurance team may also undertake reviews of the contractor’s audit processes.

Independent environmental auditing will be led and coordinated by an Independent Environmental Auditor in consultation with TfNSW and its Contractors. An Independent Environmental Audit Program will be carried out in accordance with the guidelines of AN/NZS ISO 19011:2014 as per condition A37 of the Chatswood to Sydenham Planning Approval (SSI 15_7400). Following each of these audits, a report will be prepared and submitted to the Secretary of the NSW Department of Planning and Environment within six weeks of completing the audit. The Independent Environmental Audit Program is provided for information as part of this Compliance Tracking Program set out below in Table 3.

Table 3 Chatswood to Sydenham Independent Environmental Audit Program

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Early Enabling Works</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tunnel and Station Excavation (TSE)</td>
<td>✓</td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Station Main Works (CSM)</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stations, Mechanical &amp; Electrical Works (STME)</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Line Wide Contracts (LWC)</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trains, Systems, Operations &amp; Maintenance (TSOM)</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>TfNSW</td>
<td>✓</td>
<td>✓</td>
<td></td>
<td></td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Note the dates of the audits in this table are indicative only and reliant upon the program outlined in Figure 2. A minimum of two Independent Audits will be conducted for each year until 2023 where annual operational audits will commence.
Furthermore, the NSW Department of Planning and Environment may conduct audits of the SSI from time to time. The ER will facilitate these audits on behalf of the Department in accordance with Condition A24(g). The ER is also required to assist TfNSW in the general undertaking of environmental audits, including:

- Assistance in preparing audit checklists;
- Briefing the auditor;
- Attending the audit;
- Verifying the closure of audit findings; and
- General assistance as required/requested.

### 3.5 Incident Reporting

Emergency and incident response procedures will be developed by each contractor. These procedures will incorporate:

- Categories for environmental emergencies and incidents,
- Forms for detailed recording, reporting and responding to environmental incidents,
- Notification protocols for each category of environmental emergency or incident, including notification of TfNSW and notification to owners in the vicinity of the incident,
- Procedures for the immediate notification of each relevant authority when the incident results in material harm to the environment,
- Process for notifying the Secretary of the NSW Department of Planning and Environment within 48 hours of becoming aware of an off-site incident that significantly affects the people or the biophysical environment (followed by a full written report within seven days of the date on which the incident occurred),
- Identification of personnel who have the authority to take immediate action to shut down any activity or affect any environmental control measure (including from the EPA),
- Onsite rectification actions.

Contractors’ incident response procedures must be consistent with the *Sydney Metro Environmental Incident Classification and Reporting Procedure* (refer to Appendix 3 and 4).

Principal Contractors who are working under an Environment Protection Licence are required to develop and implement a Pollution Incident Response Management Plan (PIRMP) in accordance with the requirements of the *Protection of the Environment Operations Act 1997* (NSW). The PIRMP may substitute for the normal incident management documentation requirements but must maintain consistency with Sydney Metro requirements in addition to those of the Act.

### 3.6 Non-Compliance

Non-compliances against any Environmental Requirements will be documented in a Non-Compliance Report prepared by the identifying party. Non-Compliances can be raised at any time, but are most likely to be raised following the compliance monitoring and review activities listed in Table 2.*Error! Reference source not found.*
Principal Contractors are required to develop and implement corrective actions to rectify any non-compliances, and preventative actions to prevent the reoccurrence of the non-compliance. Actions that are raised must be assigned to individuals and due dates must be set in consultation with that individual with the objective of closing out the non-compliance without delay. Where non-compliances become repetitive (as determined by the ER), the suitability of actions in relation to the repeated issue will be examined by the ER in consultation with the Principal Contractors Environment Manager to determine more appropriate actions before the non-compliance report is finalised.

TfNSW will maintain a register of all non-compliances raised against the Chatswood to Sydenham portion of the City & Southwest Project.

3.7 Compliance Reporting

Reporting on compliance matters to the NSW Department of Planning and Environment will be undertaken in several forms on the Chatswood to Sydenham Project in accordance with the Chatswood to Sydenham Planning Approval. These include submission of:

- A *Pre-Construction Compliance Report* for information at least one month before the commencement of construction in accordance with Conditions A31 to A33. This report will include the commencement date for construction and details on how Environmental Requirements that need to be addressed prior to the commencement of construction have been complied with.

