

19 October 2023

North East Link Early
Works Independent
Environmental Auditor
Six-Monthly Summary
Report: February 2023 to
July 2023 for Submission
to the Minister for
Planning
North East Link Program

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Nation Partners Pty Ltd
ABN 96 166 861 892

Level 3, The Alley, 75-77 Flinders Lane
Melbourne VIC 3000

Suite 108, 50 Holt Street
Surry Hills NSW 2010

info@nationpartners.com.au
nationpartners.com.au

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Executive Summary

ES1 Introduction

This report presents the Six-Monthly Summary Report for the North East Link (NEL) Program (the Program), and specifically for the North East Link Early Works (NELEW), for the period February 2023 to July 2023, inclusive (hereinafter referred to as the 'reporting period'). It summarises audit activities during the reporting period, audit findings, the status of actions taken to address previous audit findings and the NELEW contractors' compliance status with respect to the Environmental Management Framework (EMF) and Environmental Performance Requirements (EPRs).

The Program will connect the M80 to an upgraded Eastern Freeway through twin tunnels constructed beneath the Yarra River, linking key growth areas in the north and south-east. The NELEW is the first package of works for the Program and comprises the relocation of around 100 above, and underground services (i.e. power, gas, telecommunications, water and sewerage etc) to enable major construction of the NEL and delivery of the Bulleen Park and Ride.

As a requirement of Section 2 of the EMF, approved by the Minister for Planning, an Independent Environmental Auditor (IEA) must be engaged. The role of the IEA is to review environmental documentation to verify compliance with, and undertake environmental audits of Program activities to assess compliance with the EMF, EPRs, Environmental Strategy, Construction Environmental Management Plan (CEMP), Worksite Environmental Management Plans (WEMPs), Construction Compound Plans (CCPs), and approval conditions collectively referred to as Program contract requirements.

It is noted that not all requirements of the EMF, nor the EPRs are applicable to delivery of the NELEW (i.e. 97 of the 110 EPRs are applicable to the NELEW and, at the time of the reporting period, one of these applicable EPRs had yet to be triggered by delivery of the NELEW). The EMF requires that compliance with all relevant EPRs be audited at least once every 12 months. Consequently, each NELEW IEA Compliance Audit covers a sub-set of the 97 applicable EPRs (i.e. not all of the 97 EPRs applicable to the NELEW will be audited during each audit and within each six-monthly summary reporting period).

The Managing Contractor delivering the majority of the NELEW is CPB Contractors Pty Ltd (CPB), with the exception of:

- a new power substation near Blamey Road in Yallambie, for which the Managing Contractor is Jemena Electricity Networks (Vic) Ltd (Jemena).
- rail advance works, for which the Managing Contractor is Metro Trains Melbourne (MTM).
- the M80 Optus tower relocation, for which the Managing Contractor is Service Stream Limited (Service Stream)
- Construction of the B17 Communication Hut, for which the Managing Contractor is SAGE Automation.

Audit findings summarised in this report relate to audits conducted on works being delivered by CPB, MTM, Service Stream and SAGE Automation, while no audits were conducted on works being delivered by Jemena during the reporting period.

Pursuant to the EMF, Nation Partners Pty Ltd (Nation Partners) has been engaged as the IEA for the NELEW by CPB, on behalf of NELP.

ES2 Audit activities

Across the reporting period, the IEA conducted five (5) compliance audits comprising: two (2) compliance audits on a quarterly basis covering CPB's construction activities; one (1) compliance audit covering MTM's construction activities associated with the rail advance works; one (1) compliance audit covering Service Stream's construction activities associated with relocating the M80 Optus tower; and one (1) compliance audit covering SAGE Automation's construction activities associated with the B17 Communication Hut. The

audits have been conducted using a risk-based approach, in accordance with AS/NZS ISO 19011: 2019 *Guidelines for auditing management systems*, which was the standard in place at the time of the NELEW. This risk-based approach has been applied to determine the scope of each audit with respect to the locations/activities subject to site inspections and criteria (e.g. EPRs) to be assessed.

Each audit assessed the compliance status of the relevant Managing Contractors' construction activities with the EMF, relevant EPRs and conditions of Program approvals, and the IEA reviewed and verified (and NELP accepted) documents including the Managing Contractors' Environmental Strategy, CEMP, WEMPs, CCPs and other plans as required by the EPRs and as relevant to the scope of the audit.

The audits of the Managing Contractor's activities were conducted in:

- February 2023 – Service Stream
- February 2023 and June 2023 – CPB
- April 2023 – MTM
- July 2023 – SAGE Automation

In July and August 2023, the IEA also reviewed evidence associated with corrective actions undertaken by Service Stream, CPB, MTM and SAGE Automation to address the findings arising from the IEA compliance audits between February and July 2023, respectively.

Sites visited as part of the compliance audits across the reporting period included:

- Optus M80 Tower Relocation construction site;
- Bulleen Park and Ride, Bulleen;
- Grimshaw Street Construction Compound, Greensborough;
- Somers Avenue laydown area, Macleod;
- Rail corridor adjacent Somers Avenue (near Hinkler Avenue intersection), Macleod;
- Rail corridor between YMCA tennis courts and Wungan Street laydown area, Macleod;
- Wattle Drive / Powley Parade pedestrian crossing, Watsonia;
- Kalparrin Gardens including Pinehills Drive laydown area, Greensborough;
- Rail corridor between the Grimshaw Street Construction Compound and Kalparrin Gardens, Greensborough;
- Macleod substation; and
- B17 Communication Hut construction site.

These sites were selected to provide a representative sample of the locations in which NELEWs' construction activities were being undertaken at the time of the audits. Additionally, the sites visited were in locations where either construction activities were considered to represent a potentially higher risk of impact to the environment, or where construction activities were being undertaken in proximity to sensitive environmental areas.

The criteria assessed as part of the compliance audits conducted in the reporting period covered the EMF and 92 EPRs (as relevant to the NELEW and triggered by the works completed to date). The 92 EPRs assessed included EPRs from the following EPR topics: EMF; Aboriginal heritage; air quality; arboriculture; business; contamination and soil; flora and fauna; ground movement; groundwater; historical heritage; land use planning; landscape and visual; noise and vibration; social and community; surface water; sustainability and climate change; and traffic and transport. In addition, corrective actions from previous audits were also reviewed for close-out.

The audit findings are classified in each audit according to the following qualitative definitions in accordance with AS/NZS ISO 19011: 2019:

- **compliant** - the evidence demonstrated that the criteria under consideration had been met;

- **opportunity for improvement (OFI)** – applied where the evidence demonstrated that the criteria under consideration had been met, but in the future, there was an opportunity to provide greater clarity or provide greater demonstration that the criteria has been met;
- **minor non-compliance (Minor NC)** - applied where the evidence demonstrated that the criteria had been partially met, and at present did not fully meet the relevant Program contract requirement; and,
- **major non-compliance (Major NC)** – applied where the evidence either demonstrated that the criteria had not been met, or there was an absence of evidence demonstrating that the criteria had been met. As such the corresponding aspect of the Program contract requirement was not being met.

Qualitative environmental risk ratings for each non-compliance finding were also determined using the risk assessment methodology detailed within Chapter 4 – *EES Assessment Framework*, Section 4.4.2 *Risk Assessment* of the NEL Environmental Effects Statement (EES), to ensure a consistent approach across the Program.

Corrective actions to address compliance audit findings were decided upon, implemented and tracked to closure (where applicable), by CPB, MTM, Service Stream and SAGE Automation (as relevant), with the IEA assessing the closure of actions during the subsequent compliance audit.

ES3 Overall compliance

In general, CPB's, MTM's, Service Stream's and SAGE Automation's Program activities were considered by the IEA to comply with the EMF and the 92 EPRs audited during the reporting period, with the exception of six (6) Major NCs and 21 Minor NCs identified. Table E.1 summarises the reporting periods audit findings with respect to the compliance status of Program activities with the EMF and EPRs.

Table E.1: Compliance status of Program activities with EMF and EPRs during reporting period (February 2023 to July 2023)

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
EMF and EMF EPRs	<ul style="list-style-type: none"> EPRs EMF1 – 4 Environment Strategy CEMP CEMP – Element 11 WEMPs – across all locations visited CCPs – across all construction compounds visited Complaints and incidents 	Compliant	<ul style="list-style-type: none"> EPRs EMF1 – 4 ES/CEMP WEMPs – across all locations visited CCPs – across all construction compounds visited Complaints and incidents 	One (1) Major NC and one (1) Minor NC Two (2) OFIs	<ul style="list-style-type: none"> EPRs EMF1 – 4 CEMP/ES WEMP Complaints and incidents Permit and approvals etc 	Two (2) Minor NCs	<ul style="list-style-type: none"> EPRs EMF1 to EMF4 CEMP/ES CCP WEMP Complaints and incidents Permit and approvals etc 	One (1) Minor NC
Aboriginal Heritage	<ul style="list-style-type: none"> EPR AH1 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPR AH1 as addressed in CEMP/ES and WEMP 	One (1) Major NC and one (1) Minor NC	<ul style="list-style-type: none"> EPR AH1 as addressed in ES/CEMP and WEMP 	Compliant
Air Quality	<ul style="list-style-type: none"> EPR AQ1 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in ES/CEMP, WEMP and Dust and Air Quality Management Plan (DAQMP) 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in CEMP/ES, WEMP and Air Quality Management Sub-plan 	Compliant	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in ES/CEMP, WEMP and Air Quality Management Sub-plan 	One (1) Minor NC

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
Arboriculture	<ul style="list-style-type: none"> EPR AR2 Tree Protection Plan Master Tree Database 	One (1) Major NC and one (1) Minor NC	<ul style="list-style-type: none"> EPRs AR1 and AR2 as addressed in ES/CEMP, WEMP, Tree Removal Plan (TRP) and Tree Protection Plan (TPP) 	Three (3) Minor NCs	<ul style="list-style-type: none"> EPA AR1 to AR3 as addressed in CEMP/ES and WEMP 	Two (2) Minor NCs	<ul style="list-style-type: none"> EPRs AR1 to AR3 as addressed in ES/CEMP, WEMP and Tree Protection Management Sub-plan 	One (1) Minor NC
Business	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs B5 to B8 as addressed in ES/CEMP and WEMP 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs B5, B7 and B8 as addressed as ES/CEMP 	Compliant
Contamination and Soil	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs CL1 to CL5 as addressed in ES/CEMP, WEMP, and Spoil Management Plan 	One (1) Major NC	<ul style="list-style-type: none"> EPRs CL1, CL2, CL3 and CL5 as addressed in ES/CEMP and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs CL1, CL2, CL3 and CL5 as addressed in ES/CEMP and WEMP 	Compliant
Flora and Fauna	<ul style="list-style-type: none"> EPRs FF1 to FF10 CEMP Flora and Fauna Sub-plan 	Compliant	<ul style="list-style-type: none"> EPR FF1 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs FF1 to FF3, and FF5 as addressed in CEMP/ES and WEMP 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs FF1 to FF3 as addressed in ES/CEMP, WEMP and Flora and Fauna Management Sub-plan 	Compliant
Ground Movement	<ul style="list-style-type: none"> EPRs GM1 to GM4 Ground Movement Management Plan 	Two (2) Minor NCs	Not audited during the reporting period		Not audited during the reporting period		Not audited during the reporting period	
Groundwater	<ul style="list-style-type: none"> EPRs GW1 to GW4 Groundwater management Plan (GWMP) – YEMS 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs GW1, GW4 and GW5 addressed in CEMP/ES and WEMP 	Compliant	Not audited during the reporting period	

