

**nation  
partners**

SOLUTIONS  
FOR COMPLEX  
PROJECTS

**North East Link Early Works  
Independent Environmental  
Auditor**

**Six-Monthly Summary Report:  
August 2020 to January 2021**

**for Submission to the Minister  
for Planning**

**5 March 2021**

**North East Link Project**

**REPORT**

Certified



Corporation

**We help solve complex  
problems for projects**

We believe that well-planned and targeted advice can help shape a project that is not only better developed, but is delivered more effectively, with greater acceptance and positive outcomes.

Nation Partners isn't your regular consulting firm. A certified B Corporation, we attract and develop the brightest thinkers and take an active part in shaping the world.

With expertise in projects in the government, transport, water, property and urban development sectors, we provide a suite of services aptly tailored to each client and project at hand.

---

Document title

NELEW IEA Six-monthly Summary Report – August 2020 to January 2021

---

Version

1.2

---

Date

March 2021

---

File name

NP18124 NELEW IEA Six-monthly Summary Report – August 2020 to January 2021

---

**Nation Partners Pty Ltd**

ABN 96 166 861 892

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

Suite 108, 50 Holt St  
Surry Hills NSW 2010

☎ 1300 876 976

✉ [info@nationpartners.com.au](mailto:info@nationpartners.com.au)

💻 [nationpartners.com.au](http://nationpartners.com.au)

**COPYRIGHT:** The concepts and information contained in this document are the property of Nation Partners Pty Ltd. Use or copying of this document in whole or in part without the written permission of Nation Partners constitutes an infringement of copyright

## Table of Contents

|   |           |
|---|-----------|
| <b>NELEW IEA: Six-monthly Summary Report – August 2020 to January 2021</b>          | <b>4</b>  |
| <b>Executive Summary</b>  | <b>4</b>  |
| Introduction and overview   | 4         |
| Audit activities  | 4         |
| Overall compliance  | 5         |
| <b>Glossary of Terms and Abbreviations</b>  | <b>6</b>  |
| <b>1. Introduction</b>  | <b>8</b>  |
| <b>1.1 Purpose of this Report</b>   | <b>8</b>  |
| <b>1.2 Project Overview</b>   | <b>8</b>  |
| 1.2.1 North East Link   | 8         |
| 1.2.2 North East Link Early Works   | 8         |
| 1.2.3 Planning and Environmental Approvals  | 10        |
| 1.2.4 Environmental Management Framework and Environmental Performance Requirements | 10        |
| <b>1.3 Role of the IEA</b>  | <b>11</b> |
| <b>1.4 Report Structure</b>   | <b>12</b> |
| <b>2. Audit Activities</b>  | <b>14</b> |
| <b>2.1 IEA Compliance Audit Program</b>   | <b>14</b> |
| 2.1.1 Objective   | 14        |
| 2.1.2 Scope   | 14        |
| 2.1.3 Audit duration and team   | 15        |
| 2.1.4 Approach  | 15        |
| 2.1.5 Audit finding categories and reporting  | 16        |
| <b>2.2 Audit activities – August 2020 to January 2021</b>                           | <b>16</b> |
| 2.2.1 Site Visits   | 17        |
| 2.2.2 Criteria  | 17        |
| <b>3. Audit Findings</b>  | <b>19</b> |
| <b>3.1 Environmental Management Framework</b>                                       | <b>19</b> |
| <b>3.2 Environmental Performance Requirements</b>                                   | <b>19</b> |
| 3.2.1 Environmental Management (EMF)  | 19        |
| 3.2.2 Aboriginal Heritage (AH)  | 20        |

|           |   |           |
|-----------|---|-----------|
| 3.2.3     | Air Quality (AQ)                        | 20        |
| 3.2.4     | Arboriculture (AR)                      | 20        |
| 3.2.5     | Business (B)                            | 21        |
| 3.2.6     | Contamination and Soil (CL)             | 21        |
| 3.2.7     | Flora and Fauna (FF)                    | 21        |
| 3.2.8     | Ground Movement (GM)                    | 22        |
| 3.2.9     | Groundwater (GW)                        | 22        |
| 3.2.10    | Historical Heritage (HH)                | 22        |
| 3.2.11    | Land Use Planning (LP)                  | 22        |
| 3.2.12    | Landscape and Visual (LV)               | 22        |
| 3.2.13    | Noise and Vibration (NV)                | 22        |
| 3.2.14    | Social and Community (SC)               | 22        |
| 3.2.15    | Surface Water (SW)                      | 23        |
| 3.2.16    | Sustainability and Climate Change (SCC) | 23        |
| 3.2.17    | Traffic and Transport (TT)              | 23        |
| <b>4.</b> | <b>Corrective Actions</b>               | <b>24</b> |
| <b>5.</b> | <b>Overall Compliance</b>               | <b>26</b> |
|           | <b>Appendix A: Audit Limitations</b>    | <b>27</b> |
|           | <b>Appendix B: EPRs Audited</b>         | <b>29</b> |

# NELEW IEA: Six-monthly Summary Report – August 2020 to January 2021



## Executive Summary

### Introduction and overview

This document presents the Six-Monthly Summary Report for the North East Link (NEL) project (the Project), and specifically for the North East Link Early Works (NELEW), for the period August 2020 to January 2021 inclusive. This report provides a summary of the compliance status with respect to the Environmental Management Framework (EMF) and Environmental Performance Requirements (EPRs) for the reporting period.

The Project 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 NEL Early Works (NELEW) is the first package of works for the Project. It comprises the relocation of around 100 above and underground services (i.e. power, gas, telecommunications, water and sewerage etc) so major construction of the NEL can start from 2021.

As a requirement of Section 2 of the Environmental Management Framework (EMF) for the North East Link (NEL) project (the Project) 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 Project activities to assess compliance with the Environmental Management Framework (EMF), Environmental Performance Requirements (EPRs), Environmental Strategy, Construction Environmental Management Plan (CEMP), Worksite Environmental Management Plans (WEMPs), Construction Compound Plans (CCPs), and approval conditions. It should be noted that not all requirements of the EMF nor the EPRs are applicable to delivery of the NELEW (101 of the 110 EPRs are applicable to the NELEW).

The majority of the NELEW is being delivered by CPB Contractors Pty Ltd (CPB) (the Managing Contractor or contractor for the NELEW), with the exception of a new power substation near Blamey Road being constructed by Jemena Electricity Networks (Vic) Ltd (Jemena).

Pursuant to the EMF, Nation Partners Pty Ltd (Nation Partners) has been engaged as the Independent Environmental Auditor (IEA) for the NELEW by CPB, on behalf of the North East Link Project (NELP).

### Audit activities

Across the reporting period (August 2020 to January 2021 inclusive), the IEA has conducted 2 Compliance Audits on a quarterly basis, assessing Project activities associated with the NELEW. The audits have been conducted using a risk-based approach, in accordance with AS/NZS ISO 19011 *Guidelines for auditing management systems* (Note: the standard in place at the time of the NELEW is AS/NZS ISO 19011:2019, which has been applied by the IEA accordingly). This risk-based approach has been applied to determine the scope of each audit with respect to the locations subject to site visits and criteria to be assessed.

Each audit assessed compliance of CPB's construction activities with the EMF, relevant EPRs and conditions of Project approvals, and the IEA reviewed and verified (and NELP accepted) Environmental

Strategy, CEMP, WEMPs, CCPs and other plans as required by the EPRs and as relevant to the scope of the audit.

The audits were conducted in August 2020 and November 2020. In January and early February 2021, the IEA also reviewed evidence associated with corrective actions undertaken by CPB to address the findings arising from the November 2020 IEA Compliance Audit.

Sites visited as part of the Compliance Audits across the reporting period included: Borlase Precinct; Simpson Barracks; and, Binnak Park. These sites were selected as they provided a representative sample of the locations in which CPB's construction activities were being undertaken at the time of the audits and were in 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.