- *Construction Compliance Reports* every six months for the duration of construction in accordance with Condition A34. These reports will include details, analyses or summaries of:
  - Environmental monitoring programs;
  - Complaint Management;
  - Construction Environmental Management Plan review and amendments;
  - Consistency assessments;
  - Independent environmental audits outcomes;
  - Environmental Incidents;
  - Non-compliances; and
  - Any other compliance matters as requested by the Secretary of the NSW Department of Planning an Environment.

- A *Pre-Operation Compliance Report* for information at least one month before the commencement of operation in accordance with Conditions A35 and A36. This report will include the commencement date for operation and details on how the Conditions of Approval that require action prior to the commencement of operation have been complied with;

- ER Reports each month for information in accordance with Condition A24;

- Reports prepared by an Acoustic Advisor each month for information in accordance with Condition A27;

- Environmental Audit Reports within six weeks of the completion of each independent environmental audit in accordance with Conditions A39 and A40 (refer to Section 3.4.2 and the *Environmental Audit Program Report* for further information); and
- Business Management Plan monitoring results in accordance with Condition E64 of the Chatswood to Sydenham planning approval.
Appendix 1 – Environmental Representative Endorsement
Dear Stuart

RE: Endorsement of Sydney Metro Compliance Tracking Program

Thank you for providing the Sydney Metro City & Southwest Compliance Tracking Program (Rev 1.0 Final, March 2017) for Environmental Representative (ER) review and endorsement as required by the Condition of Approval A29 for the approved Sydney Metro City & Southwest project (SSI – 15_7400 January 9 2017).

The Compliance Tracking Program must be endorsed by the ER [Environmental Representative] then submitted to the Secretary [of the NSW Department of Planning and Environment] for information before the commencement of works or within another timeframe agreed with the Secretary.

As an approved Environmental Representative for the Sydney Metro City & Southwest project, I have reviewed and provided comment on the Sydney Metro City & Southwest Compliance Tracking Program, and consider it appropriate for implementation as a program for the tracking of compliance across the Sydney Metro City & Southwest project.

I consider this suitable for submission to the Secretary of the NSW Department of Planning and Environment (DPE) and this should be provided to the Department for information before the commencement of works (or within another timeframe agreed with the Secretary).

Yours sincerely

Jo Robertson
Environmental Representative – Sydney Metro – City and South West
Appendix 2 – Environmental Representative Inspection Report Template
<table>
<thead>
<tr>
<th>Contractor:</th>
<th>Site Name Inspected:</th>
<th>Inspection Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Date:</th>
<th>Time:</th>
<th>Weather conditions:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Inspection attended by:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Company</th>
<th>Name</th>
<th>Position</th>
<th>Company</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Report Prepared by:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Company</th>
<th>Name</th>
<th>Position</th>
<th>Company</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Report Reviewed by:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Company</th>
<th>Name</th>
<th>Position</th>
<th>Company</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Site Location and Activities:**

<table>
<thead>
<tr>
<th>Locations Inspected</th>
<th>Key Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Summary of Issues Observed**

<table>
<thead>
<tr>
<th>New Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
## Inspection Issues

<table>
<thead>
<tr>
<th>No.</th>
<th>Location</th>
<th>Issue/Comment</th>
<th>Risk</th>
<th>Agreed date for completion</th>
<th>Contractor Action (incl photos of evidence)</th>
<th>Action Closed (Date)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Sydney Metro City & South West – Chatswood to Sydenham  
**ER Inspection Report**

**Ratings and Definitions**

<table>
<thead>
<tr>
<th>Risk Rating</th>
<th>C6</th>
<th>C5</th>
<th>C4</th>
<th>C3</th>
<th>C2</th>
<th>C1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environment</td>
<td>Insignificant</td>
<td>Minor</td>
<td>Moderate</td>
<td>Major</td>
<td>Severe</td>
<td>Catastrophic</td>
</tr>
<tr>
<td>Risk Rating</td>
<td>No appreciable changes to environment and/or highly localised event.</td>
<td>Change from normal conditions within environmental regulatory limits and environmental effects are within site boundaries.</td>
<td>Short-term and/or well-contained environmental effects. Minor remedial actions probably required.</td>
<td>Impacts external ecosystem and considerable remediation is required.</td>
<td>Long-term environmental impairment in neighbouring or valued ecosystems. Extensive remediation required.</td>
<td>Irreversible large-scale environmental impact with loss of valued ecosystems.</td>
</tr>
</tbody>
</table>

| Incident DPE Notifiable (<24 hours) Condition A41 | No | No | No | Yes | Yes | Yes |

**Non-compliance and Incidents**

**N:** Non-compliance - non-compliance against requirement of Conditions of Approval CSSI 15_7400 (i.e. CEMP not implemented, no records, material harm, breach of condition/legislations/regulations/licences).