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
	<ul style="list-style-type: none"> Groundwater management Plan (GWMP) – across all locations visited 							
Historical Heritage	<ul style="list-style-type: none"> EPRs HH1 to HH5 Archaeological Management Plan 	Compliant	Not audited during the reporting period		Not audited during the reporting period		<ul style="list-style-type: none"> EPR HH1 as addressed in ES/CEMP 	Compliant
Land Use Planning	<ul style="list-style-type: none"> EPRs LP1 to LP4 	Compliant	Not audited during the reporting period		Not audited during the reporting period		<ul style="list-style-type: none"> EPR LP1 to LP3, and LP5 as addressed in ES/CEMP and WEMP 	Compliant
Landscape and visual	<ul style="list-style-type: none"> EPRs LV1 – LV4 Urban Design and Landscape Plans (UDLPs) – across all sites visited 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs LV1 to LV4 and as addressed in CEMP/ES and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs LV2 to LV4 and as addressed in ES/CEMP and WEMP 	Compliant
Noise and Vibration	<ul style="list-style-type: none"> EPR NV4 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs NV3 to NV5, NV8 and NV9 as addressed in ES/CEMP, WEMP and Construction Noise and Vibration and Management Plan (CNVMP) 	Compliant	<ul style="list-style-type: none"> EPRs NV1, NV3, NV4, NV5, NV8 and NV9, NV10, and NV14 as addressed in CEMP/ES and WEMP 	Two (2) Major NCs	<ul style="list-style-type: none"> EPRs NV3, NV4, NV5, NV8 and NV9, NV14 and NV15 as addressed in ES/CEMP and WEMP 	Compliant
Social and Community	<ul style="list-style-type: none"> EPRs SC1, SC2 and SC4 to SC8 Communications and Community Engagement Plan 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> Compliant 	Compliant	<ul style="list-style-type: none"> EPRs SC1, SC3, SC4, and SC7 as addressed in ES/CEMP and WEMP 	Compliant

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
Surface Water	<ul style="list-style-type: none"> EPR SW5 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs SW1, SW3, SW4, SW5, SW6, SW7, SW10 and SW13 as addressed in ES/CEMP, WEMP and Surface Water (including Flood Emergency) Management Plan (SWMP) 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs SW1 to SW15 as addressed in CEMP/ES and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs SW1, SW3, SW4, and SW5 as addressed in ES/CEMP, WEMP and Surface Water Management Sub-plan 	One (1) Minor NC
Sustainability and Climate Change	<ul style="list-style-type: none"> EPR SCC2 Project Scope and Requirements (PSR) Sustainability Management Plan 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs SCC1, SCC2 and SCC5 as addressed in ES/CEMP, WEMP and Sustainability Management Plan 	One (1) Minor NC and two (2) OFIs	<ul style="list-style-type: none"> EPRs SCC1, SCC2, and SCC4 as addressed in CEMP/ES and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs SCC4 and SCC5 as addressed in ES/CEMP and WEMP 	Compliant
Traffic and Transport	<ul style="list-style-type: none"> EPRs T3 and T5 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPR T2 as addressed in CEMP/ES and WEMP 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs T2 and T4 as addressed in ES/CEMP and WEMP, Traffic and Transport Management Sub-plan 	Two (2) OFIs

No repeating findings (i.e. findings from the previous audit that had not been fully addressed) were identified during the reporting period.

Major NCs tended to be attributed to instances of non-compliance associated with implementation of nominated monitoring procedures and physical controls.

The Minor NCs tended to be associated with instances of non-compliance associated with fulfilling the requirements of Program-specific environmental management plans and therefore findings were assigned to the EPRs requiring the preparation and implementation of these plans.

CPB, MTM, Service Stream and SAGE Automation have addressed and closed-out, to the satisfaction of the IEA, the Major NCs, Minor NCs, and all OFIs identified during the reporting period except the following:

- CPB – One (1) Major NC and one (1) OFI:
 - One (1) Major NC remains partially open relative to the ongoing arboricultural monitoring program required by of EPR AR2. The proposed post-construction tree monitoring program proposed by NELP and required of EPR AR2, has been assessed by the IEA to meet the EPR requirements. Implementation of the post-construction monitoring program required of EPR AR2 for a three-year period following completion of construction works, for trees subject to protection in locations where construction is complete, has not yet commenced. NELP propose to commence the post-construction monitoring program in 2024 once design of the Freeway Packages and Tunnel Package is complete. In the interim, the IEA understands that NELP will require trees subject to ongoing protection to be monitored and protected by the managing contractor in that area of works.
 - One (1) OFI remains open as the timing for availability of key data to demonstrate attainment of project sustainability targets does not enable closure of this finding by either the IEA or NELP. The IEA's subject matter specialist auditor for sustainability considers that the available data trend shows that NELP is on a trajectory to be able to meet the requirement which will be confirmed by the IEA once the data is available¹.
- Service Stream – Two (2) Minor NCs [Note: The IEA has requested additional information from Service Stream to confirm whether this is able to be closed out between the draft and final six-monthly summary report.]:
 - One (1) Minor NC associated with content of daily pre-starts requiring update to cover all specified content.
 - One (1) Minor NC associated with the requirement to make the CHMP available to all site workers, which related to one sub-contracted organisation that conducted ground breaking works. The IEA notes that evidence was sighted that the relevant sub-contracted organisation's workers were inducted into the CHMP by the Registered Aboriginal Party (RAP).

Given CPB's, MTM's, Service Stream's and SAGE Automation's responsiveness in closing out findings identified during the reporting period and taking the context of the findings into consideration, the IEA does not consider either the Major NC, Minor NC or the OFI audit findings to represent systemic issues, nor present ongoing material risks to the environment, including those that are considered open at the time of finalising the IEA Six-monthly Summary Report.

¹ The IEA that ultimately assesses compliance and closure of open findings may not be Nation Partners as the IEA Early Works. If this is the case, the assessment of compliance will be transferred by NELP to the Main Works or Freeway IEA.

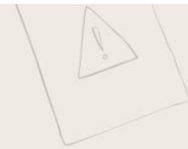
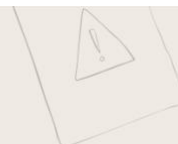


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Glossary of Terms and Abbreviations

Abbreviation	Expanded form
CCP	Construction Compound Plan
CEMP	Construction Environmental Management Plan
CPB	CPB Contractors Pty Ltd
EES	Environment Effects Statement
EMF	Environmental Management Framework
EPR	Environmental Performance Requirement
EW	Early Works
FTE	Full-time equivalent
IEA	Independent Environmental Auditor
MTIA	The Major Transport Infrastructure Authority
NEL	North East Link
NELEW	North East Link Early Works
NELP	North East Link Program
UDLP	Urban Design and Landscape Plans
WEMP	Worksite Environmental Management Plan

Term	Description
Incorporated Document	The North East Link Program Incorporated Document, December 2019.
Independent Environmental Auditor	Independent Environmental Auditor appointed pursuant to the Environmental Management Framework (EMF) approved by the Minister for Planning. For the North East Link Early Works (NELEW), Nation Partners Pty Ltd (Nation Partners) has been engaged as the IEA.
Major Transport Infrastructure Authority	The Major Transport Infrastructure Authority (MTIA) is the proponent for the Program. The MTIA is an administrative office within the Victorian Department of Transport with responsibility for overseeing major transport projects.
Managing Contractor or contractor	Contractor managing a package of works associated with the North East Link Program. For the NELEW and Bulleen Park and Ride, the Managing Contractor is CPB Contractors Pty Ltd (CPB) (unless otherwise specified).
Program or North East Link	The North East Link Program approved under the Incorporated Document.
NELEW	North East Link Early Works (NELEW) is the first package of works for the Program, comprising the design development and potential modification, relocation and/or protection of utility services which will be impacted, or are in proximity to the main North East Link works. Unless otherwise stated, these works are being delivered by the main NELEW contractor. Additional works beyond the original scope have also been awarded to the NELEW contractor, such as delivery of the Bulleen Park and Ride (refer to Section 1.2.2 for further details of works included within the NELEW).
Non-contestable works	Non-contestable works are those works related to the Program that are controlled directly by a utility service provider and its contractors, rather than being controlled by NELP and its contractors.
North East Link Program (NELP)	North East Link Program (NELP) is an organisation within MTIA responsible for developing and delivering the Program. NELP was formerly known as the North East Link Project prior to early 2022 and before that as the North East Link Authority (NELA) prior to 1 January 2019. NELP is responsible for delivering the Program on behalf of the Victorian Government.

1 Introduction

This document presents the Six-Monthly Summary Report on the compliance status with the Environmental Management Framework (EMF) and Environmental Performance Requirements (EPRs) for the North East Link Program (NELP), and specifically for the North East Link Early Works (NELEW), for the period February 2023 to July 2023 inclusive (hereinafter referred to as the reporting period).

1.1 Purpose of this Report

As required by Section 2 of the EMF and specified in EPR EMF-3 as approved by the Minister for Planning, the Independent Environmental Auditor (IEA) must prepare six-monthly summary reports as to compliance with the EMF and EPRs, which NELP must provide to the Minister for Planning and which will be made publicly available.

The six-monthly summary reports must summarise:

- audit activities during the reporting period;
- audit findings;
- the status of actions taken to address previous audit findings; and,
- the contractors' compliance with the EMF and EPRs.

This Six-Monthly Summary Report has been developed to fulfil this EMF requirement and summarises the findings arising from compliance audits and activities conducted by the IEA on the NELEW across the reporting period.

Pursuant to the EMF, Nation Partners Pty Ltd (Nation Partners) has been engaged as the NELEW IEA by CPB Contractors Pty Ltd (CPB) (the Managing Contractor, or contractor of the NELEW), on behalf of NELP.

1.2 Program Overview

1.2.1 North East Link

The North East Link (NEL) will connect the M80 with the Eastern Freeway through twin tunnels constructed beneath the Yarra River, linking key growth areas in the north and south-east. NEL includes upgrades to the Eastern Freeway, a dedicated busway, more than 25 kilometres of new and upgraded cycling and walking paths, improvements to community facilities including local sports grounds and utility relocations to facilitate these works.

1.2.2 North East Link Early Works

The NELEW is the first tranche of works for the NELP and comprises the relocation of around 100 above, and underground services such that major construction of the NEL can start from 2022.

The NELEW is being undertaken across:

- the north-east of the Program area, from the M80 Ring Road and Greensborough Bypass through to Greensborough Road and Lower Plenty Road intersection; and,
- the south of the Program area from Bulleen Road and along the Eastern Freeway from Chandler Highway to Middleborough Road.

The NELEW has been split into 3 geographic zones, which generally relate to the extent of the NELP main works, as illustrated in Figure 1.1.