The criteria assessed as part of the Compliance Audits conducted in the reporting period covered EMF Sections 2 to 7 and 53 EPRs (as relevant to the NELEW). The 53 EPRs assessed included EPRs from the following EPR topics: EMF; Aboriginal heritage; arboriculture; air quality; contamination and soil; flora and fauna; noise and vibration; social and community; surface water; and, sustainability and climate change. In addition, corrective actions from previous audits were also assessed.

The findings arising from each Compliance Audit were categorised in accordance with the following:

- **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 (MNC)** - applied where the evidence demonstrated that the criteria had been partially met, and at present did not fully meet the relevant Project Contract requirement.
- **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 Project Contract requirement is not being met.

Corrective actions to address Compliance Audit findings were determined, implemented and tracked to closure by CPB, with the IEA assessing the closure of actions upon the next compliance audit.

## Overall compliance

In general, CPB's Project activities are considered to comply with the EMF.

Across the reporting period, 46 audit findings were identified against the EPRs, 4 of which were considered to represent Major NCs and 32 MNCs. The remaining findings were OFIs. Rather than being a total lack of implementation of the EPRs, the non-compliant findings identified tended to be associated either with isolated instances of non-compliance or with partial compliance with the requirements of Project specific environmental management plans. By extension, the non-compliant findings were associated with the EPRs requiring the preparation and implementation of these plans.

CPB has addressed and closed-out, to the satisfaction of the IEA, all of the Major NCs and all but one of the MNCs identified during the reporting period.

Given CPB's response in closing out findings identified during the reporting period and taking the context of the findings into consideration, the IEA does not consider the audit findings to represent systemic issues or present significant or material ongoing risks to the environment.

## Glossary of Terms and Abbreviations

| Abbreviation | Expanded form                                |
|--------------|--|
| <b>CCP</b>   | Construction Compound Plan                   |
| <b>CEMP</b>  | Construction Environmental Management Plan   |
| <b>CPB</b>   | CPB Contractors Pty Ltd                      |
| <b>EES</b>   | Environment Effects Statement                |
| <b>EMF</b>   | Environmental Management Framework           |
| <b>EPR</b>   | Environmental Performance Requirement        |
| <b>EW</b>    | Early Works                                  |
| <b>FTE</b>   | full-time equivalent                         |
| <b>IEA</b>   | Independent Environmental Auditor            |
| <b>MTIA</b>  | The Major Transport Infrastructure Authority |
| <b>NEL</b>   | North East Link                              |
| <b>NELEW</b> | North East Link Early Works                  |
| <b>NELP</b>  | North East Link Project (NELP)               |
| <b>WEMP</b>  | Worksite Environmental Management Plan       |

| Term  | Description   |
|---|---|
| <b>Incorporated Document</b>                    | The North East Link Project Incorporated Document, December 2019.   |
| <b>Independent Environmental Auditor</b>        | 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. |
| <b>Major Transport Infrastructure Authority</b> | The Major Transport Infrastructure Authority (MTIA) is the proponent for the Project. The MTIA is an administrative office within the Victorian Department of Transport with responsibility for overseeing major transport projects.                            |
| <b>Managing Contractor or contractor</b>        | Contractor managing a package of works associated with the North East Link project. For the NELEW, the Managing Contractor is CPB Contractors Pty Ltd (CPB) (unless otherwise specified).   |

|                                       |  |
|---------------------------------------|--|
| <b>Project or North East Link</b>     | The North East Link project approved under the Incorporated Document.  |
| <b>NELEW</b>                          | North East Link Early Works (NELEW) is the first package of works for the Project, comprising the design development and potential modification, relocation and/or protection of utility services which will be impacted, or are in close proximity to the main North East Link works.               |
| <b>North East Link Project (NELP)</b> | North East Link Project (NELP) is an organisation within MTIA that is responsible for developing and delivering the Project. NELP was formerly known as the North East Link Authority prior to 1 January 2019. NELP is responsible for delivering the Project 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 (Project), and specifically for the North East Link Early Works (NELEW), for the period August 2020 to January 2021 inclusive.**

## 1.1 Purpose of this Report

As required by Section 2 of the Environmental Management Framework (EMF) approved by the Minister for Planning, the Independent Environmental Auditor (IEA) must prepare six-monthly summary reports as to compliance with the Environmental Management Framework (EMF) and Environmental Performance Requirements (EPRs), which the North East Link Project (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 from August 2020 to January 2021.

Pursuant to the EMF for NELEW, the Independent Environmental Auditor (IEA), Nation Partners Pty Ltd (Nation Partners) has been engaged by CPB Contractors Pty Ltd (CPB) (the Managing Contractor or contractor for the NELEW), on behalf of the North East Link Project (NELP).

## 1.2 Project Overview

### 1.2.1 North East Link

The North East Link (NEL) project (the Project) 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. It includes upgrades to the Eastern Freeway, a dedicated busway, more than 25 kilometres of new and upgraded cycling and walking paths, and improvements to community facilities including local sports grounds.

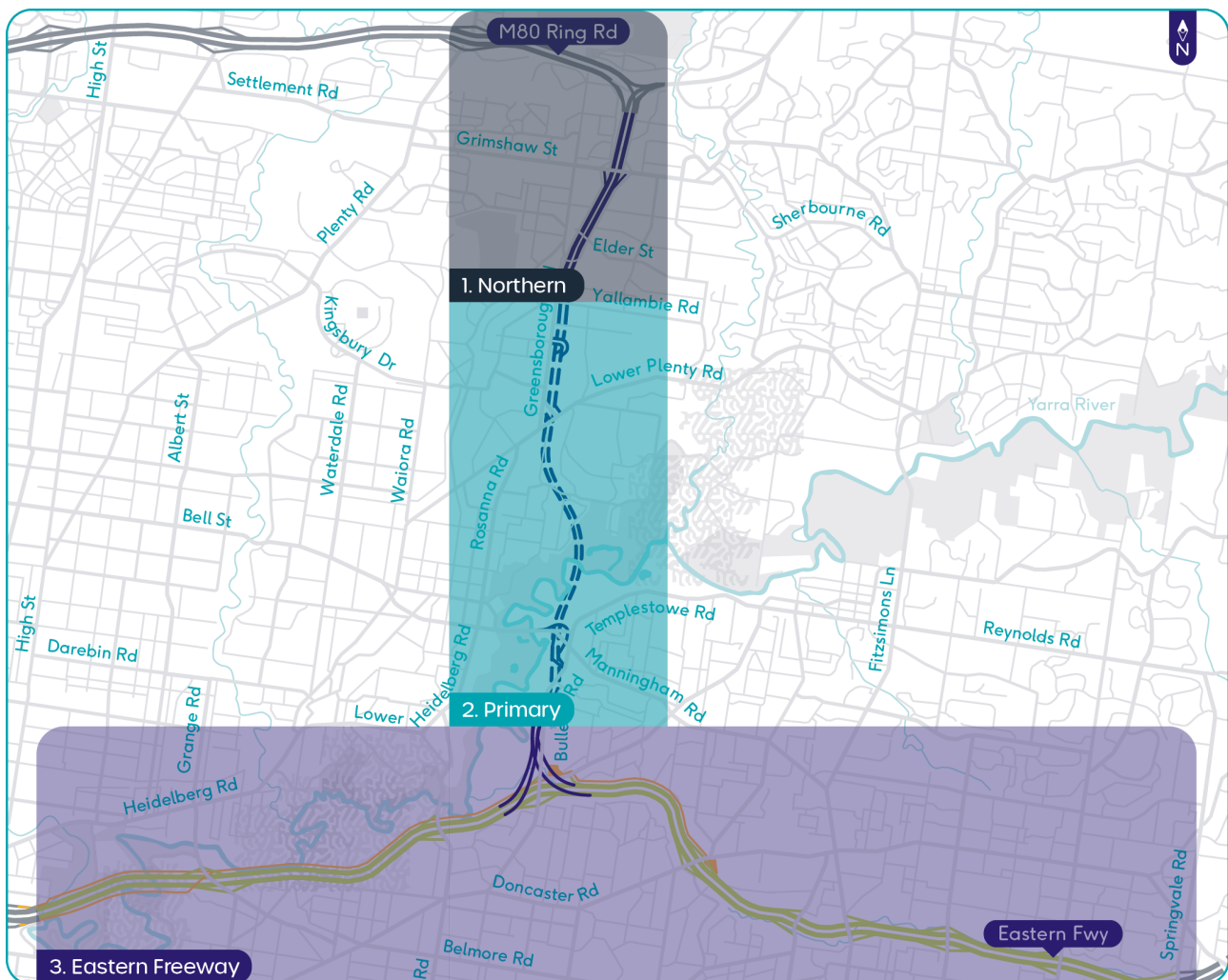
### 1.2.2 North East Link Early Works

The NELEW is the first package of works for the Project. It comprises the relocation of around 100 above and underground services such that major construction of the NEL can start from 2021.