**I:** Incidents - An occurrence or set of circumstances that causes, or threatens to cause, material harm to the environment, community or any member of the community, being actual or potential harm to the health or safety of human beings or to threatened species, endangered ecological communities or ecosystems that is not trivial.

<table>
<thead>
<tr>
<th>Aspect</th>
<th># times raised this inspection</th>
<th># times raised prior inspection</th>
<th>Trending</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Soil and Water</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Flora and Fauna</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Waste and Spoil</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Heritage</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Air Quality</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Noise and Vibration</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Community Stakeholder and Business</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Design</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Traffic Transport and Access</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ Management Systems</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix 3 – Sydney Metro Environmental Incident Classification and Reporting Procedure
Environmental Incident Classification and Reporting Procedure

SM ES-PW-303/2.0

Sydney Metro Integrated Management System (IMS)

<table>
<thead>
<tr>
<th>Applicable to:</th>
<th>Sydney Metro</th>
</tr>
</thead>
<tbody>
<tr>
<td>Author:</td>
<td>Manager, Environment</td>
</tr>
<tr>
<td>System owner:</td>
<td>Deputy Project Director, Safety, Environment &amp; Business Systems</td>
</tr>
<tr>
<td>Status:</td>
<td>FINAL</td>
</tr>
<tr>
<td>Version:</td>
<td>2.1</td>
</tr>
<tr>
<td>Date of issue:</td>
<td>13 March 2017</td>
</tr>
<tr>
<td>Review date:</td>
<td>13 September 2017</td>
</tr>
<tr>
<td>Security classification:</td>
<td>Open Access</td>
</tr>
</tbody>
</table>

© Sydney Metro 2016
Table of Contents

1. Purpose & Scope .................................................................................................................. 3
2. Definitions .......................................................................................................................... 3
3. Accountabilities .................................................................................................................. 3
4. Legislative Requirements .................................................................................................. 4
  4.1. Notifiable Events ......................................................................................................... 4
5. Environmental Incident Classification & Reporting Procedure ....................................... 5
  5.1. Environmental Incident ............................................................................................... 6
  5.1.1. Incident Classification ............................................................................................. 7
  5.1.2. Incident Types ........................................................................................................ 7
  5.1.3. Environmental Issue .............................................................................................. 8
  5.1.4. Environmental Non-Compliance .............................................................................. 8
  5.2. Environmental Incident Response ............................................................................... 9
    5.2.1. Reporting Pollution Incidents to Relevant Authorities ........................................... 9
    5.2.2. Nominated Representatives .................................................................................. 10
    5.2.3. Verbal Notification .............................................................................................. 10
    5.2.4. Environmental Incident/Non-Compliance Report .................................................. 10
    5.2.5. Relationship to Sydney Metro Crisis Management ............................................... 10
  5.3. Environmental Incident Register .................................................................................. 11
6. Related Documents and References .................................................................................. 12
7. Superseded Documents ....................................................................................................... 12
8. Document History ............................................................................................................... 12
1. Purpose & Scope

This Procedure documents the process to be used, and ensures a consistent approach when classifying and reporting an Environmental Incidents or non-compliances.

This Procedure applies to all Sydney Metro Northwest and City & Southwest alliances, contractors and subcontractors and is to be used by all Sydney Metro employees and contract employees working on behalf of Sydney Metro. A contractor may be a professional services contractor, construction contractor or an individual or organisation providing goods and services to Sydney Metro. The work being undertaken may be site investigations as well as construction.

Note that this Procedure applies specifically to the reporting of Environmental Incidents and non-compliances to Sydney Metro and relevant regulatory authorities, particularly the NSW Environment Protection Authority (EPA). It does not provide guidance on management responses or corrective actions required in response to those incidents, which shall be detailed in the Environmental Management Plan relevant to the site.

2. Definitions

All terminology in this Procedure is taken to mean the generally accepted or dictionary definition. Terms and jargon specific to this Procedure are defined within SM QM-FT-435 Integrated Management System (IMS) Glossary.

3. Accountabilities

The Executive Director, Safety, Sustainability & Environment is accountable for this Procedure. Accountability includes authorising the document, monitoring its effectiveness and performing a formal document review.

Direct Reports to the Executive Director are accountable for ensuring the requirements of this document are implemented within their area of responsibility.