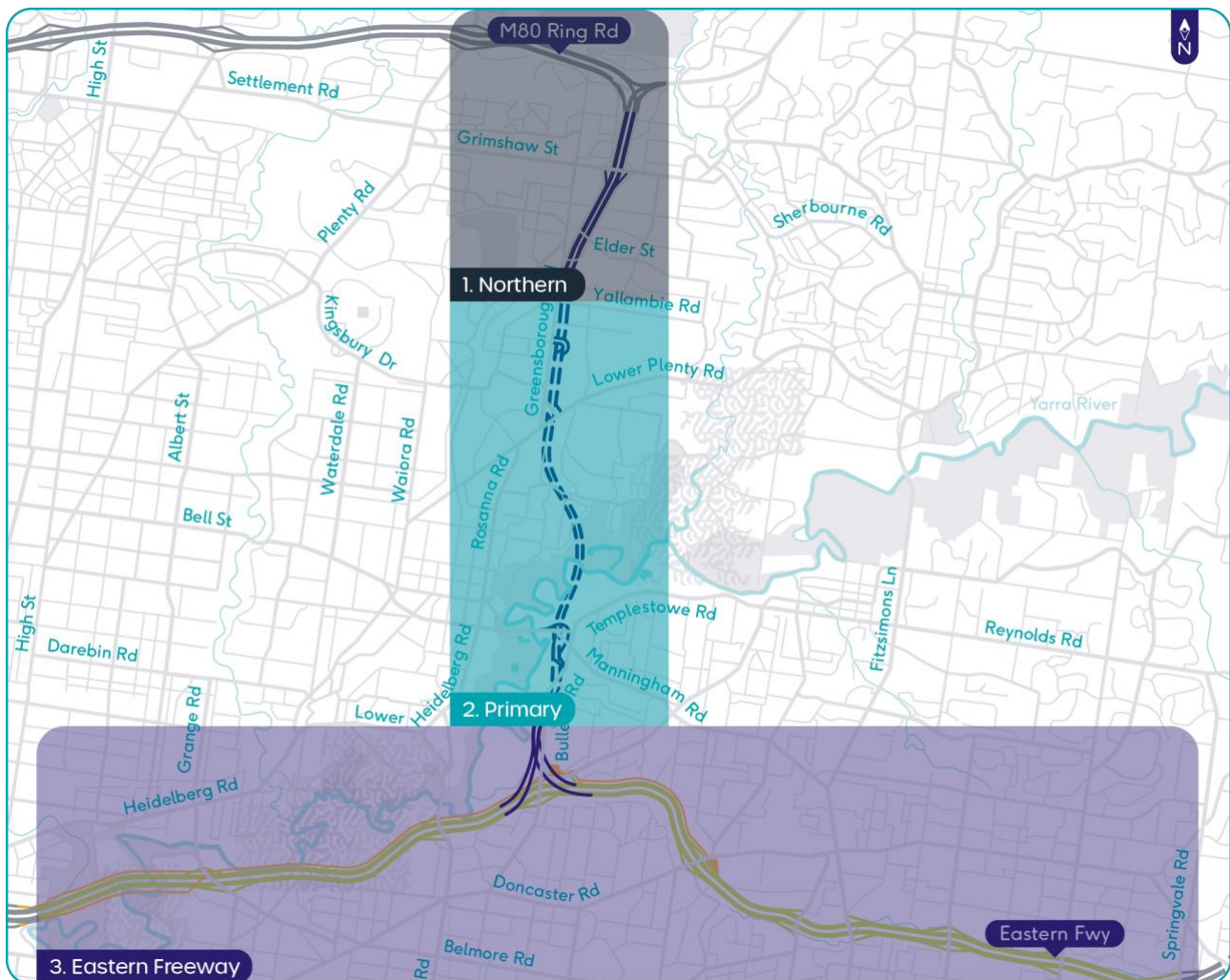


Figure 1.1 NELEW Scope and Location

Key NELEW activities include the following:

- **Borlase Reserve utilities** – above and below ground power, water, gas, sewer, and telecommunication lines will be moved;
- **Eastern Freeway service relocations** – to allow for upgrades to the Eastern Freeway, above and below ground power lines, communication assets and water mains will be moved;
- **Greensborough Road** – New gas, power and telecommunications lines will replace existing services along the length of Greensborough Road;
- **water pressure reducing station** – A water pressure reducing station (PRS) on the corner of Borlase and Drysdale Streets will be moved to ensure the continued safe supply of water to homes and businesses; and
- **sewer realignments** – underground sewer lines in Yallambie and Bulleen will be moved, including the Yarra East Main Sewer.

The following activities have been, or will be, delivered by the relevant utility service providers and their contractors, with or without management support from NELP and its contractors:

- **telecommunication towers** – 2 mobile telecommunication towers near the M80 Ring Road and the Watsonia Station car park will be moved a short distance from their current location;
- **high-voltage transmission towers** – 2 high-voltage transmission towers in Watsonia Station car park will be moved to the easement on the other side of Greensborough Road; and,

- **new power substation** – A new power substation will be built near Blamey Road to supply power to the tunnel boring machines during construction, and for operational purposes when NEL opens.

Additional works are also being incorporated within the NELEW including, but not limited to:

- **sports and recreation facilities upgrades** – sport facilities at Ford Park, Ivanhoe and Binnak Park, Watsonia North are being upgraded to include turf with drainage, new pavilions, lighting, car parking, players shelters, spectator facilities, running track, fencing, and demolition of decommissioned buildings and redundant infrastructure.
- **Bulleen Park and Ride** – the Bulleen Park and Ride will be a premium bus station including: a 5,000 m² green roof community park; parking for up to 370 cars underneath; dedicated quick drop off and pick-up bays; walking and cycling paths that connect to Koonung Creek Trail; bike storage cage; and, ramps, toilets and myki services.
- **Rail advance works** – the rail advance works interface with the Hurstbridge Line at the existing Greensborough Highway rail tunnel, and Grimshaw Street overbridge which will be widened to accommodate additional road lines. The Greensborough Highway rail tunnel will be extended to approximately 413 metres, with the Grimshaw Street overbridge demolished and rebuilt

The majority of the NELEW is being delivered or overseen by CPB, with the exception of:

- a new power substation near Blamey Road in Yallambie, for which the Managing Contractor is Jemena Electricity Networks (Vic) Ltd (Jemena).
- rail advance works for which the Managing Contractor is Metro Trains Melbourne (MTM).
- M80 Optus tower relocation, for which the Managing Contractor is Service Stream Limited (Service Stream)
- B17 Communication B Hut, for which the Managing Contractor is SAGE Automation

Audit findings summarised in this report relate to audits conducted on works being delivered by CPB, MTM, Service Stream, and SAGE Automation only, as no audits were conducted on works being delivered by Jemena during the reporting period.

1.2.3 Planning and Environmental Approvals

NELP prepared an Environment Effects Statement (EES) for the Program under the *Environment Effects Act 1978* (Vic) and was also responsible for seeking key statutory approvals, of which the following apply to the NELEW:

- approval of the Program under the *Environment Protection and Biodiversity Conservation Act 1999* (Cwlth) for potential impacts on Matters of National Environmental Significance and on Commonwealth land;
- a planning scheme amendment under the *Planning and Environment Act 1987*, which introduces the Incorporated Document into the relevant planning schemes to facilitate development of the Program. The delivery of the Program is facilitated by the Incorporated Document under the Banyule, Boroondara, Manningham, Nillumbik, Whitehorse, Whittlesea and Yarra Planning Schemes; and,
- an approved Cultural Heritage Management Plan under the *Aboriginal Heritage Act 2006* (Vic).

The Program contract requires a Managing Contractor to comply with legislation, the conditions of these key approvals and to identify, obtain and comply with all other approvals, licences, permits and consents that may be required.

Condition 4.5 of the Incorporated Document requires the preparation of an EMF for the Program to the satisfaction of the Minister for Planning prior to the commencement of development (excluding preparatory buildings and certain works described within the Incorporated Document).

1.2.4 Environmental Management Framework and Environmental Performance Requirements

The purpose of the EMF, which has been approved by the Minister for Planning (initially approved in January 2020 with a revision approved in July 2021), is to provide a transparent framework to manage the environmental effects of the Program in order to meet statutory requirements, protect environmental values and sustain stakeholder confidence. The EMF forms one component of the overall governance framework for delivery of the Program and, with respect to environmental management for the Program during its development and delivery, describes: roles and responsibilities; statutory approvals and consents; no-go zones; environmental management documentation required; and compliance evaluation and reporting requirements.

The EMF also contains and details the EPRs in the development and delivery (including operation) of the Program. The EPRs are a suite of 110 performance-based environmental standards and outcomes that apply to the design, construction and operation of the Program.

It is noted that not all requirements of the EMF, nor the EPRs are applicable to delivery of the NELEW. EPRs that are not applicable include, but are not limited to, those associated with operation of the Program or, in general terms, associated with design and delivery of the twin tunnels and/or freeway. Taking this into consideration, 97 EPRs in total are applicable to the NELEW and, at the time of the reporting period, one EPR had yet to be triggered by delivery of the NELEW. Consequently, during the reporting period, 96 EPRs were either applicable to the NELEW or had been triggered by works completed to date.

The Managing Contractors have prepared environmental management and design documentation as required by the EMF and EPRs, which has been reviewed and verified by the IEA (refer to Section 1.3), and accepted by NELP, prior to commencement of contractor works.

1.3 Role of the IEA

As required by Section 2 of the EMF, an IEA has been engaged for the NELEW to:

- review and verify that the contractors' environmental management and design documentation, Environmental Strategy, Urban Design and Landscape Plans (UDLPs), Construction Environmental Management Plan (CEMP), Worksite Environmental Management Plans (WEMPs), Construction Compound Plans (CCPs), and other plans as required by the EPRs, comply with the Program contract including the EMF and EPRs, conditions of Program approvals, and are in general accordance with the approved Urban Design Strategy; and,
- conduct audits of contractor works to assess compliance with the EMF, relevant EPRs, Environmental Strategy, CEMP, WEMPs, CCPs, other plans as required by the EPRs and conditions of Program approvals.

The IEA is also responsible for preparing a six-monthly report (i.e. this report) summarising audit activities during the reporting period, audit findings, the status of corrective actions taken to address previous audit findings and the contractors' compliance with the EMF and EPRs; and providing it to NELP and the contractor. In turn, it is NELP's responsibility to provide six-monthly summary reports to the Minister for Planning.

An overview of the IEA's role within the framework of environmental documentation developed and implemented to control and manage the Program is presented in Figure 1.2.