The NELEW is being undertaken across:

- the north-east of the Project area, from the M80 Ring Road and Greensborough Bypass through to Greensborough Road and Lower Plenty Road intersection; and,
- the south of the Project 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 NEL main works, as illustrated in Figure 1.



**Figure 1: NELEW Scope and Location**

Key NELEW activities include the following:

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

- **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.

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.

The majority of the NELEW is being delivered by CPB Contractors Pty Ltd (CPB), although a new power substation near Blamey Road is being constructed by Jemena Electricity Networks (Vic) Ltd (Jemena). It should be noted that not all of the activities listed in this section had commenced at the time of the reporting period.

### 1.2.3 Planning and Environmental Approvals

NELP prepared an Environment Effects Statement (EES) for the Project 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 Project under the *Environment Protection and Biodiversity Conservation Act 1999* (Cwth) 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 Project. The delivery of the Project 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 Project contract with CPB requires it 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 Project 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 was approved by the Minister for Planning in January 2020, is to provide a transparent framework to manage the environmental effects of the Project 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 Project and, with respect to

environmental management for the Project 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 Environmental Performance Requirements (EPRs) in the development and delivery (including operation) of the Project. The EPRs are a suite of 110 performance-based environmental standards and outcomes that apply to the design, construction and operation of the Project.

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 Project or, in general terms, associated with design and delivery of the twin tunnels. Taking this into consideration, 101 EPRs in total are applicable to the NELEW.

The contractor has 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

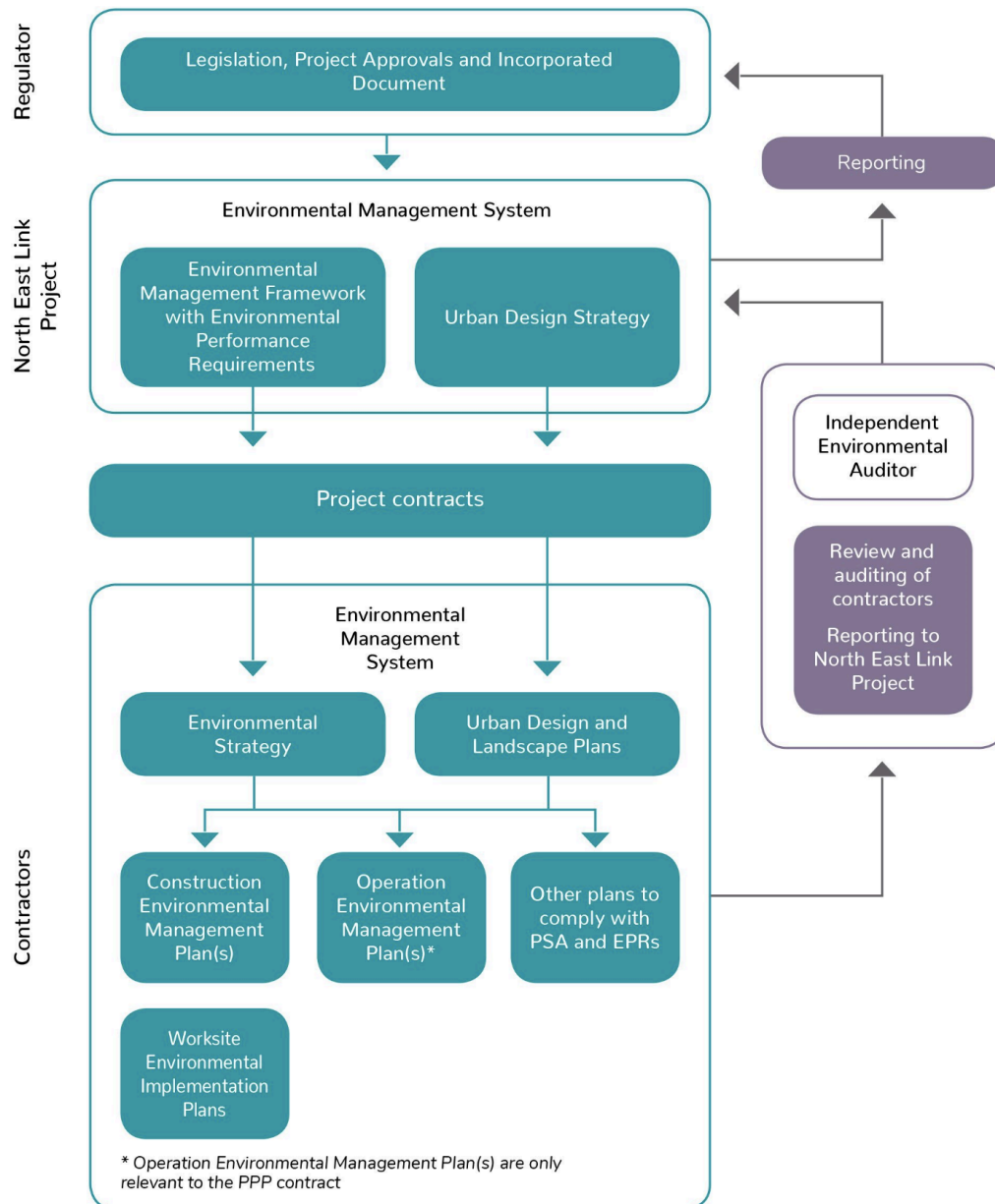
As required by Section 2 of the EMF, an IEA has been engaged for the NELEW to:

- 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 Project contract including the EMF and EPRs, conditions of Project approvals, and are in general accordance with the approved Urban Design Strategy; and,
- conduct audits to assess compliance with the EMF, relevant EPRs, Environmental Strategy, CEMP, WEMPs, CCPs, other plans as required by the EPRs and conditions of Project 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 the IEA's role within the framework of environmental documentation developed and implemented to control and manage the Project is presented in Figure 2.

Nation Partners has been engaged as the IEA for the NELEW, pursuant to the EMF approved by the Minister for Planning.



**Figure 2: Key environmental management documentation (extract from *Environmental Management Framework*, January 2020)**

## 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 between August 2020 and January 2021, are summarised below:

### 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 Project activities associated with the NELEW. This Compliance Audit Program has been developed, and the audits conducted, in accordance with AS/NZS ISO 19011 *Guidelines for auditing management systems* (Note: the standard in place at the time of the NELEW is AS/NZS ISO 19011:2019, which has been applied by the IEA accordingly).

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 the contractor's compliance with the EMF, relevant EPRs, Environmental Strategy, CEMP, WEMPs, CCPs, other plans as required by the EPRs and conditions of Project approvals (referred to as the Project 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 the Managing Contractor.

To determine the scope and criteria of each Compliance Audit, 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 CPB with respect to potential risks associated with the Project at the time the audit was due to be conducted;
- current activities and operations; 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, CPB and the IEA. These meetings were typically convened approximately 2 months following the previous audit and one month before the next Compliance Audit.