The Direct Reports to the Executive Director who are accountable for specific projects/programs are accountable for ensuring associated contractors comply with the requirements of this document.
4. Legislative Requirements

There are a number of Acts and Regulations that include a specific requirement to notify a regulatory authority as a result of pollution, contamination or environmental harm occurring, including impacts to heritage items. Sydney Metro has defined such incidents as Notifiable Events.

4.1. Notifiable Events

A Notifiable Event is any Environmental Incident or issue that triggers a specific statutory requirement to notify a regulatory authority. Some event types are summarised in Table 1.

The Principal Contractors Environment Manager must determine whether an incident is notifiable, with advice from the Nominated Representative or Principal Manager, Sustainability, Environment & Planning as required.

Table 1: Examples of Notifiable Events

<table>
<thead>
<tr>
<th>Event type</th>
<th>Legislation</th>
<th>Notification to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pollution incident</td>
<td>POEO Act 1997</td>
<td>EPA Pollution Line as soon as practicable after becoming aware of the incident</td>
</tr>
<tr>
<td></td>
<td>POEO (General) Regulation 2009</td>
<td>Section 101</td>
</tr>
<tr>
<td>Land contamination</td>
<td>Contaminated Land Management Act 1997</td>
<td>Section 60(1)</td>
</tr>
<tr>
<td>Discover aboriginal relic</td>
<td>National Parks &amp; Wildlife Act 1974</td>
<td>Director General of EPA in writing within a reasonable time after becoming aware</td>
</tr>
<tr>
<td>Discover Aboriginal Remains</td>
<td>Commonwealth Aboriginal &amp; Torres Strait Islanders Heritage Protection Act 1984</td>
<td>Section 20</td>
</tr>
<tr>
<td>Discover relic</td>
<td>Heritage Act 1977</td>
<td>Commonwealth Minister of the Environment in writing as soon as practicable after becoming aware</td>
</tr>
</tbody>
</table>

1. Further information on reporting pollution incidents to EPA is provided in Section 5.2.1
5. Environmental Incident Classification & Reporting Procedure

Sydney Metro Alliance/Contractor

Observer: Report Environmental Incident/Non-compliance to Contractor Environmental Manager/Project Manager Immediately (Note 1)

**CEM/PM:** Implement immediate corrective action to prevent/minimise environmental harm (Note 2)

**CEM/PM:** Report environmental incident verbally to nominated Sydney Metro representative

**CEM/PM:** Is incident/non-compliance a notifiable event?

Yes: **CEM/PM:** Prepare environmental incident/non-compliance report and submit to the nominated Sydney Metro representative within 48 hours

No: **CEM/PM:** Report notification verbally to nominated Sydney Metro representative

**CEM/PM:** Where requested, or where Class 1 and 2 incidents occur, investigate incident/non-compliance and implement preventative actions (Note 2)

**CEM/PM:** Provide the nominated Sydney Metro representative with details of preventative actions and due dates resulting from the investigation

**CEM/PM:** For notifiable event provide written report to EPA within seven days of notification or to other regulatory authority as required (Note 4)

Sydney Metro

**NR:** Verbally advise the ME or PM, and FR

**NR:** Gather relevant information to be immediately notified to relevant authorities and provide to ME

**NR:** Review of incident report and if required request an investigation to be conducted by CEM/PM or conduct an investigation themselves

**NR:** If necessary update incident register with preventative actions and action dates

**NR:** If necessary update written report

**NR:** File reports and populate relevant reports (Environment Monthly Report)

**PMSEP:** Advise relevant DPD of notification and seek legal council if notification was made by Sydney Metro

**PMSEP:** Provide relevant information to relevant authorities immediately (Note 3)

**PMSEP:** Advise DPD/PMSEP/ER: Provide advice where appropriate on incident classification and notification requirements

**PM:** Notify EPA and other relevant authorities immediately

**PM:** Gather information to be immediately notified to relevant authorities

**PM:** Review the incident report and provide to ME

**PMSEP:** Review of incident report

**PMSEP:** Provide the nominated Sydney Metro representative with details of preventative actions and due dates resulting from the investigation

**PMSEP:** For notifiable event provide written report to EPA within seven days of notification or to other regulatory authority as required (Note 4)

**PMSEP:** Where required for notifiable events, provide written report to EPA within seven days of notification (Note 5), or to other regulatory authority as required

**PMSEP:** Notify EPA and other relevant authorities

**PMSEP:** Gather relevant information to be immediately notified to relevant authorities

**PMSEP:** Review of incident report

LEGEND

CEM: Contractor Environmental Manager
CP&E: Department of Planning & Environment
ER: Environment Representative
NR: Nominated Representative
PM: Contractor Project Manager
PMSEP: Principal Manager, Sustainability, Environment & Planning

Notes
1. The observer may be an employee of Sydney Metro, contractor, alliance or other.
2. Contractor to procure specialist advice or equipment as necessary.
3. Authorities required to be notified are listed in Section 6.5.
4. Not required if written report is to be submitted by Sydney Metro.
5. Only where notification is made by Sydney Metro, or as otherwise requested by EPA.