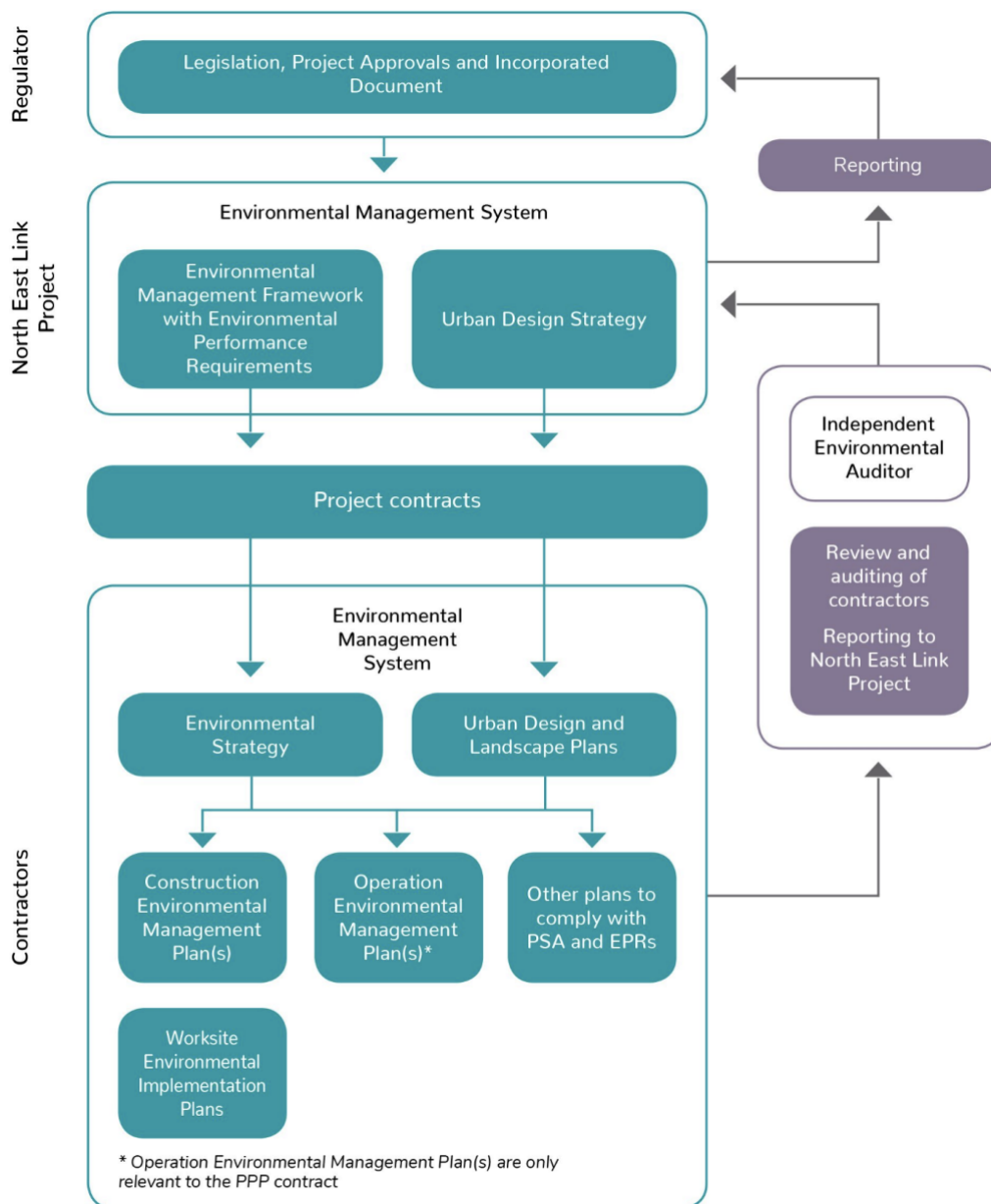


Figure 1.2 Key environmental management documentation (extract from Environmental Management Framework, July 2021)

1.4 Report Structure

The structure of this report has been developed in accordance with the EMF and summarises:

- Section 2 Audit Activities – provides a summary of the audit activities conducted during the reporting period;
- Section 3 Audit Findings – summarises the compliance audit findings during the reporting period in accordance with the EPR topics;
- Section 4 Corrective Actions – summarises the status of actions taken by the contractor to address previous audit findings; and,
- Section 5 Overall Compliance – provides the IEA’s conclusions with respect to the contractor’s overall compliance with the EMF and EPRs.

2 Audit Activities

The audit activities conducted during the reporting period, the IEA Compliance Audit Program methodology, and details of the compliance audits conducted across the reporting period, are summarised in the following sections.

2.1 IEA Compliance Audit Program

To meet the auditing requirements of the EMF, the IEA has developed and implemented a Program involving the conduct of compliance audits on a quarterly basis across Program activities associated with the NELEW. This Compliance Audit Program has been developed, and the audits conducted, in accordance with AS/NZS ISO 19011:2019 *Guidelines for auditing management systems*, which was the standard in place at the time of the NELEW.

The following sub-sections describe the methodology applied to the Compliance Audit Program and its component compliance audits.

2.1.1 Objective

The objective of the Compliance Audit Program was to assess Program activities, associated with the NELEW, for compliance with the EMF, relevant EPRs, Environmental Strategy, CEMP, WEMPs, CCPs, other plans as required by the EPRs and conditions of Program approvals (referred to as the Program contract requirements).

2.1.2 Scope

Compliance audits were conducted on a quarterly basis (i.e. every 3 months) at the locations of operations and activities under the control of CPB. Additional compliance audits were also conducted for the rail advance works being undertaken by MTM, and the construction activities undertaken by Service Stream and SAGE Automation. Audits were not conducted on works being delivered by Jemena during the reporting period.

To determine the scope and criteria of each compliance audit (i.e. Program contract requirements to be audited and locations to be subject to site visits), the IEA applied a risk-based approach, which aligns with the requirements of AS/NZS ISO 19011:2019 and which is informed by (but not limited to):

- discussions with NELP and the Managing Contractor with respect to potential risks associated with the Program at the time the audit was due to be conducted;
- current activities and operations;
- those locations where either construction activities were considered to represent a higher risk of impact to the environment or where construction activities were being undertaken in proximity to sensitive environmental areas (e.g. residential areas, watercourses, areas of Aboriginal or historical heritage, sensitive ecological areas);
- ensuring a representative sample of the locations in which NELEW construction activities were being undertaken at the time of the audit;
- selection of relevant audit criteria through adoption of a risk-based approach, ensuring that each EPR was audited at least once every 12 months, and higher risk EPRs were audited more frequently; and,
- findings arising from previous compliance audits, including confirmation and completion of the close-out of corrective actions to address findings identified during previous audits.

The scope of each compliance audit was determined and agreed, considering the above, during quarterly progress meetings involving NELP, the Managing Contractor and the IEA. These meetings were typically

convened approximately two months following the previous audit, and one month prior to the subsequent compliance audit.

Each compliance audit did not involve an exhaustive assessment against all requirements but represented an audited sample. This approach aligned with a risk-based audit methodology and was adopted in accordance with the risk management guidance. Additionally, the overall audit program was developed to ensure that potentially higher risk activities were audited more frequently, and that compliance with all relevant EPRs (as applicable to the NELEW) was audited at least once every 12 months as required by the EMF (refer to Appendix B for details of the relevant EPRs audited within the rolling 12 months).

The scope of each compliance audit was developed to the satisfaction of NELP.

2.1.3 Audit duration and team

The February 2023 compliance audit of CPB's activities comprised two days on-site and involved an audit team consisting of two (2) full-time equivalents (FTE). The June 2023 compliance audit of CPB's activities was undertaken online comprising document review and meetings across the three days, involving a team of two (2) FTEs. The compliance audit of MTM's activities comprised two days on-site and involved an audit team consisting of a minimum of two (2) FTEs. The compliance audit of Service Stream's activities comprised one day and involved an audit team consisting of two (2) FTEs. The compliance audit of SAGE Automation's activities comprised one day and involved an audit team consisting of two (2) FTEs.

Each audit team comprised a Lead Auditor, Auditor and (where necessary) Specialist Auditors (i.e. specialists in arboriculture, noise and vibration, sustainability and climate change, contaminated land, surface water, and/or traffic and transport). In accordance with AS/NZS ISO 19011:2019, the team for each compliance audit was selected based on the prerequisite competencies to achieve the audit objectives, accounting for the audit scope and documentation to be reviewed.

2.1.4 Approach

The approach undertaken for each compliance audit comprised:

- **audit plan** – development of a Compliance Audit Plan to guide the audit. As per AS/NZS ISO 19011:2019, the audit plan defines and communicates the objectives, scope, and criteria for each audit. Each audit plan was developed to the satisfaction of NELP and provided to the Managing Contractor to enable logistics for the audit to be arranged;
- **inception meeting** – at the start of each compliance audit, a formal inception meeting was undertaken with the contractor personnel to outline the objectives, purpose, scope, and logistics of the audit. This meeting was typically attended by a wider NELP and Managing Contractor audience and included an introduction to those involved in the audit, including both the IEA audit team and the Managing Contractors' personnel (i.e. auditees);
- **document review** - a key part of each compliance audit involved review of appropriate documentation to determine if those Program activities subject to the assessment met the Program contract requirements;
- **personnel interviews** - interviews with appropriate personnel was also an integral component of each compliance audit. Informal interviews were undertaken throughout each compliance audit (e.g. concurrently with document review and site walkovers) to collect information and anecdotal evidence with respect to the Program activities being assessed;
- **site visits/walkovers** – information and evidence was also gathered during comprehensive visits to Program sites, which involved observations made during site walkovers; and,
- **exit briefing** – at the completion of each compliance audit, the audit team provided feedback to NELP and the Managing Contractor at a closing meeting, summarising the outcomes of the audit. To ensure that all issues of potential concern had been identified and raised appropriately with contractor management, a summary of major findings was presented at this time, noting that, “audit opinions may be subject to change during reporting and further to the exit briefing”. This ensured that personnel were

aware of auditors' likely conclusions in advance of report preparation and provided an open forum for discussion of these issues.

2.1.5 Audit finding categories and reporting

The main output from each compliance audit comprised a detailed report, including information on:

- the scope and approach of the audit, including a list of the documents reviewed by the IEA during the audit;
- activities and operations subject to the audit; and,
- audit findings including compliance status against the audit criteria. In accordance with AS/NZS ISO 19011:2019, audit findings were characterised qualitatively in accordance with categories defined in Table 2.1.

Table 2.1 Audit Finding Categories

Categories	Definition
Compliant	The evidence demonstrated that the criteria under consideration had been met.
Opportunity for Improvement (OFI)	The evidence demonstrated that the criteria under consideration had been met, but in the future, there was an opportunity to provide greater clarity or provide greater demonstration that the criteria has been met.
Minor Non-compliance (Minor NC)	The evidence demonstrated that the criteria had been partially met, and at present did not fully meet the relevant Program Contract requirement.
Major Non-compliance (Major NC)	The evidence either demonstrated that the criteria had not been met, or there was an absence of evidence demonstrating that the criteria had been met. As such the corresponding aspect of the Program Contract requirement is not being met.

Qualitative environmental risk ratings for each non-compliance finding were also determined by the IEA using the risk assessment methodology detailed within Chapter 4 – *EES Assessment Framework*, Section 4.4.2 *Risk Assessment* of the NEL Environmental Effects Statement (EES), to ensure a consistent approach across the Program (i.e. risk ratings for OFIs were not determined).

The risk assessment for each finding considered the likelihood (i.e. the chance of an event happening and the maximum credible consequence occurring from that event) and consequence (i.e. the maximum credible outcome of an event affecting an asset, value, or use) of an event occurring. Risk ratings for non-compliances can be found at the end of each subject area in Section 3.2 of this report where applicable.

Corrective actions were determined, implemented and tracked to closure by the Managing Contractor, with the IEA assessing the closure of actions:

- either upon the next compliance audit; or,
- through desk-based review of evidence provided by the Managing Contractor (including document review and personnel interviews via conferencing facilities) where a reporting period closed prior to the next compliance audit (e.g. desk-based review of evidence in January 2023, at the end of a reporting period, where the next compliance audit was scheduled for mid-February 2023).