Each Compliance Audit did not involve an exhaustive assessment against every requirement as a risk-based approach was adopted in accordance with the risk management guidance, although the audit program has been developed to ensure that higher risk activities are audited more frequently and that compliance with all EPRs (as applicable to the NELEW) will be audited at least once on an annual basis (refer to Appendix B for details of EPRs audited to date).

In addition, not all of the locations in which CPB's Project (i.e. construction) activities were being undertaken were necessarily subject to site visits as part of each audit. A risk-based approach was also applied to locations subject to site visits during each Compliance Audit. This approach seeks to undertake site visits to:

- a representative sample of the locations in which CPB's construction activities were being undertaken at the time of the audit; and,
- 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 etc).

The scope of each quarterly Compliance Audit was developed to the satisfaction of NELP.

### 2.1.3 Audit duration and team

Each Compliance Audit comprised 2 days on-site and involved an audit team consisting of 3 full-time equivalents (FTE).

Each team comprised a Lead Auditor, Auditor and specialist Auditor(s) (e.g. acoustician, arborist, urban design specialist, sustainability specialist etc). In accordance with AS/NZS ISO 19011:2019, the audit team was selected based on the competence needed to achieve the audit objectives, taking into account 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 CPB 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 CPB audience and included an introduction to those involved in the audit, including both the IEA audit team and CPB personnel (i.e. auditees).
- **document review** - a key part of each Compliance Audit involved review of appropriate documentation to determine if those project activities subject to the assessment met the Project 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 subject area being assessed.
- **site visits/walkovers** – information and evidence was also gathered during comprehensive visits to project sites, which involved observations made during site walkovers.
- **exit briefing** – at the completion of each Compliance Audit, the audit team provided feedback to NELP and CPB 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' 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 a qualitative scale was applied to categorise audit findings in accordance with Table 1.

**Table 1: Audit Finding Categories**

| Categories                               | Definition  |
|--|---|
| <b>Compliant</b>                         | The evidence demonstrated that the criteria under consideration had been met.   |
| <b>Opportunity for Improvement (OFI)</b> | 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.                         |
| <b>Minor Non-compliance (MNC)</b>        | The evidence demonstrated that the criteria had been partially met, and at present did not fully meet the relevant Project Contract requirement.  |
| <b>Major Non-compliance (Major NC)</b>   | 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 Project Contract requirement is not being met. |

Corrective actions were determined, implemented and tracked to closure by CPB, with the IEA assessing the closure of actions upon the next compliance audit.

## 2.2 Audit activities – August 2020 to January 2021

During the reporting period, the IEA conducted 2, quarterly Compliance Audits assessing compliance of CPB's Project (i.e. construction) activities with the EMF, EPRs, Environmental Strategy, CEMP, WEMPs, CCPs, and approval conditions. The Compliance Audits were conducted on the following dates:

- 19 and 20 August 2020 - due to Covid-19 restrictions in force at the time of this audit (Stage 4 Lockdown), this audit comprised 'virtual' site visits (i.e. CPB personnel visited the sites and conferenced the Audit Team) and document review and personnel interviews were all undertaken through conferencing facilities; and,
- 18 and 19 November 2020.

In addition, in January and February 2021, the IEA reviewed evidence associated with the corrective actions undertaken by CPB to address the findings arising from the previous IEA Compliance Audit in November 2020 (Note: evidence associated with the corrective actions undertaken by CPB to address the findings arising from the August 2020 Compliance Audit was reviewed as part of the November 2020 Compliance Audit).

The scope of each Compliance Audit, with respect to the locations subject to site visits and the criteria assessed during each audit, were as follows:

### 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.

**Table 2: Compliance Audit site visits during reporting period**

| Date of audit           | Site visits   |
|-------------------------|---|
| 19 and 20 August 2020   | <ul style="list-style-type: none"> <li>Borlase Precinct, Macleod/Yallambie/Rosanna/Viewbank</li> <li>Simpson Barracks, Yallambie</li> </ul>   |
| 18 and 19 November 2020 | <ul style="list-style-type: none"> <li>Borlase Precinct, Macleod/Yallambie/Rosanna/Viewbank</li> <li>Simpson Barracks, Yallambie</li> <li>Binnak Park, Watsonia North/Bundoora, as a location representative of the sports facilities upgrades work, which also includes Ford Park</li> </ul> |

### 2.2.2 Criteria

The criteria assessed as part of the Compliance Audits conducted in the reporting period covered EMF Sections 2 to 7 and 53 EPRs, as relevant to the NELEW (refer to Table 3 for details).

**Table 3: Criteria assessed during reporting period**

| Date of audit         | EMF/EPRs   | Criteria  |
|-----------------------|--|---|
| 19 and 20 August 2020 | <ul style="list-style-type: none"> <li>EMF and EMF EPRs (EMF Sections 2 to 7 and EPRs EMF 2, EMF3 and EMF4 and LV2)</li> </ul> | <ul style="list-style-type: none"> <li>CEMP, WEMPs – across all locations</li> <li>CCP – Borlase Construction Compound</li> </ul>   |
|                       | <ul style="list-style-type: none"> <li>Aboriginal Heritage (EPR AH1)</li> </ul>  | <ul style="list-style-type: none"> <li>Cultural Heritage Management Plan (CHMP) – River Gum Walk (south of Lower Plenty Rd)</li> </ul>                                      |
|                       | <ul style="list-style-type: none"> <li>Air Quality (EPRs AQ1 and AQ6)</li> </ul>   | <ul style="list-style-type: none"> <li>Dust and Air Quality Management and Monitoring Plan, in particular dust management - across all locations.</li> </ul>                |
|                       | <ul style="list-style-type: none"> <li>Contamination and Soil (EPRs CL1 to CL5)</li> </ul>                                     | <ul style="list-style-type: none"> <li>Spoil Management Plan, including spoil movement associated with the APA gas pipeline scope of work - across all locations</li> </ul> |
|                       | <ul style="list-style-type: none"> <li>Flora and Fauna (EPRs FF1 to FF5, FF7 and FF10)</li> </ul>                              | <ul style="list-style-type: none"> <li>Flora and Fauna sub-plan</li> </ul>  |
|                       | <ul style="list-style-type: none"> <li>Noise and vibration (EPRs NV3, NV4, NV5, NV8, NV9, NV10 and NV14)</li> </ul>            | <ul style="list-style-type: none"> <li>Construction Noise and Vibration Management Plan (CNVMP), focusing on noise - across all locations</li> </ul>                        |
|                       | <ul style="list-style-type: none"> <li>Social and Community (EPRs SC1 to SC6)</li> </ul>                                       | <ul style="list-style-type: none"> <li>CCEP - across all locations</li> </ul>   |
|                       | <ul style="list-style-type: none"> <li>Surface Water (EPRs SW1, SW3 to SW10 and SW12 to SW14)</li> </ul>                       | <ul style="list-style-type: none"> <li>Surface Water Management Plan and Flood Emergency Management Plan – Borlase Precinct (in particular Borlase Reserve)</li> </ul>      |