Figure 1: Environment Incident Classification & Reporting Procedure overview
5.1. Environmental Incident

Sydney Metro has defined an Environmental Incident as:

An occurrence or set of circumstances, as a consequence of which pollution (air, water, noise, and land) or an adverse environmental impact has occurred or is likely to occur.

Adverse environmental impact includes contamination, harm to flora and fauna (either individual species or communities), damage to heritage items or adverse community impacts.

Table 2: Examples of Environmental Incidents

<table>
<thead>
<tr>
<th>Type</th>
<th>Example Incident</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air</td>
<td>Odour that travels beyond the site boundary</td>
</tr>
<tr>
<td>Air</td>
<td>Dust exceeding reasonable levels without active management measures in place</td>
</tr>
<tr>
<td>Air</td>
<td>Operation or maintenance of plant in a manner that causes or is likely to cause air pollution</td>
</tr>
<tr>
<td>Water Pollution</td>
<td>Discharge of water on or off site in a manner that causes or is likely to cause water pollution</td>
</tr>
<tr>
<td>Noise and Vibration</td>
<td>Noise that travels beyond the site boundary as a result of poorly maintained plant or operation of plant in an inefficient manner</td>
</tr>
<tr>
<td>Noise and Vibration</td>
<td>Failure to comply with the approved hours of work</td>
</tr>
<tr>
<td>Land Contamination</td>
<td>Cause any substance to leak, spill or otherwise escape (whether or not from a container) in a manner that harms or is likely to harm the environment</td>
</tr>
<tr>
<td>Land Contamination</td>
<td>Spill/deposit material or allow material to be deposited on land in a manner that causes or is likely to cause land pollution</td>
</tr>
<tr>
<td>Land Contamination</td>
<td>Cause contamination of land</td>
</tr>
<tr>
<td>Land Contamination</td>
<td>Dispose of waste in a manner that harms or is likely to harm the environment</td>
</tr>
<tr>
<td>Flora and Fauna</td>
<td>Harm or “pick” a threatened species, endangered population or endangered ecological community</td>
</tr>
<tr>
<td>Flora and Fauna</td>
<td>Damage to vegetation, fauna or habitat including watercourses</td>
</tr>
<tr>
<td>Heritage</td>
<td>Damage, disturbance, destruction or works to heritage items/relics</td>
</tr>
<tr>
<td>Heritage</td>
<td>Damage, disturbance, or destruction of Aboriginal objects or places</td>
</tr>
</tbody>
</table>
5.1.1. Incident Classification

There are three classifications for Environmental Incidents each of which trigger a variety of management actions and/or legislative requirements. An event is classified into one of these three categories using the Risk Matrix (refer to SM RM-ST-201 Risk Management Standard).

This matrix provides a range of environmental consequences (C6, C5, C4, C3, C2, C1), where C6 represents the lowest impact and C1 the highest. These categories (Class 1, 2 and 3) are defined by consequence descriptors from the Sydney Metro Risk Management Standard as shown below in Table 3.

Table 3: Classification System for Environmental Incidents

<table>
<thead>
<tr>
<th>Class 3</th>
<th>Class 2</th>
<th>Class 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>C6</td>
<td>C5</td>
<td>C4</td>
</tr>
<tr>
<td>No appreciable changes to environment and/or highly localised event</td>
<td>Change from normal conditions within environmental regulatory limits and environmental effects are within site boundaries</td>
<td>Short-term and/or well-contained environmental effects. Minor remedial actions probably required</td>
</tr>
</tbody>
</table>

5.1.2. Incident Types

In addition to the classification of an incident, each event is assigned a type. They are grouped by environmental management disciplines so that targeted auditing, training or awareness initiatives can be enacted in response to emergent trends with the objective of driving down incident rates:

- Air and dust.
- Community.
- Flora and fauna.
- Heritage.
- Land contamination.
- Noise and vibration.
- Systems and documentation.
- Traffic, transport and access.
- Unauthorised works.
- Waste and hazardous materials.
- Water pollution.
5.1.3. Environmental Issue

An Environmental Issue is any occurrence or set of circumstances that has the potential to cause or lead to an Environmental Incident if not rectified.