2.2 Audit activities – February to July 2023

During the reporting period, the IEA conducted two (2) quarterly compliance audits of CPB's Program activities and one (1) compliance audit of each of MTM's, Service Steam's and SAGE Automation's Program activities, assessing compliance of with the EMF, EPRs, Environmental Strategy, CEMP, WEMPs, CCPs, and approval conditions. The compliance audits were conducted on the following dates:

- 9 February 2023 (Service Stream Activities)
- 16 to 17 February 2023 (CPB Activities)
- 13 to 14 April 2023 (MTM Activities)
- 13, 16 and 21 June 2023 (CPB Activities)

- 13 July 2023 (SAGE Automation Activities)

Subsequently, the IEA reviewed evidence associated with corrective actions undertaken by Service Stream, CPB, MTM and SAGE Automation to address the findings arising from the IEA compliance audits between February and July 2023, respectively.

The scope of each compliance audit, with respect to the locations subject to site visits and the criteria assessed during each audit are detailed in Sections 2.2.1 and 2.2.2 respectively.

2.2.1 Site Visits

The locations subject to site visits as part of the compliance audits conducted in the reporting period are detailed in Table 2.2.

Table 2.2 Compliance audit site visits during reporting period

Date of audit	Site visits
9 February 2023	<ul style="list-style-type: none"> Optus M80 Tower Relocation construction site
16 to 17 February 2023	<ul style="list-style-type: none"> Bulleen Park and Ride, Bulleen
13 to 14 April 2023	<ul style="list-style-type: none"> Grimshaw Street Construction Compound, Greensborough; Somers Avenue laydown area, Macleod; Rail corridor adjacent Somers Avenue (near Hinkler Avenue intersection), Macleod; Rail corridor between YMCA tennis courts and Wungan Street laydown area, Macleod; Wattle Drive / Powley Parade pedestrian crossing, Watsonia; Kalparrin Gardens including Pinehills Drive laydown area, Greensborough; Rail corridor between the Grimshaw Street Construction Compound and Kalparrin Gardens, Greensborough; and Macleod substation
13, 16 and 21 June 2023	No sites visited as part of this audit (i.e., online audit comprising document review and remote meetings across the three days)
13 July 2023	<ul style="list-style-type: none"> B17 Communication Hut construction site

2.3 Audit Criteria

The criteria assessed as part of the compliance audits conducted in the reporting period covered EMF Sections 2 to 7 and 94 EPRs, as relevant to the NELEW (refer to Table 2.3). CPB's activities were audited against 50 of the relevant EPRs, MTM's against 34 of the relevant EPRs, Service Stream's against 54 of the relevant EPRs and SAGE Automation's against 47 of the relevant EPRs. A number of the EPRs audited during the compliance audits were duplicated during multiple audits, hence the Program total of 94, of the 96 EPRs applicable to NELEW audited during the reporting period.

Combined with the 59 EPRs against CPB's activities and the 22 EPRs against MTM's activities that were audited during the previous reporting period (August 2022 to January 2023), the EPRs audited during this reporting period ensured that all relevant EPRs (i.e. both applicable to the NELEW and triggered by works completed to date) have been audited at least once during the past 12 months, as required by the EMF (refer to Appendix B for further details).

Table 2.3 Criteria assessed during reporting period (refer to Appendix B for EPR titles/subjects)

Date of audit	EMF/EPRs	Criteria
9 February 2023	<ul style="list-style-type: none"> EMF and EMF EPRs 	<ul style="list-style-type: none"> EPRs EMF1 – 4 CEMP/ES CCP WEMP Complaints and incidents

Date of audit	EMF/EPRs	Criteria
		<ul style="list-style-type: none"> Permit and approvals etc
	<ul style="list-style-type: none"> Aboriginal Heritage 	<ul style="list-style-type: none"> EPR AH1 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Air Quality 	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in CEMP/ES, WEMP and Air Quality Management Sub-plan
	<ul style="list-style-type: none"> Arboriculture 	<ul style="list-style-type: none"> EPA AR1 to AR3 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Contamination and Soil 	<ul style="list-style-type: none"> EPR CL1 to CL5 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Flora and Fauna 	<ul style="list-style-type: none"> EPRs FF1 to FF3, and FF5 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Groundwater 	<ul style="list-style-type: none"> EPRs GW1, GW4 and GW5 addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Landscape and visual 	<ul style="list-style-type: none"> EPRs LV1 to LV4 and as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Noise and vibration 	<ul style="list-style-type: none"> EPRs NV1, NV3, NV4, NV5, NV8 and NV9, NV10, and NV14 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Social and community 	<ul style="list-style-type: none"> EPR SC3 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Surface water 	<ul style="list-style-type: none"> EPRs SW1 to SW15 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Sustainability and climate change 	<ul style="list-style-type: none"> EPRs SCC1, SCC2, and SCC4 as addressed in CEMP/ES and WEMP
	<ul style="list-style-type: none"> Traffic and Transport 	<ul style="list-style-type: none"> EPR T2 as addressed in CEMP/ES and WEMP
16 to 17 February 2023	<ul style="list-style-type: none"> EMF and EMF EPRs 	<ul style="list-style-type: none"> EPRs EMF1 – 4 Environment Strategy CEMP WEMPs – across all locations visited CCPs – across all construction compounds visited Complaints and incidents
	<ul style="list-style-type: none"> Air Quality 	<ul style="list-style-type: none"> EPR AQ1
	<ul style="list-style-type: none"> Arboriculture 	<ul style="list-style-type: none"> EPR AR2
	<ul style="list-style-type: none"> Flora and Fauna 	<ul style="list-style-type: none"> EPRs FF1 to FF10 CEMP Flora and Fauna Sub-plan
	<ul style="list-style-type: none"> Ground Movement 	<ul style="list-style-type: none"> EPRs GM1 to GM4
	<ul style="list-style-type: none"> Groundwater 	<ul style="list-style-type: none"> EPRs GW1 to GW4 Groundwater management Plan (GWMP) – across all locations visited
	<ul style="list-style-type: none"> Historic Heritage 	<ul style="list-style-type: none"> EPRs HH1 to HH5 Archaeological Management Plan
	<ul style="list-style-type: none"> Land Use and Planning 	<ul style="list-style-type: none"> EPRs LP1 to LP4
	<ul style="list-style-type: none"> Landscape and visual 	<ul style="list-style-type: none"> EPRs LV1 – LV4 Urban Design and Landscape Plans (UDLPs) – across all sites visited
	<ul style="list-style-type: none"> Noise and Vibration 	<ul style="list-style-type: none"> EPR NV4
	<ul style="list-style-type: none"> Surface Water 	<ul style="list-style-type: none"> EPR SW5
	<ul style="list-style-type: none"> Social and community 	<ul style="list-style-type: none"> EPRs SC1, SC2 and SC4 to SC8 Communications and Community Engagement Plan
13 to 14 April 2023	<ul style="list-style-type: none"> EMF and EMF EPRs 	<ul style="list-style-type: none"> EPRs EMF1 – 4 ES/CEMP WEMPs – across all locations visited CCPs – across all construction compounds visited Complaints and incidents
	<ul style="list-style-type: none"> Air Quality 	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in ES/CEMP, WEMP and Dust and Air Quality Management Plan (DAQMP)
	<ul style="list-style-type: none"> Arboriculture 	<ul style="list-style-type: none"> EPRs AR1 and AR2 as addressed in ES/CEMP, WEMP, Tree Removal Plan (TRP) and Tree Protection Plan (TPP)

Date of audit	EMF/EPRs	Criteria
	<ul style="list-style-type: none"> • Business 	<ul style="list-style-type: none"> • EPRs B5 to B8 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Contamination and Soil 	<ul style="list-style-type: none"> • EPRs CL1 to CL5 as addressed in ES/CEMP, WEMP, and Spoil Management Plan
	<ul style="list-style-type: none"> • Noise and Vibration 	<ul style="list-style-type: none"> • EPRs NV3 to NV5, NV8 and NV9 as addressed in ES/CEMP, WEMP and Construction Noise and Vibration and Management Plan (CNVMP)
	<ul style="list-style-type: none"> • Surface Water 	<ul style="list-style-type: none"> • EPRs SW1, SW3, SW4, SW5, SW6, SW7, SW10 and SW13 as addressed in ES/CEMP, WEMP and Surface Water (including Flood Emergency) Management Plan (SWMP)
	<ul style="list-style-type: none"> • Sustainability and Climate Change 	<ul style="list-style-type: none"> • EPRs SCC1, SCC2 and SCC5 as addressed in ES/CEMP, WEMP and Sustainability Management Plan
13, 16 and 21 June 2023	<ul style="list-style-type: none"> • EMF and EMF EPRs 	<ul style="list-style-type: none"> • EPRs EMF1 to EMF4 • CEMP – Element 11 • Complaints and incidents
	<ul style="list-style-type: none"> • Aboriginal Heritage 	<ul style="list-style-type: none"> • EPR AH1
	<ul style="list-style-type: none"> • Arboriculture 	<ul style="list-style-type: none"> • EPR AR2 • Tree Protection Plan • Master Tree Database
	<ul style="list-style-type: none"> • Ground Movement 	<ul style="list-style-type: none"> • EPR GM2 • Ground Movement Management Plans
	<ul style="list-style-type: none"> • Groundwater 	<ul style="list-style-type: none"> • EPR GW4 • Groundwater Management Plan (GWMP) – YEMS
	<ul style="list-style-type: none"> • Sustainability 	<ul style="list-style-type: none"> • EPR SCC2 • Project Scope and Requirements (PSR) • Sustainability Management Plan
	<ul style="list-style-type: none"> • Traffic and Transport 	<ul style="list-style-type: none"> • EPRs T3 and T5
13 July 2023	<ul style="list-style-type: none"> • EMF and EMF EPRs 	<ul style="list-style-type: none"> • EPRs EMF1 to EMF4 • CEMP/ES • CCP • WEMP • Complaints and incidents • Permit and approvals etc
	<ul style="list-style-type: none"> • Aboriginal Heritage 	<ul style="list-style-type: none"> • EPR AH1 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Air Quality 	<ul style="list-style-type: none"> • EPRs AQ1 and AQ6 as addressed in ES/CEMP, WEMP and Air Quality Management Sub-plan
	<ul style="list-style-type: none"> • Arboriculture 	<ul style="list-style-type: none"> • EPRs AR1 to AR3 as addressed in ES/CEMP, WEMP and Tree Protection Management Sub-plan
	<ul style="list-style-type: none"> • Business 	<ul style="list-style-type: none"> • EPRs B5, B7 and B8 as addressed as ES/CEMP
	<ul style="list-style-type: none"> • Contamination and Soil 	<ul style="list-style-type: none"> • EPRs CL1, CL2, CL3 and CL5 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Flora and Fauna 	<ul style="list-style-type: none"> • EPRs FF1 to FF3 as addressed in ES/CEMP, WEMP and Flora and Fauna Management Sub-plan
	<ul style="list-style-type: none"> • Historical Heritage 	<ul style="list-style-type: none"> • EPR HH1 as addressed in ES/CEMP
	<ul style="list-style-type: none"> • Land Use Planning 	<ul style="list-style-type: none"> • EPR LP1 to LP3, and LP5 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Landscape and visual 	<ul style="list-style-type: none"> • EPRs LV2 to LV4 and as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Noise and vibration 	<ul style="list-style-type: none"> • EPRs NV3, NV4, NV5, NV8 and NV9, NV14 and NV15 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Social and Community 	<ul style="list-style-type: none"> • EPRs SC1, SC3, SC4, and SC7 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Surface water 	<ul style="list-style-type: none"> • EPRs SW1, SW3, SW4, and SW5 as addressed in ES/CEMP, WEMP and Surface Water Management Sub-plan



Date of audit	EMF/EPRs	Criteria
	<ul style="list-style-type: none"> • Sustainability and Climate Change 	<ul style="list-style-type: none"> • EPRs SCC4 and SCC5 as addressed in ES/CEMP and WEMP
	<ul style="list-style-type: none"> • Traffic and Transport 	<ul style="list-style-type: none"> • EPRs T2 and T4 as addressed in ES/CEMP and WEMP, Traffic and Transport Management Sub-plan

3 Audit Findings

Program activities were considered to be compliant with the EMF and EPRs audited across the reporting period, with the exception of six (6) Major NCs identified, which were assessed as either high, medium or low risk, and 21 Minor NCs, which were assessed as either medium, low or very low risk. In addition, 11 OFIs were identified during the five (5) compliance audits conducted during the reporting period. Table 3.1 summarises the audit findings during the reporting period with respect to the compliance status of Program activities with the EMF and EPRs.