| Date of audit           | EMF/EPRs   | Criteria   |
|-------------------------|--|--|
| 18 and 19 November 2020 | <ul style="list-style-type: none"> <li>Sustainability and Climate Change (EPRs SCC1, SCC2, SCC4 and SCC5)</li> </ul>           | <ul style="list-style-type: none"> <li>Sustainability Management Plan, including EPR AQ6 Construction Haulage Vehicle Fleet – across all locations</li> </ul>          |
|                         | <ul style="list-style-type: none"> <li>Corrective actions</li> </ul>   | <ul style="list-style-type: none"> <li>review corrective actions implemented to address findings arising from previous audits</li> </ul>                               |
|                         | <ul style="list-style-type: none"> <li>EMF and EMF EPRs (EMF Sections 2 to 7 and EPRs EMF 2, EMF3 and EMF4 and LV2)</li> </ul> | <ul style="list-style-type: none"> <li>CEMP, WEMPs – across all locations</li> <li>CCP – Borlase Construction Compound</li> </ul>                                      |
|                         | <ul style="list-style-type: none"> <li>Aboriginal Heritage (EPR AH1)</li> </ul>  | <ul style="list-style-type: none"> <li>CHMP – River Gum Walk (south of Lower Plenty Rd)</li> </ul>   |
|                         | <ul style="list-style-type: none"> <li>Arboriculture (EPRs AR1, AR2 and AR3)</li> </ul>  | <ul style="list-style-type: none"> <li>Tree Removal Plan and Tree Protection Plan - across all locations.</li> </ul>   |
|                         | <ul style="list-style-type: none"> <li>Contamination and Soil (EPRs CL1 to CL5)</li> </ul>                                     | <ul style="list-style-type: none"> <li>Spoil Management Plan - across all locations</li> </ul>   |
|                         | <ul style="list-style-type: none"> <li>Flora and Fauna (EPRs FF1 to FF5, FF7 and FF10)</li> </ul>                              | <ul style="list-style-type: none"> <li>Flora and Fauna sub-plan</li> </ul>   |
|                         | <ul style="list-style-type: none"> <li>Noise and vibration (EPRs NV3, NV4, NV5, NV8, NV9, NV10 and NV14)</li> </ul>            | <ul style="list-style-type: none"> <li>CNVMP, focusing on noise - across all locations</li> </ul>  |
|                         | <ul style="list-style-type: none"> <li>Surface Water (EPRs SW1, SW3 to SW10 and SW12 to SW14)</li> </ul>                       | <ul style="list-style-type: none"> <li>Surface Water Management Plan and Flood Emergency Management Plan – Borlase Precinct (in particular Borlase Reserve)</li> </ul> |

## 3. Audit Findings



Overall, 46 findings were identified by the Compliance Audits conducted during the reporting period, comprising the following:

- 4 Major NCs;
- 32 MNCs; and,
- 10 OFIs.

The August 2020 Compliance Audit identified 23 findings, and the November 2020 Compliance Audit also identified 23 findings, 3 of which comprised repeat findings. These repeat findings had previously been identified in the August Compliance Audit but had not been fully addressed when assessed in the November Compliance Audit, and were therefore included as findings within the November Compliance Audit (refer to *Corrective Actions* for further details).

The key findings (Major NCs and MNCs) arising from the IEA's quarterly Compliance Audits conducted over the August 2020 to January 2021 reporting period are summarised in the sub-sections below.

### 3.1 Environmental Management Framework

The requirements of the EMF have been implemented by the Managing Contractor through the preparation and implementation of Project specific environmental management plans (specified within the EMF and its associated EPRs), as outlined in Figure 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).

IEA auditing of the EMF requirements during the reporting period has focussed on assessment of compliance with CPB's Project specific environmental management plans, including against the CEMP, WEMPs, CCPs and other plans required by the EPRs.

Non-compliances with the EMF have not been 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)

Three environmental management EPRs (EPRs EMF2 to EMF4) were audited during the reporting period.

Nine findings associated with the implementation of requirements arising from the IEA verified and NELP accepted CPB management plans were identified: 6 MNCs; and, 3 OFIs. These findings were associated with the implementation of requirements within the CEMP and other management plans and, by extension, were associated with EPR EMF2.

The MNC findings tended to be associated with administrative and document control requirements and included the following:

- details for 3 permits/approvals held by CPB were not included within CPB's Environmental Obligations register;
- Critical Environmental Risks had been communicated for the Project but were not necessarily displayed in prominent locations as required under the CEMP;
- whilst a number of weekly Environmental Inspections were being conducted, evidence showing that all weekly Environmental Inspections were being conducted was not available;
- one instance of a current version of a WEMP not being maintained on site; and,
- site induction training materials and schedules met the majority of, but not all, management plan requirements.

### 3.2.2 Aboriginal Heritage (AH)

The Aboriginal Heritage EPR (EPR AH1) was audited during the reporting period with no non-compliances or OFIs identified.

### 3.2.3 Air Quality (AQ)

The 2 air quality EPRs applicable to the NELEW (i.e. EPR AQ1 and AQ6) were audited during the reporting period with 2 findings identified, one of which was considered to represent a Major NC, with the other a MNC.

The Major NC resulted from an absence of evidence demonstrating that incentivisation for Euro V heavy vehicles was being provided through the procurement process, as required by EPR AQ6. Whilst this finding was identified as a Major NC, it has subsequently been addressed by CPB (refer to Section 4) and the IEA does not consider it to present a material ongoing environmental risk in the context of the overall Project.

A Travel Plan, required by CPB's Dust and Air Quality Management and Monitoring Plan (DAQMMP), was not in place, which represented a MNC with EPR AQ1.

### 3.2.4 Arboriculture (AR)

The 2 arboriculture EPRs, for which CPB is responsible given its NELEW Project activities (i.e. EPR AR1 and AR2), were audited during the reporting period with 5 findings identified, one of which was considered to represent a Major NC, with the others being MNCs.

The Major NC finding was associated with removal, without following due process, of 2 trees within the Zone Substation area, which were shown on the WEMP to be retained. This represented a Major NC with respect to EPRs AR1 and AR2, given Tree Protection Plan and Tree Removal Plan requirements had not been met (i.e. retention of the trees and removal without following due process). However, one of the trees removed was identified within CPB's Arboricultural Impact Assessment to be of a low retention value (i.e. juvenile tree of a species that is not rare) while the value of the other was considered too insignificant to assess (i.e. contribution in the landscape is of no value or detrimental and is usually associated with small dead or dangerous trees or environmental weeds). Given this appears to be an isolated incident and the low retention value of the trees involved, the IEA does not consider this finding to present a material ongoing environmental risk.

The MNC findings included the following:

- whilst the majority of tree protection zones (TPZ) were observed to be compliant with CPB's Tree Protection Plan requirements, a small number of instances of MNCs were identified including incorrect fencing, pipework stored within a TPZ, and the extent of TPZs not in accordance with that specified;

- evidence to confirm that the project arborist had supervised non-destructive digging (NDD) was not available;
- based on a limited number of measurements undertaken during the audit, canopy loss reporting, as required under EPR AR1, may be underestimating the extent of canopy loss.

### 3.2.5 Business (B)

Business EPRs were not formally assessed during the reporting period.

### 3.2.6 Contamination and Soil (CL)

The 5 contamination and soil EPRs applicable to the NELEW (i.e. EPR CL1 to CL5 inclusive) were audited during the reporting period with 3 MNC findings, including one repeat finding, identified as follows:

- whilst materials tracking documentation provided by CPB's contractors provided appropriate data and allowed tracking of generated wastes, including spoil and contaminated spoil, spoil movements and waste data had not been collated through CPB's Materials Tracking form as required by the Spoil Management Plan (SMP) representing a MNC with EPR CL1. (Note: this MNC was identified in the August 2020 audit, and whilst it had been partly addressed, was also identified as a repeat finding in the November 2020 audit).
- an isolated instance of storage without secondary containment (i.e. empty 25 litre fuel containers, which may have contained residual fuel) representing an MNC with EPR CL5.

### 3.2.7 Flora and Fauna (FF)

Seven flora and fauna EPRs (EPRs FF1 to FF5, FF7 and FF10) were audited during the reporting period with 8 findings identified. These findings comprised one Major NC, 6 MNCs (including one repeat finding) and one OFI.