Environmental Issues may be identified during formal or informal inspections undertaken by an alliance, contractor, Sydney Metro employee or Environmental Representative (ER). Issues identified during project inspections (e.g. those conducted by the Nominated Representative) shall be recorded on the SM ES-FT-406 Environmental Inspection Information & Summary.

If any issues raised during an inspection are also considered to constitute an Environmental Incident and/or non-compliance then this must be noted on the inspection report. The inspector is responsible for raising the incident or non-compliance using the appropriate forms.

5.1.4. Environmental Non-Compliance

Non-Compliance against any Environmental Requirements will be documented in a Non-Compliance Report prepared by the identifying party. Non-Compliances can be raised at any time and must contain the following information:

- The nature of the Non-Compliance;
- The relevant condition(s) that is non-compliant;
- The date the non-compliance was raised;
- A description of the non-compliance;
- Details of actions being taken to return the condition to a compliant status; and
- The status of the non-compliance (open or closed).

Principal Contractors are required to develop and implement corrective actions to rectify any non-compliances, and preventative actions to prevent the reoccurrence of the non-compliance. Actions that are raised must be assigned to individuals and due dates must be set in consultation with that individual with the objective of closing out the non-compliance without delay. Where non-compliances become repetitive (as determined by the ER), the suitability of actions in relation to the repeated issue will be examined by the ER in consultation with the Principal Contractors Environment Manager to determine more appropriate actions before the non-compliance report is finalised.

TfNSW will maintain a register of all non-compliances raised against the Chatswood to Sydenham portion of the City & Southwest Project.
5.2. Environmental Incident Response

5.2.1. Reporting Pollution Incidents to Relevant Authorities

If an incident or non-compliance is a notifiable event, then a report must be provided to the relevant regulatory authority within the timeframe(s) specified by the relevant legislation and any other approvals or licences.

Pollution incidents which are causing or threatening Material Harm to the environment must be reported to each of the following authorities immediately after project personnel become aware of the incident, as required by Section 148 of the POEO Act 1997. The contact numbers for these authorities are listed in Table 4.

Table 4: Contact details for authorities

<table>
<thead>
<tr>
<th>Authority/Service</th>
<th>Contact method</th>
</tr>
</thead>
<tbody>
<tr>
<td>EPA Environment Line</td>
<td>131 555</td>
</tr>
<tr>
<td>Local Authority</td>
<td>Local Council (specific to area)</td>
</tr>
<tr>
<td>Ministry of Health</td>
<td>Public Health Unit (refer to web page to confirm local area contact details)</td>
</tr>
<tr>
<td>WorkCover NSW</td>
<td>131 050</td>
</tr>
<tr>
<td>Fire and Rescue NSW</td>
<td>000</td>
</tr>
</tbody>
</table>

Relevant Information required to be given to EPA when making a notification is specified in Section 150 of the POEO Act 1997 as follows:

(a) Time, date, nature, duration and location of the incident.
(b) Location of the place where pollution is occurring or is likely to occur.
(c) Nature, the estimated quantity or volume and the concentration of any pollutants involved.
(d) Circumstances in which the incident occurred (including the cause of the incident, if known).
(e) Action taken or proposed to be taken to deal with the incident and any resulting pollution or threatened pollution.
(f) Other information prescribed by the regulations.

All information known at the time of making the notification must be reported. If the information required by (c), (d) or (e) above is not known at the time of initial notification but becomes known afterwards, it must be reported to each authority immediately after it becomes known. Verbal notification must be followed by notification in writing within seven days of the date on which the incident occurred.

Pollution incidents are not required to be reported if the:

- incident has already come to the notice of EPA;
- incident is an ordinary result of action required to be taken to comply with an environment protection licence, an environment protection notice or other requirement of or made under the POEO Act 1997; and/or
- pollution incident involves only the emission of an odour.

Failure to report a pollution incident as required by the POEO Act 1997 is an offence.
Where any work or activity is regulated by an Environment Protection License (EPL), notification of a pollution incident to EPA must be made by the licensee. Thus, where the alliance/contractor holds the EPL for the project, notification to EPA shall be made by the alliance/contractor. For projects where Sydney Metro holds the EPL, notification shall be made by Sydney Metro.