Table 3.1 Compliance status of Program activities with EMF and EPRs during reporting period

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
EMF and EMF EPRs	<ul style="list-style-type: none"> EPRs EMF1 – 4 Environment Strategy CEMP CEMP – Element 11 WEMPs – across all locations visited CCPs – across all construction compounds visited Complaints and incidents 	Compliant	<ul style="list-style-type: none"> EPRs EMF1 – 4 ES/CEMP WEMPs – across all locations visited CCPs – across all construction compounds visited Complaints and incidents 	One (1) Major NC and one (1) Minor NC Two (2) OFIs	<ul style="list-style-type: none"> EPRs EMF1 – 4 CEMP/ES WEMP Complaints and incidents Permit and approvals etc 	Two (2) Minor NCs	<ul style="list-style-type: none"> EPRs EMF1 to EMF4 CEMP/ES CCP WEMP Complaints and incidents Permit and approvals etc 	One (1) Minor NC
Aboriginal Heritage	<ul style="list-style-type: none"> EPR AH1 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPR AH1 as addressed in CEMP/ES and WEMP 	One (1) Major NC and one (1) Minor NC	<ul style="list-style-type: none"> EPR AH1 as addressed in ES/CEMP and WEMP 	Compliant
Air Quality	<ul style="list-style-type: none"> EPR AQ1 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in ES/CEMP, WEMP and Dust 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in CEMP/ES, WEMP and Air 	Compliant	<ul style="list-style-type: none"> EPRs AQ1 and AQ6 as addressed in ES/CEMP, WEMP and Air 	One (1) Minor NC

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
			and Air Quality Management Plan (DAQMP)		Quality Management Sub-plan		Quality Management Sub-plan	
Arboriculture	<ul style="list-style-type: none"> EPR AR2 Tree Protection Plan Master Tree Database 	One (1) Major NC and one (1) Minor NC	<ul style="list-style-type: none"> EPRs AR1 and AR2 as addressed in ES/CEMP, WEMP, Tree Removal Plan (TRP) and Tree Protection Plan (TPP) 	Three (3) Minor NCs	<ul style="list-style-type: none"> EPA AR1 to AR3 as addressed in CEMP/ES and WEMP 	Two (2) Minor NCs	<ul style="list-style-type: none"> EPRs AR1 to AR3 as addressed in ES/CEMP, WEMP and Tree Protection Management Sub-plan 	One (1) Minor NC
Business	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs B5 to B8 as addressed in ES/CEMP and WEMP 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs B5, B7 and B8 as addressed as ES/CEMP 	Compliant
Contamination and Soil	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs CL1 to CL5 as addressed in ES/CEMP, WEMP, and Spoil Management Plan 	One (1) Major NC	<ul style="list-style-type: none"> EPRs CL1, CL2, CL3 and CL5 as addressed in ES/CEMP and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs CL1, CL2, CL3 and CL5 as addressed in ES/CEMP and WEMP 	Compliant
Flora and Fauna	<ul style="list-style-type: none"> EPRs FF1 to FF10 CEMP Flora and Fauna Sub-plan 	Compliant	<ul style="list-style-type: none"> EPR FF1 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs FF1 to FF3, and FF5 as addressed in CEMP/ES and WEMP 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs FF1 to FF3 as addressed in ES/CEMP, WEMP and Flora and Fauna Management Sub-plan 	Compliant
Ground Movement	<ul style="list-style-type: none"> EPRs GM1 to GM4 Ground Movement Management Plan 	Two (2) Minor NCs	Not audited during the reporting period		Not audited during the reporting period		Not audited during the reporting period	
Groundwater	<ul style="list-style-type: none"> EPRs GW1 to GW4 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs GW1, GW4 and GW5 	Compliant	Not audited during the reporting period	

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
	<ul style="list-style-type: none"> Groundwater management Plan (GWMP) – YEMS Groundwater management Plan (GWMP) – across all locations visited 				addressed in CEMP/ES and WEMP			
Historical Heritage	<ul style="list-style-type: none"> EPRs HH1 to HH5 Archaeological Management Plan 	Compliant	Not audited during the reporting period		Not audited during the reporting period		<ul style="list-style-type: none"> EPR HH1 as addressed in ES/CEMP 	Compliant
Land Use Planning	<ul style="list-style-type: none"> EPRs LP1 to LP4 	Compliant	Not audited during the reporting period		Not audited during the reporting period		<ul style="list-style-type: none"> EPR LP1 to LP3, and LP5 as addressed in ES/CEMP and WEMP 	Compliant
Landscape and visual	<ul style="list-style-type: none"> EPRs LV1 – LV4 Urban Design and Landscape Plans (UDLPs) – across all sites visited 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPRs LV1 to LV4 and as addressed in CEMP/ES and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs LV2 to LV4 and as addressed in ES/CEMP and WEMP 	Compliant
Noise and Vibration	<ul style="list-style-type: none"> EPR NV4 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs NV3 to NV5, NV8 and NV9 as addressed in ES/CEMP, WEMP and Construction Noise and Vibration and Management Plan (CNVMP) 	Compliant	<ul style="list-style-type: none"> EPRs NV1, NV3, NV4, NV5, NV8 and NV9, NV10, and NV14 as addressed in CEMP/ES and WEMP 	Two (2) Major NCs	<ul style="list-style-type: none"> EPRs NV3, NV4, NV5, NV8 and NV9, NV14 and NV15 as addressed in ES/CEMP and WEMP 	Compliant
Social and Community	<ul style="list-style-type: none"> EPRs SC1, SC2 and SC4 to SC8 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> Compliant 	Compliant	<ul style="list-style-type: none"> EPRs SC1, SC3, SC4, and SC7 as addressed in 	Compliant

EMF/EPR topic	CPB		MTM		Service Stream		SAGE Automation	
	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status	Criteria audited during reporting period	Compliance Status
	<ul style="list-style-type: none"> Communications and Community Engagement Plan 						ES/CEMP and WEMP	
Surface Water	<ul style="list-style-type: none"> EPR SW5 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs SW1, SW3, SW4, SW5, SW6, SW7, SW10 and SW13 as addressed in ES/CEMP, WEMP and Surface Water (including Flood Emergency) Management Plan (SWMP) 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs SW1 to SW15 as addressed in CEMP/ES and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs SW1, SW3, SW4, and SW5 as addressed in ES/CEMP, WEMP and Surface Water Management Sub-plan 	One (1) Minor NC
Sustainability and Climate Change	<ul style="list-style-type: none"> EPR SCC2 Project Scope and Requirements (PSR) Sustainability Management Plan 	Compliant and one (1) OFI	<ul style="list-style-type: none"> EPRs SCC1, SCC2 and SCC5 as addressed in ES/CEMP, WEMP and Sustainability Management Plan 	One (1) Minor NC and two (2) OFIs	<ul style="list-style-type: none"> EPRs SCC1, SCC2, and SCC4 as addressed in CEMP/ES and WEMP 	Compliant	<ul style="list-style-type: none"> EPRs SCC4 and SCC5 as addressed in ES/CEMP and WEMP 	Compliant
Traffic and Transport	<ul style="list-style-type: none"> EPRs T3 and T5 	Compliant	Not audited during the reporting period		<ul style="list-style-type: none"> EPR T2 as addressed in CEMP/ES and WEMP 	One (1) Minor NC	<ul style="list-style-type: none"> EPRs T2 and T4 as addressed in ES/CEMP and WEMP, Traffic and Transport Management Sub-plan 	Two (2) OFIs

No repeating findings were identified. Repeat findings comprise those which had been identified in previous audits but had not been fully addressed when assessed in the subsequent audit and were therefore included as a finding within the subsequent audit.

Further description of the compliance audit findings with respect to the EMF and EPRs during the reporting period is provided in Sections 3.1 and 3.2 respectively. The six (6) Major NCs and 21 Minor NCs identified during the IEA's compliance audits conducted across the reporting period are summarised in Section 3 of this report (Note: only the number of OFIs identified, rather than any details, are summarised). A summary of the status of corrective actions in relation to non-compliances during this reporting period can be found in Section 4, Table 4.1. Section 5 also provides further detail on overall compliance.

3.1 Environmental Management Framework

The requirements of the EMF have been implemented by both Managing Contractors (i.e. both CPB and MTM) through the preparation and implementation of Program-specific environmental management plans (specified within the EMF and its associated EPRs), as outlined in Figure 1.2. These plans have been reviewed and verified by the IEA and accepted by the NELP and, in some cases, approved by the Minister for Planning (i.e. CCPs) where this was required by the EMF and the terms of the Incorporated Document.

IEA auditing of the EMF requirements during the reporting period focussed on assessment of compliance with the Managing Contractors Program-specific environmental management plans, including against the Environmental Strategy, CEMP, WEMPs, CCPs and other plans required by the EPRs.

Non-compliances with the EMF were not identified during the reporting period other than those identified against the specific EPR topics in Section 3.2, including against the environmental management EPRs.

3.2 Environmental Performance Requirements

3.2.1 Environmental Management (EMF)

Program activities were audited against all Environmental Management EPRs (EPRs EMF1 to EMF4) during the reporting period.

Four (4) findings were identified during the audit of the works being delivered by MTM. Two (2) findings were categorised OFIs. One (1) finding was categorised a Major NC associated with one instance of a non-compliance with the verification process for documents. The risk associated with this finding was assessed as high. One (1) finding was a Minor NC regarding weekly inspections. The risk associated with this finding was assessed as medium.

Two (2) Minor NCs were associated with the works being delivered by Service Stream, relating to induction requirements and non-conformance registers. The risk associated with these findings was assessed as low and very low respectively.

One (1) Minor NC was identified with the works being delivered by SAGE Automation, associated with environmental inspections. The risk associated with this finding was assessed as very low.

3.2.2 Aboriginal Heritage (AH)

Program activities were audited against the Aboriginal Heritage EPR (EPR AH1) during the reporting period.

Two (2) findings were associated with the works being delivered by Service Stream. One (1) finding was categorised as a Major NC associated with protective fencing required prior to works being undertaken within a trigger zone identified in the approved CHMP. One (1) finding was identified as a Minor NC associated with the availability of the CHMP to all subcontracted site workers. The risk associated with these findings was assessed as low.

3.2.3 Air Quality (AQ)

Program activities were audited against two (2) of the Air Quality EPRs (EPR AQ1 and AQ6) during the reporting period.

One (1) OFI was identified during the audit of CPB's activities.