The Major NC was associated with the implementation of the Kangaroo Management Plan (KMP) and the Kangaroo Operations Plan. In one instance, requiring removal of kangaroos from the work zone, herding operations were not consistent with the procedures in these plans, which require the presence of an ecologist during herding. Whilst procedural requirements had partially been met, given the outcome of the herding resulted in a kangaroo requiring euthanising, this was deemed to represent a Major NC with respect to EPR FF1. This incident has subsequently been investigated by CPB with corrective actions implemented, and with the incident investigation provided to the NELP and DELWP for review. Given the incident has not recurred, the IEA does not consider this finding to present a material ongoing environmental risk.

The MNC findings included the following:

- whilst the majority of No Go Zone (NGZ) and protection zone fencing and flagging was in place to protect ecologically sensitive areas, instances where these did not meet requirements of Project-specific environmental management plans were identified, representing MNC findings with respect to Fauna and Flora EPR FF1 and FF2. These included an NGZ not fully flagged, Matted Flax Lily (MFL) protection zone fencing not fully compliant (e.g. parawebbing was not in place for all MFL protection zones, although sediment fencing and flagging was in place for all zones observed) (Note: this was a repeat finding) and signage not in place on an NGZ provided for trees requiring protection, prior to their relocation;
- a pre-clearance ecology assessment appeared to show that a tree had partially been removed by a contractor without having a fauna handler in place (EPR FF1); and,

- isolated instances of materials being stored outside of dedicated storage locations with the potential to impact vegetation (e.g. mulch and a vehicle trailer) (EPR FF2).

### 3.2.8 Ground Movement (GM)

Ground Movement EPRs were not formally assessed during the reporting period.

### 3.2.9 Groundwater (GW)

Groundwater EPRs were not formally assessed during the reporting period.

### 3.2.10 Historical Heritage (HH)

Historical Heritage EPRs were not formally assessed during the reporting period.

### 3.2.11 Land Use Planning (LP)

Land Use Planning EPRs were not formally assessed during the reporting period.

### 3.2.12 Landscape and Visual (LV)

Landscape and visual EPR LV2, with respect to construction works located, designed and carried out in accordance with a Construction Compound Plan (CCP), was audited during the reporting period with no non-compliances or OFIs identified.

### 3.2.13 Noise and Vibration (NV)

The 7 noise and vibration EPRs applicable to the NELEW (i.e. EPRs NV3, NV4, NV5, NV8, NV9, NV10 and NV14) were audited during the reporting period, with 3 MNC findings and 2 OFIs identified.

The MNC findings were associated with requirements of the Construction Noise and Vibration Monitoring Plan (CNVMP) and included the following:

- noise monitoring, which had been conducted, had not been adjusted for sound characteristics in accordance with noise measurement procedures/methodologies (MNC with EPR NV3) and was not documented within monitoring records (MNC with EPR NV4); and,
- the trigger level on a vibration monitor was set at a higher level than that recommended in the vibration modelling report and the vibration monitor was not located in the optimal position, representing an MNC with EPR NV4.

### 3.2.14 Social and Community (SC)

The 6 social and community EPRs applicable to the NELEW and involve CPB's participation (i.e. EPR SC1 to SC6 inclusive) were audited during the reporting period with 2 MNC findings and one OFI identified.

The MNC findings were associated with CPB's Communications and Community Engagement Plan (CCEP) requirements, representing MNCs with EPR SC3. The findings included the:

- details of mulch arising from tree removals, which is provided to the local community, not being recorded within the waste register; and,
- definition and timing of work periods described within one Community Notification (provided in October 2020) being inconsistent with noise and vibration EPR NV3 (Note: the majority of Community Notifications are consistent with the EPR NV3 definitions).

### 3.2.15 Surface Water (SW)

The 13 surface water EPRs applicable to the NELEW (EPRs SW1 to SW15, excluding SW2 and SW11) were audited during the reporting period with 2 MNCs and one OFI identified.

The MNCs included an isolated case of silt fencing in need of repair and maintenance (the majority of silt fencing observed was installed and maintained appropriately) and an update required to the NELEW surface water monitoring register (the register was otherwise up-to-date).

### 3.2.16 Sustainability and Climate Change (SCC)

The 4 sustainability and climate change EPRs applicable to the NELEW (EPRs SCC1, SCC2, SCC4 and SCC5) were audited during the reporting period with 8 findings identified. These findings comprised one Major NC (includes a repeat finding previously considered an MNC), 5 MNCs and 2 OFIs.

The Major NC was associated with no evidence being available to confirm that CPB has been conducting its own internal audits as required to meet its Sustainability Management Plan requirements and, by extension, EPR SCC1. This had previously been identified as a MNC during the August audit, but as it had not been addressed upon the November audit, its category was raised to a Major NC. Given the small scale of sustainability issues associated with the NELEW compared with those associated with the overall Project, the IEA does not consider this finding to present a significant or material ongoing environmental risk.

The MNCs were associated with CPB's Sustainability Management Plan and CEMP Energy and GHG Sub-Plan requirements, representing MNCs with EPR SCC1 and SCC2 respectively. The findings included:

- the Sustainability Management Plan not reflecting the proposed approach to achieve the minimum Infrastructure Sustainability (IS) Rating of 74 rating;
- there was no evidence that formal processes for developing appropriate design responses in the early stages of design nor that the Sustainability Performance Specifications had been developed;
- the coordination of ongoing awareness sessions could not be demonstrated; and,
- the CEMP Energy and Greenhouse Gas (GHG) Sub-Plan did not reflect CPB's approach to energy data collection for the NELEW and there was ambiguity on the approach to collecting this data to inform the achievement of SCC2.

### 3.2.17 Traffic and Transport (TT)

Traffic and Transport EPRs were not formally assessed during the reporting period.

## 4. Corrective Actions

Corrective actions have been undertaken by CPB to close the majority of the findings that were identified by the Compliance Audits conducted during the reporting period. The IEA considered 45 findings out of 46 to have been actioned and closed upon review of evidence provided by CPB in November 2020 (i.e. to address findings identified in the August 2020 audit) and January and February 2021 (i.e. to address findings identified in the November 2020 audit). This includes all 4 of the Major NCs, 31 of the MNCs, and consideration by CPB to address all 10 of the OFIs identified during the reporting period.

Consequently, one MNC finding is considered by the IEA to remain open at the end of the reporting period.

The status of corrective actions undertaken by CPB to address the findings arising from the IEA Compliance Audits is summarised in Table 4:

**Table 4: Status of corrective actions**

| Previous audit        | Corrective actions assessed | Status of corrective actions   |
|-----------------------|-----------------------------|--|
| 19 and 20 August 2020 | 18 and 19 November 2020     | <p>Upon review of evidence during the November 2020 Compliance Audit, the IEA considered that 20 of the 23 findings identified during the August 2020 Compliance Audit had been closed.</p> <p>This included closure of the single Major NC identified during the August 2020 audit, which was associated with EPR AQ6 to provide incentives for contractors and subcontractors to preferentially select on-road heavy vehicles for haulage that comply, at a minimum with the Euro V European emission standards.</p> <p>Three findings were considered to remain open and were included as repeat findings within the November Compliance Audit. These findings included:</p> <ul style="list-style-type: none"> <li>• MNC with respect to Contamination and Soil EPR CL1. Whilst 'closure' evidence, showed appropriate tracking data was collated by CPB's contractors, tracking forms were still not being used in accordance with CPB's Spoil Management Plan;</li> <li>• MNC with respect to Fauna and Flora EPR FF2. While flagging and sediment fencing was in place for all Matted Flax Lily (MFL) protection zones during both audits, parawebbing was not in place for all MFL protection zones during the August Compliance Audit and had still not been provided for a small number of MFL protection zones as required by the WEMP.</li> <li>• MNC (August Compliance Audit) with respect to Sustainability and Climate Change EPR SCC1. Evidence was not available to the IEA during either the August or November Compliance Audits to demonstrate that sustainability audits were occurring in accordance with the monitoring and auditing schedule within CPB's Sustainability Management Plan. Given the ongoing nature of this finding, the compliance status of this finding was raised to a Major NC in the November Compliance Audit.</li> </ul> |

| Previous audit          | Corrective actions assessed    | Status of corrective actions   |
|-------------------------|--------------------------------|--|
| 18 and 19 November 2020 | 25 January and 2 February 2021 | <p>Upon review of evidence provided by CPB in January and February 2021, the IEA considered that 22 of the 23 findings identified during the November 2020 Compliance Audit had been closed.</p> <p>One finding was considered to remain open, comprising a MNC with respect to canopy loss reporting, as required under EPR AR1, which may be underestimating the extent of canopy loss.</p> <p>The closure of this finding will be further assessed during the next quarterly IEA Compliance Audit, scheduled for February 2021.</p> |

## 5. Overall Compliance

Over the reporting period compliance with the EMF and 53 EPRs, out of the 101 EPRs applicable to the NELEW, has been assessed by the IEA through the conduct of 2 Compliance Audits (in August 2020 and November 2020) and review of evidence provided by CPB to close-out findings arising from these audits.