For any work or activity that is not regulated by an EPL, notification of pollution incidents to EPA shall be made by Sydney Metro, unless the alliance/contractor is instructed otherwise by Sydney Metro. This includes pollution incidents that occur as a result of pre-construction activities which may be undertaken prior to an EPL being required for a project. Pre-construction activities are determined by the Planning Approval and may include, for example, geotechnical investigations, surveys or fencing.

Where the Environmental Representative determines that Material Harm has occurred, they will notify the Secretary within 24 hours. In any case, whenever the EPA is notified under the POEO Act the Secretary must receive the same notification within 24 hours.

5.2.2. Nominated Representatives

Nominated Representatives are selected by Sydney Metro and assigned to each Principal Contractor. This role provides support to the contractor in the implementation of this procedure as outlined in Figure 1. The Nominated Representative must possess environmental experience and competency in managing incidents and be a representative of the client (Transport for NSW).

5.2.3. Verbal Notification

The Nominated Representative and Contract Delivery Management Representative must be notified verbally as soon as possible after the alliance/contractor becomes aware of an incident or non-compliance. The Nominated Representative shall provide advice to the alliance/contractor on the classification of the incident/non-compliance and whether notification to any regulatory authority is required.

5.2.4. Environmental Incident/Non-Compliance Report

Environmental Incident reports or Non-Compliance reports must be sent to Sydney Metro within 24 hours of occurrence after observation using either the Environmental Incident/Non-Compliance Report or another approved report form. The Nominated Representative shall review the report and, if required, provide advice to the contractor on any requirements for the incident investigation, or in the case of a less serious incident, may require an investigation to be conducted.

The Nominated Representative will be responsible for updating the incident register with the details of the incident and any preventative actions.

5.2.5. Relationship to Sydney Metro Crisis Management

Incidents which are likely to cause major damage to the environment will be managed in accordance with SM PS-PW-330 Crisis Management Implementation Plan. Determination of
whether the environmental incident requires the activation of a Crisis Management Team (CMT) will be made by the Program Director (or delegate) in accordance with the assessment process and activation/escalation triggers identified in SM PS-PW-330 Crisis Management Implementation Plan.

5.3. Environmental Incident Register

The Environmental Incident Register is used to manage the information associated with reporting of environmental issues, incidents, inspections and Non-Compliances. This register is maintained by the Nominated Representative and may be used by a variety of individuals to input data.

This register analyses the data it contains and produces environmental compliance metrics that are used for a range of environmental reporting requirements. It tracks total number:

- and types of environmental issues raised each month;
- of environmental inspections each month;
- of Class 3 incidents each month; and
- of Class 1 and 2 incidents combined each month.
6. Related Documents and References

<table>
<thead>
<tr>
<th>Related Documents and References</th>
</tr>
</thead>
<tbody>
<tr>
<td>• SM ES-MM-101 Environmental &amp; Sustainability Management Manual</td>
</tr>
<tr>
<td>• SM RM-ST-201 Risk Management Standard:</td>
</tr>
<tr>
<td>• SM PS-PW-330 Crisis Management Implementation Plan:</td>
</tr>
<tr>
<td>• SM ES-FT-403 Environmental Incident and Non-Compliance Report Form</td>
</tr>
<tr>
<td>• SM ES-FT-406 Environmental Inspection Information &amp; Summary:</td>
</tr>
<tr>
<td>• SM QM-FT-435 Integrated Management System (IMS) Glossary:</td>
</tr>
</tbody>
</table>

7. Superseded Documents

Superseded Documents

There are no documents superseded as a result of this document.

8. Document History

<table>
<thead>
<tr>
<th>Version</th>
<th>Date of approval</th>
<th>Summary of change</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>31/03/2015</td>
<td>New document</td>
</tr>
<tr>
<td>2.0</td>
<td>10/05/2016</td>
<td>IMS Review.</td>
</tr>
</tbody>
</table>
Appendix 4 – Sydney Metro Environmental Incident Classification and Reporting Form
Environmental Incident and Non-Compliance Report Template

Record only factual information that you know to be correct. Do not make assumptions, be succinct and avoid speculation.