One (1) Minor NC associated with the construction haulage vehicle fleet was identified during the audit of the works being delivered by MTM. The risk associated with this finding was assessed as low.

One (1) Minor NC associated with having adequate water supply onsite for dust suppression was identified during the audit of the works being delivered by SAGE Automation. The risk associated with this finding was assessed as low.

3.2.4 Arboriculture (AR)

Program activities were audited against all Arboriculture EPRs (EPR AR1 to AR3) during the reporting period.

Two (2) Minor NCs associated with sign-off of TPZ fencing and installation of signage were identified during the audit of the works being delivered by Service Stream. The risk associated with these findings was assessed as very low.

Two (2) findings were identified during the audit of the works being conducted by CPB. One (1) Major NC was associated with the requirement for monitoring trees (June 2023 audit). The risk associated with this finding was assessed as medium. One (1) Minor NC was associated with TPZ fencing (February 2023 audit). The risk associated with this finding was assessed as low.

One (1) Minor NC associated with tree protection requirements was identified during the audit of the works being delivered by SAGE Automation. The risk associated with this finding was assessed as low.

Three (3) Minor NCs identified during the audit of the rail advance works being delivered by MTM were associated with:

- Encroachment into TPZs. The risk associated with this finding was assessed as low.
- Mitigating arboriculture risks. The risk associated with this finding was assessed as medium.
- Training of on-site personnel. The risk associated with this finding was assessed as medium.

3.2.5 Business (B)

Program activities were audited against Business EPRs B5 to B8 during the reporting period and were considered by the IEA to be compliant, with no non-compliances or OFIs identified.

3.2.6 Contamination and Soil (CL)

Program activities were audited against all the Contamination and Soil EPRs applicable to the NELEW (EPR CL1 to CL5) during the reporting period.

One (1) Major NC associated with storage of reportable priority waste was identified during the audit of the works being delivered by MTM. The risk associated with this finding was assessed as medium.

3.2.7 Flora and Fauna (FF)

Program activities were audited against all the Flora and Fauna EPRs (EPRs FF1 to FF10) during the reporting period.

One (1) Minor NC associated with no-go fencing was identified during the audit of the works being delivered by MTM. The risk associated with this finding was assessed as medium.

One (1) OFI associated with MTM's activities was identified.

3.2.8 Ground Movement (GM)

Program activities were audited against all the Ground Movement EPRs (EPRs GM1 to GM4) during the reporting period.

Two (2) Minor NCs associated with the Dilapidation Report and ground movement monitoring were identified during the February 2023 audit of the works being delivered by CPB. The risk associated with these findings was assessed as low.

3.2.9 Groundwater (GW)

Program activities were audited against the Groundwater EPRs (EPRs GW1 to GW5) during the reporting period and were considered by the IEA to be compliant, with no non-compliances or OFIs identified.

3.2.10 Historical Heritage (HH)

Program activities were audited against the Historical Heritage EPRs (EPRs HH1 to HH5) during the reporting period and were considered by the IEA to be compliant, with no non-compliances or OFIs identified.

3.2.11 Land Use Planning (LP)

Program activities were audited against the Land Use Planning EPRs applicable to the NELEW (EPRs LP1 to LP5) during the reporting period and were considered by the IEA to be compliant, with no non-compliances or OFIs identified.

3.2.12 Landscape and Visual (LV)

Program activities were audited against all the Landscape and Visual EPRs (EPR LV1 to LV4) and considered by the IEA to be compliant, with no non-compliances or OFIs identified.

3.2.13 Noise and Vibration (NV)

Program activities were audited against nine (9) of the Noise and Vibration EPRs relevant to the NELEW (EPRs NV1, NV3 to NV5, NV8 to NV10, NV14 and NV15) during the reporting period.

Two (2) Major NCs associated with construction hours and unavoidable works were identified during the audit of the works being delivered by Service Stream. The risk associated with these findings were assessed as low.

One (1) OFI associated with works undertaken by CPB was identified.

3.2.14 Social and Community (SC)

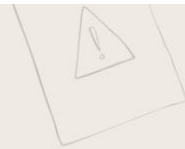
Program activities were audited against all the Social and Community EPRs (EPRs SC1 to SC8) during the reporting period and considered by the IEA to be compliant, with no non-compliances or OFIs identified.

3.2.15 Surface Water (SW)

Program activities were audited against all the Surface Water EPRs relevant to the NELEW (EPRs SW1 to SW15) during the reporting period.

One (1) Minor NC associated with uncovered excavations was identified during the audit of the works being conducted by MTM. The risk associated with this finding was assessed as very low.

One (1) Minor NC associated with surface water monitoring was identified during the audit of the works being delivered by SAGE Automation. The risk associated with this finding were assessed as very low.



One (1) OFI associated with CPB's NELEW activities was identified during the February 2023 compliance audit.

3.2.16 Sustainability and Climate Change (SCC)

Program activities were audited against the four (4) of the Sustainability and Climate Change EPRs relevant to the NELEW (EPRs SCC1, SCC2, SCC4, SCC5) during the reporting period.

Three (3) findings were identified during the audit of the works being conducted by MTM. One (1) finding was a Minor NC associated with base case assumptions. The risk associated with this finding was assessed as very low. Two (2) findings were categorised OFIs.

One (1) OFI associated with CPB's activities was identified.

3.2.17 Traffic and Transport (TT)

Program activities were audited against four (4) Traffic and Transport EPRs (EPRs T2 to T5) during the reporting period.

One (1) Minor NC associated with signage and barrier flagging of shared pathways was identified during the audit of the works being conducted by Service Stream. The risk associated with this finding was assessed as low.

Two (2) OFIs were identified during the audit of the works being conducted by SAGE Automation.

4 Corrective Actions

Corrective actions have been undertaken by NELP, CPB, MTM, Service Stream and SAGE Automation to close 32 findings identified by the compliance audits conducted during the reporting period.

The status of corrective actions undertaken by NELP, CPB, MTM, Service Stream and SAGE Automation to address the findings arising from the IEA compliance audits is summarised in Table 4.1.

Table 4.1 Status of corrective actions

Previous audit	Corrective actions assessed	Status of corrective actions
9 February 2023	March and April 2023	<p>Upon review of evidence provided by Service Stream in March and April 2023, the IEA considered that eight (8) of the 10 findings identified during the February 2023 compliance audit had been closed.</p> <p>Two (2) findings were considered to remain open, comprising</p> <ul style="list-style-type: none"> • One (1) Minor NC associated with WEMP inductions; and • One (1) Minor NC associated with having access to a CHMP on site.
16 to 17 February 2023	June 2023	<p>Upon review of evidence provided by CPB in June 2023, the IEA considered that all six (6) findings identified during the February 2023 compliance audit had been closed.</p>
13 to 14 April 2023	July, August and September 2023	<p>Upon review of evidence provided by MTM between July and September 2023, the IEA considered that all of the 14 findings identified during the April 2023 compliance audit had been closed.</p>
13, 16 and 21 June 2023	July and August 2023	<p>Upon review of evidence provided by CPB and NELP in July and August 2023, the IEA considered that two (2) findings identified during the June 2023 compliance audit are considered to remain open, comprising:</p> <p>The two (2) findings were considered to remaining open or partially open, comprising</p> <ul style="list-style-type: none"> • One (1) Major NC associated with the requirement for monitoring trees (partially open) ^(Note 1); and • One (1) OFI associated with project sustainability targets^(Note 2).
13 July 2023	August 2023	<p>Upon review of evidence provided by SAGE Automation in August 2023, the IEA considered that all six (6) findings identified during the July 2023 compliance audit had been closed.</p>

Note 1: The post-construction tree monitoring program proposed by NELP and required of EPR AR2 has been assessed by the arboricultural SME for the IEA as meeting the EPR requirements. Implementation of the post-construction monitoring program required of EPR AR2 for a three-year period following completion of construction works, for trees subject to protection in locations where construction is complete, has not yet commenced. NELP propose to commence the post-construction monitoring program in 2024 once design of the Freeway Packages and Tunnel Package is complete. In the interim, the IEA understands that NELP will require trees subject to ongoing protection to be monitored and protected by the managing contractor in that area of works.

Note 2: The timing for availability of key data to demonstrate attainment of project sustainability targets does not enable closure of this finding by either the IEA or NELP, however the IEA's subject matter specialist auditor for sustainability considers that the available data trend shows that NELP is on a trajectory to be able to meet the requirement.

5 Overall Compliance

Over the reporting period, compliance with the EMF and 92 EPRs (out of the 96 EPRs applicable to the NELEW and that have been triggered by works completed to date) have been assessed by the IEA through conducting five (5) compliance audits (covering CPB's construction activities in February 2023 and June 2023, MTM's activities in April 2023, Service Stream's activities in February 2023, and SAGE Automation's activities in July 2023) and review of evidence provided by CPB, MTM, Service Stream and Sage Automation to close-out findings arising from these audits.

The Managing Contractor for the majority of the NELEW, CPB and the Managing Contractor for the rail advance works of NELEW (MTM), Optus Tower M80 relocation (Service Stream) and B17 Communication Hut construction (SAGE Automation), have addressed the requirements of the EMF through the preparation and implementation of Program-specific environmental management plans (specified within the EMF and its associated EPRs).

CPB's, MTM's, Service Stream's and SAGE Automation's Program activities were considered by the IEA to comply with the EMF and the 92 EPRs audited during the reporting period, with the exception of six (6) Major NCs and 21 Minor NCs identified.

Rather than being a total lack of implementation of the EPRs, the Major NCs tended to be attributed to instances of non-compliance associated with implementation of certain monitoring procedures and physical controls.

Similarly, the Minor NCs tended to be associated with instances of non-compliance associated with fulfilling the requirements of Program specific environmental management plans and therefore findings were assigned to the EPRs requiring the preparation and implementation of these plans.

In addition, 11 OFIs were identified across the reporting period.

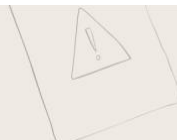
MTM and SAGE Automation have closed-out to the satisfaction of the IEA, the findings associated with the two audits of their project activities during the six-monthly summary reporting period.

Service Stream has closed all findings associated with the IEA audit of its project activity excepting two (2) Minor NCs associated with WEMP induction content, and demonstrating access to the project CHMP on site, respectively. Service Stream works were a short duration and were completed prior to drafting of the IEA six-monthly summary report. A response to close these two remaining open Minor NCs has not been received by the IEA, however the risk associated with these two findings is not considered to pose a risk of ongoing impact, as works are complete and both findings were administrative non-compliances rather than issues detected on-ground.

CPB has closed all findings associated with its two project activity audits excepting one (1) Major NC associated with the post-construction monitoring program required of EPR AR2 which the IEA understands will be fully implemented in early 2024, and one (1) OFI associated with sustainability targets, the timing of which does not enable closure by either the IEA or NELP. The IEA's subject matter specialist auditor for sustainability considers that the available data trend shows that NELP is on a trajectory to be able to meet the requirement.

Given the contractors responsiveness in closing out findings identified during the reporting period and taking the context of the findings into consideration, the IEA does not consider the Major NC, Minor NC or the OFI audit findings to represent systemic issues, nor present ongoing material risks to the environment.