The Managing Contractor for the NELEW, CPB, has addressed the requirements of the EMF through the preparation and implementation of Project specific environmental management plans (specified within the EMF and its associated EPRs). In general, CPB's Project activities are considered to comply with the EMF.

The audit activities conducted during the reporting period identified 46 findings against the EPRs, 4 of which were considered to represent Major NCs and 32 MNCs in accordance with the qualitative audit finding categories. The remaining findings were OFIs. Rather than being a total lack of implementation of the EPRs, the Major NCs and MNCs tended to be associated with isolated instances of non-compliance or partial compliance, for the latter, with the requirements of Project specific environmental management plans. By extension, these represented non-compliances with the EPRs that required the preparation and implementation of these plans.

CPB has addressed and closed-out, to the satisfaction of the IEA, all of the Major NCs and all but one of the MNCs identified during the reporting period.

Given CPB's response in closing out findings identified during the reporting period and taking the context of the findings into consideration, the IEA does not consider the audit findings to represent systemic issues or present significant or material ongoing risks to the environment.

## Appendix A: Audit Limitations

Nation Partners produces technical and advisory documents in the course of providing its services, which includes this document.

The contents of this document and any related findings reflect industry practice based on information available to Nation Partners at the time of creation and the scope of services, methodologies, and resources to which this document relates. Nation Partners has also relied upon information provided by the recipient and, except as expressly provided, has not carried out any separate verification of such information provided.

This document is therefore innately limited in respect of such available information and the scope of related services and resources, as well as a result of inherent uncertainties that exist in relation to environmental conditions that relate to any information in this document (if applicable).

This document must be read in its entirety and must not be copied, distributed or referred to in part only, and no excerpts are to be taken as representative of the findings.

Nation Partners does not represent or warrant that this document contains all requisite information needed to determine a future course of action, to guarantee results, and/or to achieve a particular outcome. The interpretation, application and general use of the information contained in this document, including by any third party that the recipient shares it with, is at the recipient's own risk.

This document has been prepared for the exclusive use of the North East Link Project and the Minister for Planning, and Nation Partners accepts no liability or responsibility for any use or reliance on this document by any other third party.

## Appendix B: EPRs Audited

| EPR Code                                 | Environmental Performance Requirement   | Relevant to NELEW | Reporting period audited |
|--|---|-------------------|--------------------------|
| <b>1. Environmental Management (EMF)</b> |   |                   |                          |
| EMF1                                     | Deliver project in general accordance with an Environmental Management System                                       |                   |                          |
| EMF2                                     | Deliver project in accordance with an Environmental Strategy and Management Plans                                   |                   | Aug 20 – Jan 21          |
| EMF3                                     | Audit and report on environmental compliance  |                   | Aug 20 – Jan 21          |
| EMF4                                     | Complaints Management System  |                   | Aug 20 – Jan 21          |
| <b>2. Aboriginal Heritage (AH)</b>       |   |                   |                          |
| AH1                                      | Comply with the Cultural Heritage Management Plan   |                   | Aug 20 – Jan 21          |
| <b>3. Air Quality (AQ)</b>               |   |                   |                          |
| AQ1                                      | Implement a Dust and Air Quality Management and Monitoring Plan to minimise air quality impacts during construction |                   | Aug 20 – Jan 21          |
| 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   |                   |                          |
| AQ5                                      | Monitor compliance of in-tunnel air quality and ventilation structure emissions                                     | N/A               |                          |
| AQ6                                      | Construction Haulage Vehicle Fleet  |                   | Aug 20 – Jan 21          |
| <b>4. Arboriculture (AR)</b>             |   |                   |                          |
| AR1                                      | Develop and implement a Tree Removal Plan   |                   | Aug 20 – Jan 21          |
| AR2                                      | Implement a Tree Protection Plan(s) to protect trees to be retained   |                   | Aug 20 – Jan 21          |
| AR3                                      | Implement a Tree Canopy Replacement Plan  |                   | Aug 20 – Jan 21          |
| <b>5. Business (B)</b>                   |   |                   |                          |
| B1                                       | Business disruption mitigation plan   |                   |                          |
| B2                                       | Business Relocation Strategy  |                   |                          |
| B3                                       | Employee Assistance Strategy  |                   |                          |
| B4                                       | Minimise disruption to businesses from land acquisition and temporary occupation                                    |                   |                          |
| B5                                       | Minimise and remedy damage or impacts on third party property and infrastructure                                    |                   |                          |
| B6                                       | Minimise access and amenity impacts on businesses   |                   |                          |
| B7                                       | Protect utility assets  |                   |                          |
| B8                                       | Business liaison groups   |                   |                          |
| <b>6. Contamination and soil (CL)</b>    |   |                   |                          |
| CL1                                      | Implement a Spoil Management Plan   |                   | Aug 20 – Jan 21          |
| CL2                                      | Minimise impacts from disturbance of acid sulfate soil  |                   | Aug 20 – Jan 21          |

| EPR Code                            | Environmental Performance Requirement   | Relevant to NELEW | Reporting period audited |
|-------------------------------------|---|-------------------|--------------------------|
| CL3                                 | Minimise odour impacts during spoil management  |                   | Aug 20 – Jan 21          |
| CL4                                 | Minimise risks from vapour and ground gas intrusion   |                   | Aug 20 – Jan 21          |
| CL5                                 | Manage chemicals, fuels and hazardous materials   |                   | Aug 20 – Jan 21          |
| CL6                                 | Minimise contamination risks during operation   | N/A               |                          |
| <b>7. Flora and Fauna (FF)</b>      |   |                   |                          |
| FF1                                 | Avoid and minimise impacts on fauna and flora   |                   | Aug 20 – Jan 21          |
| FF2                                 | Minimise and offset native vegetation removal   |                   | Aug 20 – Jan 21          |
| FF3                                 | Avoid introduction or spread of weeds and pathogens   |                   | Aug 20 – Jan 21          |
| FF4                                 | Protect aquatic habitat   |                   | Aug 20 – Jan 21          |
| FF5                                 | Obtain Flora and Fauna Guarantee Act 1988 permits   |                   | Aug 20 – Jan 21          |
| FF6                                 | Implement a Groundwater Dependent Ecosystem Monitoring and Mitigation Plan  |                   |                          |
| FF7                                 | Implement a salvage and translocation plan for Matted Flax-lily   |                   | Aug 20 – Jan 21          |
| FF8                                 | Minimise intense noise and vibration impacts on Australian Grayling   |                   | Aug 20 – Jan 21          |
| FF9                                 | Protect fauna habitat values in existing waterbodies that are modified for drainage purposes                          |                   | Aug 20 – Jan 21          |
| FF10                                | Studley Park Gum Mitigation   |                   | Aug 20 – Jan 21          |
| <b>8. Ground Movement (GM)</b>      |   |                   |                          |
| GM1                                 | Design and construction to be informed by a geotechnical model and assessment   |                   |                          |
| GM2                                 | Implement a Ground Movement Plan to manage ground movement impacts  |                   |                          |
| GM3                                 | Carry out Condition surveys for potentially affected property and infrastructure                                      |                   |                          |
| GM4                                 | Rectify damage to properties and assets impacted by ground movement or settlement                                     |                   |                          |
| <b>9. Groundwater (GW)</b>          |   |                   |                          |
| GW1                                 | Design and construction to be informed by a groundwater model   |                   |                          |
| GW2                                 | Monitor groundwater   |                   |                          |
| GW3                                 | Minimise changes to groundwater levels through tunnel and trench drainage design and construction methods             |                   |                          |
| GW4                                 | Implement a Groundwater Management Plan to Protect groundwater quality and manage groundwater interception            |                   |                          |
| GW5                                 | Manage groundwater during operation   | N/A               |                          |
| <b>10. Historical Heritage (HH)</b> |   |                   |                          |
| HH1                                 | Design and construct to minimise impacts on heritage  |                   |                          |
| HH2                                 | Implement an Archaeological Management Plan to avoid and minimise impacts on historic archaeological sites and values |                   |                          |
| HH3                                 | Monitor condition of heritage sites   |                   |                          |
| HH4                                 | Undertake archival photographic recording   |                   |                          |