### Section 1: General Details

| Contractor: |  |
| Site: |  |
| TfNSW ID Code: (If known) | Contractor reference: (If known) |

| Date of incident/ non-compliance: | Time of incident/ non-compliance: |
| Date of notification: | Time of notification: |

**Method of notification:**

**Notification received by**
- **Name:**
- **Position:**

**Incident Classification:**

- [ ] Non-compliance only (complete Section 6 and 7 only)
- [ ] Class 3
- [ ] Class 2
- [ ] Class 1
- [ ] Notifiable event (also complete Section 4)
- [ ] Non-compliance (also complete Section 6)

**Duration**

- [ ] Short term (less than 1 week)
- [ ] Medium term (less than 3 months)
- [ ] Long term (greater than 3 months)
- [ ] Permanent

**Incident Properties:**

(Tick as many as appropriate, where significant off-site impacts on people or the biophysical environment occurs this incident is also notifiable to DP&E)

- [ ] Notifiable event (also complete Section 4)
- [ ] Non-compliance (also complete Section 6)

**Incident type (choose one):**

- [ ] **Air & Dust** (e.g. dust or odour emission, excessive exhaust from plant or equipment)
- [ ] **Flora and Fauna** (damage/harm to species/habitat/ecological community)
- [ ] **Land Contamination** (e.g. events where harmful materials escape into soil)
- [ ] **Systems & Documentation** (e.g. Non-Compliance with project approval, or a CEMP requirement)
- [ ] **Unauthorised Works** (e.g. work being carried out prior to approval or permits being obtained)
- [ ] **Water Pollution** (e.g. discharge to any onsite or offsite waterway)
- [ ] **Community** (e.g. events causing impacts on community amenity/property)
- [ ] **Heritage** (e.g. damage/disturbance to heritage item/object/place)
- [ ] **Noise & Vibration** (e.g. exceedances of noise and vibration limits)
- [ ] **Traffic, Transport & Access** (e.g. Issues regarding the management of traffic flow)
- [ ] **Waste & Hazardous Materials** (e.g. disposal causing environmental harm)
<table>
<thead>
<tr>
<th>Section 2: Circumstances and Corrective Actions</th>
</tr>
</thead>
</table>
| **Exact location:**
(address, chainage, nearest cross street, landmarks etc., attach sketch if appropriate.) |
| **Circumstances:**
(Outline the circumstances of the incident leading up to the event and detail the activity being conducted) |
| **Corrective Actions:**
(Actions taken immediately to prevent or minimise environmental harm) |
### Section 3: Other Relevant Information (pollution events only)

<table>
<thead>
<tr>
<th>Pollutant:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantity or volume:</td>
</tr>
<tr>
<td>Location of Pollution:</td>
</tr>
</tbody>
</table>
(If different from the exact location of the event, also describing the extent of the pollution)

### Section 4: Notification to Relevant Authorities (notifiable events only)

#### Relevant Authorities to be notified:
(relevant information to be given in this notification is contained within this form)

<table>
<thead>
<tr>
<th>Incident Observer immediate verbal notification made to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Sydney Metro Nominated Representative</td>
</tr>
<tr>
<td>☐ Environmental Representative</td>
</tr>
</tbody>
</table>

Sydney Metro Nominated Representative Immediately notify:

| ☐ Local Authority (Council) |
| ☐ EPA (through the Pollution Hotline on 131 555) |
| ☐ Ministry of Health |
| ☐ WorkCover Authority |

As soon as possible following immediate notification requirements:

| ☐ Sydney Metro Nominated Representative |
| ☐ Environmental Representative |

#### Notification made by –
| Name: |
| Position: |

#### Date of notification: | Time of notification: |

Sydney Metro Manager, Environment to be notified:

<table>
<thead>
<tr>
<th>Has the Environmental Representative determined significant off-site impacts on people or the biophysical environment?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Yes – Verbally notify Sydney Metro Manager, Environment as soon as possible</td>
</tr>
<tr>
<td>☐ No – Provide this incident report to the Manager, Environment within 24 hours</td>
</tr>
</tbody>
</table>
### Section 5: Investigation and Preventative Actions

**Investigation Details:** (Actions taken immediately to prevent or minimise environmental harm)

- Report Only (Class 3 Incidents Only)
- Minor Investigation (Class 3 and 2 Incidents Only)
- Major Investigation (Any Class of Incident)

**Preventative Actions**
(Actions taken after an investigation to minimise the risk of the event re-occurring)

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Allocated to</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Section 6: Non-Conformance (leave blank if unsure)

**Description of non-compliance:**

<table>
<thead>
<tr>
<th>Relevant approval:</th>
<th>Relevant condition:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Action required for closure:**
(Where an individual is assigned an action to close a non-compliance they must notify the Sydney Metro Manager, Environment once this is achieved)

<table>
<thead>
<tr>
<th>Assigned to:</th>
<th>Status:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>□ Open</td>
</tr>
<tr>
<td></td>
<td>□ Close immediately</td>
</tr>
</tbody>
</table>

### Section 7: Signoff

**Signature:**

**Name:**

**Position:**