Appendices



A Audit Limitations

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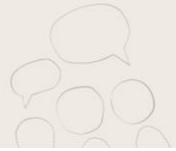
B EPRs Audited

EPR Code	Environmental Performance Requirement	Relevant to NELEW	Reporting period audited (in Year 3 of audit program)
1. Environmental Management (EMF)			
EMF1	Deliver project in general accordance with an Environmental Management System		Aug 22 – Jan 23 Feb 23 – Jul 23
EMF2	Deliver project in accordance with an Environmental Strategy and Management Plans		Aug 22 – Jan 23 Feb 23 – Jul 23
EMF3	Audit and report on environmental compliance		Aug 22 – Jan 23 Feb 23 – Jul 23
EMF4	Complaints Management System		Aug 22 – Jan 23 Feb 23 – Jul 23
2. Aboriginal Heritage (AH)			
AH1	Comply with the Cultural Heritage Management Plan		Aug 22 – Jan 23 Feb 23 – Jul 23
3. Air Quality (AQ)			
AQ1	Implement a Dust and Air Quality Management and Monitoring Plan to minimise air quality impacts during construction		Aug 22 – Jan 23 Feb 23 – Jul 23
AQ2	Design tunnel ventilation system to meet EPA requirements for air quality	N/A	
AQ3	In-tunnel air quality performance standards	N/A	
AQ4	Monitor ambient air quality	N/A	
AQ5	Monitor compliance of in-tunnel air quality and ventilation structure emissions	N/A	
AQ6	Construction Haulage Vehicle Fleet		Aug 22 – Jan 23 Feb 23 – Jul 23
4. Arboriculture (AR)			
AR1	Develop and implement a Tree Removal Plan		Aug 22 – Jan 23 Feb 23 – Jul 23
AR2	Implement a Tree Protection Plan(s) to protect trees to be retained		Aug 22 – Jan 23 Feb 23 – Jul 23
AR3	Implement a Tree Canopy Replacement Plan		Aug 22 – Jan 23 Feb 23 – Jul 23
5. Business (B)			
B1	Business disruption mitigation plan		Aug 22 – Jan 23
B2	Business Relocation Strategy		Aug 22 – Jan 23
B3	Employee Assistance Strategy		Aug 22 – Jan 23
B4	Minimise disruption to businesses from land acquisition and temporary occupation		Aug 22 – Jan 23
B5	Minimise and remedy damage or impacts on third party property and infrastructure		Aug 22 – Jan 23 Feb 23 – Jul 23
B6	Minimise access and amenity impacts on businesses		Aug 22 – Jan 23 Feb 23 – Jul 23
B7	Protect utility assets		Aug 22 – Jan 23 Feb 23 – Jul 23
B8	Business liaison groups		Aug 22 – Jan 23 Feb 23 – Jul 23

6. Contamination and soil (CL)		
CL1	Implement a Spoil Management Plan	Aug 22 – Jan 23 Feb 23 – Jul 23
CL2	Minimise impacts from disturbance of acid sulfate soil	Aug 22 – Jan 23 Feb 23 – Jul 23
CL3	Minimise odour impacts during spoil management	Aug 22 – Jan 23 Feb 23 – Jul 23
CL4	Minimise risks from vapour and ground gas intrusion	Aug 22 – Jan 23 Feb 23 – Jul 23
CL5	Manage chemicals, fuels and hazardous materials	Aug 22 – Jan 23 Feb 23 – Jul 23
CL6	Minimise contamination risks during operation	N/A
7. Flora and Fauna (FF)		
FF1	Avoid and minimise impacts on fauna and flora	Aug 22 – Jan 23 Feb 23 – Jul 23
FF2	Minimise and offset native vegetation removal	Aug 22 – Jan 23 Feb 23 – Jul 23
FF3	Avoid introduction or spread of weeds and pathogens	Aug 22 – Jan 23 Feb 23 – Jul 23
FF4	Protect aquatic habitat	Aug 22 – Jan 23 Feb 23 – Jul 23
FF5	Obtain Flora and Fauna Guarantee Act 1988 permits	Aug 22 – Jan 23 Feb 23 – Jul 23
FF6	Implement a Groundwater Dependent Ecosystem Monitoring and Mitigation Plan	Feb 23 – Jul 23
FF7	Implement a salvage and translocation plan for Matted Flax-lily	Aug 22 – Jan 23 Feb 23 – Jul 23
FF8	Minimise intense noise and vibration impacts on Australian Grayling	Feb 23 – Jul 23
FF9	Protect fauna habitat values in existing waterbodies that are modified for drainage purposes	Feb 23 – Jul 23
FF10	Studley Park Gum Mitigation	Feb 23 – Jul 23
8. Ground Movement (GM)		
GM1	Design and construction to be informed by a geotechnical model and assessment	Feb 23 – Jul 23
GM2	Implement a Ground Movement Plan to manage ground movement impacts	Feb 23 – Jul 23
GM3	Carry out Condition surveys for potentially affected property and infrastructure	Feb 23 – Jul 23
GM4	Rectify damage to properties and assets impacted by ground movement or settlement	Feb 23 – Jul 23
9. Groundwater (GW)		
GW1	Design and construction to be informed by a groundwater model	Feb 23 – Jul 23
GW2	Monitor groundwater	Feb 23 – Jul 23
GW3	Minimise changes to groundwater levels through tunnel and trench drainage design and construction methods	Feb 23 – Jul 23
GW4	Implement a Groundwater Management Plan to Protect groundwater quality and manage groundwater interception	Feb 23 – Jul 23
GW5	Manage groundwater during operation	N/A
10. Historical Heritage (HH)		
HH1	Design and construct to minimise impacts on heritage	Feb 23 – Jul 23
HH2	Implement an Archaeological Management Plan to avoid and minimise impacts on historic archaeological sites and values	Feb 23 – Jul 23
HH3	Monitor condition of heritage sites	Feb 23 – Jul 23

HH4	Undertake archival photographic recording		Feb 23 – Jul 23
HH5	Minimise impacts on heritage trees		Feb 23 – Jul 23
11. Land Use Planning (LP)			
LP1	Minimise land use impacts		Feb 23 – Jul 23
LP2	Minimise impacts from location of new services and utilities		Feb 23 – Jul 23
LP3	Minimise inconsistency with strategic land use plans		Feb 23 – Jul 23
LP4	Minimise overshadowing from noise walls and elevated structures and overlooking from elevated structures		Feb 23 – Jul 23
LP5	Open Space Replacement	N/A	Feb 23 – Jul 23
12. Landscape and Visual (LV)			
LV1	Design to be in accordance with the Urban Design Strategy		Feb 23 – Jul 23
LV2	Minimise landscape impacts during construction		Feb 23 – Jul 23
LV3	Minimise construction lighting impacts		Aug 22 – Jan 23 Feb 23 – Jul 23
LV4	Minimise operation lighting impacts		Feb 23 – Jul 23
13. Noise and Vibration (NV)			
NV1	Achieve traffic noise objectives	*see note	*see note
NV2	Monitor traffic noise	N/A	
NV3	Minimise construction noise impacts to sensitive receptors		Aug 22 – Jan 23 Feb 23 – Jul 23
NV4	Implement a Construction Noise and Vibration Management Plan (CNVMP) to manage noise and vibration impacts		Aug 22 – Jan 23 Feb 23 – Jul 23
NV5	Establish vibration guidelines to protect utility assets		Aug 22 – Jan 23 Feb 23 – Jul 23
NV6	Design permanent tunnel ventilation system and relevant fixed infrastructure to meet EPA requirements for noise	N/A	
NV7	Monitor noise from tunnel ventilation system and relevant fixed infrastructure	N/A	
NV8	Minimise construction vibration impacts on amenity		Aug 22 – Jan 23 Feb 23 – Jul 23
NV9	Minimise construction vibration impacts on structures		Aug 22 – Jan 23 Feb 23 – Jul 23
NV10	Minimise impacts from ground-borne (internal) noise		Aug 22 – Jan 23 Feb 23 – Jul 23
NV11	Minimise amenity impacts from blast vibration		Aug 22 – Jan 23
NV12	Minimise amenity impacts from blast overpressure		Aug 22 – Jan 23
NV13	Noise mitigation – noise walls		Aug 22 – Jan 23
NV14	Reduce impacts from engine brake noise		Aug 22 – Jan 23 Feb 23 – Jul 23
NV15	Noise at public open space and school recreation grounds		Aug 22 – Jan 23 Feb 23 – Jul 23
NV16	Monitoring of Ongoing performance of operational traffic noise mitigation measures	N/A	
14. Social and Community (SC)			
SC1	Reduce community disruption and adverse amenity impacts		Aug 22 – Jan 23 Feb 23 – Jul 23
SC2	Manage impacts of land acquisition and occupation		Feb 23 – Jul 23
SC3	Implement a Communications and Community Engagement Plan		Aug 22 – Jan 23 Feb 23 – Jul 23

SC4	Participate in the Community Liaison Group		Aug 22 – Jan 23 Feb 23 – Jul 23
SC5	Minimise impacts of displacement of formal active recreation facilities		Feb 23 – Jul 23
SC6	Minimise impacts on formal active recreation and other facilities		Feb 23 – Jul 23
SC7	Implement a Community Involvement and Participation Plan (CIPP)		Feb 23 – Jul 23
SC8	Implement a voluntary purchase scheme for residential properties		Feb 23 – Jul 23
15. Surface Water (SW)			
SW 1	Discharges and runoff to meet State Environment Protection Policy (Waters)		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 2	Design and implement spill containment	N/A ^	
SW 3	Wastewater discharges to be minimised and approved		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 4	Monitor water quality		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 5	Implement a Surface Water Management Plan during construction		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 6	Minimise risk from changes to flood levels, flows and velocities		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 7	Develop flood emergency management plans		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 8	Minimise impacts from waterway modifications		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 9	Maintain bank stability		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 10	Provide for access to Melbourne Water and other drainage assets		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 11	Adopt Water Sensitive Urban and Road Design		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 12	Minimise impacts on irrigation of sporting fields		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 13	Consider climate change effects		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 14	Meet existing water quality treatment performance		Aug 22 – Jan 23 Feb 23 – Jul 23
SW 15	Water Sensitive Urban Design asset transfer strategy		Aug 22 – Jan 23 Feb 23 – Jul 23
16. Sustainability and Climate Change (SCC)			
SCC1	Implement a Sustainability Management Plan		Aug 22 – Jan 23 Feb 23 – Jul 23
SCC2	Minimise greenhouse gas emissions		Aug 22 – Jan 23 Feb 23 – Jul 23
SCC3	Apply best practice measures for energy usage for tunnel ventilation and lighting systems	N/A	
SCC4	Minimise and appropriately manage waste		Aug 22 – Jan 23 Feb 23 – Jul 23
SCC5	Minimise potable water consumption		Aug 22 – Jan 23 Feb 23 – Jul 23
17. Traffic and Transport (TT)			
T1	Optimise design performance		Aug 22 – Jan 23
T2	Transport Management Plan(s) (TMP)		Aug 22 – Jan 23 Feb 23 – Jul 23



T3	Transport Management Liaison Group	Aug 22 – Jan 23 Feb 23 – Jul 23
T4	Road safety design	Aug 22 – Jan 23 Feb 23 – Jul 23
T5	Traffic monitoring	Aug 22 – Jan 23 Feb 23 – Jul 23

* Note: these EPRs are relevant to NELEW but have not yet been triggered by the works completed to date

^ It was determined during the November 2021 CPB compliance audit that SW2 was not relevant to NELEW as it relates to freeway pavements