| EPR Code                             | Environmental Performance Requirement   | Relevant to NELEW | Reporting period audited |
|--------------------------------------|---|-------------------|--------------------------|
| HH5                                  | Minimise impacts on heritage trees  |                   |                          |
| <b>11. Land Use Planning (LP)</b>    |   |                   |                          |
| LP1                                  | Minimise land use impacts   |                   |                          |
| LP2                                  | Minimise impacts from location of new services and utilities  |                   |                          |
| LP3                                  | Minimise inconsistency with strategic land use plans  |                   |                          |
| LP4                                  | Minimise overshadowing from noise walls and elevated structures and overlooking from elevated structures        |                   |                          |
| LP5                                  | Open Space Replacement  |                   |                          |
| <b>12. Landscape and Visual (LV)</b> |   |                   |                          |
| LV1                                  | Design to be in accordance with the Urban Design Strategy   |                   |                          |
| LV2                                  | Minimise landscape impacts during construction  |                   | Aug 20 – Jan 21          |
| LV3                                  | Minimise construction lighting impacts  |                   |                          |
| LV4                                  | Minimise operation lighting impacts   |                   |                          |
| <b>13. Noise and Vibration (NV)</b>  |   |                   |                          |
| NV1                                  | Achieve traffic noise objectives  |                   |                          |
| NV2                                  | Monitor traffic noise   |                   |                          |
| NV3                                  | Minimise construction noise impacts to sensitive receptors  |                   | Aug 20 – Jan 21          |
| NV4                                  | Implement a Construction Noise and Vibration Management Plan (CNVMP) to manage noise and vibration impacts      |                   | Aug 20 – Jan 21          |
| NV5                                  | Establish vibration guidelines to protect utility assets  |                   | Aug 20 – Jan 21          |
| 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 20 – Jan 21          |
| NV9                                  | Minimise construction vibration impacts on structures   |                   | Aug 20 – Jan 21          |
| NV10                                 | Minimise impacts from ground-borne (internal) noise   |                   | Aug 20 – Jan 21          |
| NV11                                 | Minimise amenity impacts from blast vibration   |                   |                          |
| NV12                                 | Minimise amenity impacts from blast overpressure  |                   |                          |
| NV13                                 | Noise mitigation – noise walls  |                   |                          |
| NV14                                 | Reduce impacts from engine brake noise  |                   | Aug 20 – Jan 21          |
| NV15                                 | Noise at public open space and school recreation grounds  |                   |                          |
| NV16                                 | Monitoring of Ongoing performance of operational traffic noise mitigation measures                              | N/A               |                          |
| <b>14. Social and Community (SC)</b> |   |                   |                          |
| SC1                                  | Reduce community disruption and adverse amenity impacts   |                   | Aug 20 – Jan 21          |
| SC2                                  | Manage impacts of land acquisition and occupation   |                   | Aug 20 – Jan 21          |
| SC3                                  | Implement a Communications and Community Engagement Plan  |                   | Aug 20 – Jan 21          |
| SC4                                  | Participate in the Community Liaison Group  |                   | Aug 20 – Jan 21          |

| EPR Code   | Environmental Performance Requirement   | Relevant to NELEW | Reporting period audited |
|--|---|-------------------|--------------------------|
| SC5  | Minimise impacts of displacement of formal active recreation facilities                   |                   | Aug 20 – Jan 21          |
| SC6  | Minimise impacts on formal active recreation and other facilities                         |                   | Aug 20 – Jan 21          |
| SC7  | Implement a Community Involvement and Participation Plan (CIPP)                           |                   |                          |
| SC8  | Implement a voluntary purchase scheme for residential properties                          |                   |                          |
| <b>15. Surface Water (SW)</b>                      |   |                   |                          |
| SW 1   | Discharges and runoff to meet State Environment Protection Policy (Waters)                |                   | Aug 20 – Jan 21          |
| SW 2   | Design and implement spill containment  |                   |                          |
| SW 3   | Waste water discharges to be minimised and approved                                       |                   | Aug 20 – Jan 21          |
| SW 4   | Monitor water quality   |                   | Aug 20 – Jan 21          |
| SW 5   | Implement a Surface Water Management Plan during construction                             |                   | Aug 20 – Jan 21          |
| SW 6   | Minimise risk from changes to flood levels, flows and velocities                          |                   | Aug 20 – Jan 21          |
| SW 7   | Develop flood emergency management plans  |                   | Aug 20 – Jan 21          |
| SW 8   | Minimise impacts from waterway modifications  |                   | Aug 20 – Jan 21          |
| SW 9   | Maintain bank stability   |                   | Aug 20 – Jan 21          |
| SW 10  | Provide for access to Melbourne Water and other drainage assets                           |                   | Aug 20 – Jan 21          |
| SW 11  | Adopt Water Sensitive Urban and Road Design   |                   |                          |
| SW 12  | Minimise impacts on irrigation of sporting fields   |                   | Aug 20 – Jan 21          |
| SW 13  | Consider climate change effects   |                   | Aug 20 – Jan 21          |
| SW 14  | Meet existing water quality treatment performance   |                   | Aug 20 – Jan 21          |
| SW 15  | Water Sensitive Urban Design asset transfer strategy                                      |                   |                          |
| <b>16. Sustainability and Climate Change (SCC)</b> |   |                   |                          |
| SCC1   | Implement a Sustainability Management Plan  |                   | Aug 20 – Jan 21          |
| SCC2   | Minimise greenhouse gas emissions   |                   | Aug 20 – Jan 21          |
| SCC3   | Apply best practice measures for energy usage for tunnel ventilation and lighting systems | N/A               |                          |
| SCC4   | Minimise and appropriately manage waste   |                   | Aug 20 – Jan 21          |
| SCC5   | Minimise potable water consumption  |                   | Aug 20 – Jan 21          |
| <b>17. Traffic and Transport (TT)</b>              |   |                   |                          |
| T1   | Optimise design performance   |                   |                          |
| T2   | Transport Management Plan(s) (TMP)  |                   |                          |
| T3   | Transport Management Liaison Group  |                   |                          |
| T4   | Road safety design  |                   |                          |
| T5   | Traffic monitoring  |                   |                          |

The background of the entire page is a dark charcoal grey. It is covered with a repeating pattern of thin, light grey lines. These lines form a grid of squares, but many of the lines are missing or broken, creating a fragmented, architectural feel. At the intersections of these lines, there are small, solid-colored dots in various colors: red, blue, green, and purple. The dots are scattered throughout the grid, adding points of visual interest and contrast to the monochromatic scheme.

nation  
partners

SOLUTIONS FOR  
COMPLEX PROJECTS