

**APPENDIX A**

**PROJECT (FULTON HOGAN CONSTRUCTION) RESPONSE TO AUDIT # 3 FINDINGS**

Table 1

<b>Non-Compliance</b>					
Condition Number	Compliance Requirement	Independent Audit Finding	Independent Audit Recommendation	Proponents Proposed Action / Response	Proposed Action Due Date
A29	A29 Independent Audits of the CSSI must be carried out in accordance with: (a) the Independent Audit Program submitted to DPE under Condition A28 of this approval; and (b) the requirements for an Independent Audit Methodology and Independent Audit Report in the Independent Audit PAR.	Condition A29 requires the independent audits are in accordance with the independent audit program submitted under condition A28 of the approval. Under condition A28, DPE confirmed that independent auditing will be in direct compliance with the Independent Audit PAR, which specifies that audit reports must be submitted within two months of the site inspection.  Given the site inspection for the previous audit occurred on 18 July 2022, and the audit report was submitted to DPE on 10 November 2023, the project is non-compliant with this condition.  FH became aware of the non-compliance on 12 October 2022 and DPE was notified on 14 October 2022. DPE responded to ARTC on 7 December 2022, confirming that the non-compliance with condition A29 was identified as a non-compliance and was recorded as a breach in their system. No further action was required.	It is recommended that FH ensure adequate resourcing is available prior to engaging in the independent audit process to ensure a timely program is maintained and delivered.	As detailed in the auditing findings, this non-compliance had been identified and self reported to DPE by the project team 14 October 2022. It was identified that the late submission of the audit report was the result of miscommunication, COVID health related absence and holiday leave of key staff.  To prevent recurrence, it was resolved to more clearly establish and communicate all audit programs (including DPE submission dates) in accordance with the PAR for all future Independent Environmental Audits  For Audit#3, the audit completion timeframe has been included in correspondence leading up to the audit, verbally reinforced at the audit opening and closing meetings and in email communications during the audit period. FH resources were allocated accordingly.	NCR Closed

Table 2

Observations and Opportunities for Improvement				
Condition Number	Compliance Requirement	Independent audit observation / opportunity for improvement	Proponents proposed action or reason to not implement measures / changes	Proposed action due date
N/A	N/A	<ul style="list-style-type: none"> <li>Six-monthly construction reports are not dated.</li> <li>All documents that are required under the approval, such as the six-monthly construction report, should be dated prior to submission / being made publicly available to ensure FH is meeting its obligations.</li> <li>FH to ensure all documents relevant to the approval are dated appropriately with version control if applicable.</li> </ul>	<p>All Fulton Hogan six monthly construction monitoring reports detail the six month period on the title page: ie Report No 1 is titled "CONSTRUCTION MONITORING REPORT - November 2021 to April 2022", Report No 2 is titled "CONSTRUCTION MONITORING REPORT - May 2022 to October 2022".</p> <p>FH has added a document control table on the under the table of contents including details for "Completed by; Approved by FH / ARTC / Names / Dates".</p>	<p><u>Closed</u> Completed for Report No 2 – Amended when raised during the audit. 24/02/23</p>
N/A	N/A	<ul style="list-style-type: none"> <li>Incident register does not include all incidents.</li> <li>All incidents, as defined under the approval, must be included in the incident register. The incident register should consistently reflect any such incidents that are raised through toolbox talks, monthly progress reports, the complaints register and any other medium in which incidents are raised. Reasoning should be provided where an incident is not included in the incident register, such as minor safety incidents.</li> <li>FH to ensure that the CEMP defines an incident in line with the project approval, and all such incidents are consistently recorded in the incident register.</li> </ul>	<p>An excerpt of the Environmental Incident Register was supplied to the audit team, taken for the timeframe of the audit period.</p> <p>This excerpt did not include unexpected finds of isolated fragments of suspected Asbestos Containing Material as this is managed through the project Safety Management System in accordance with "Incident &amp; Emergency Response Flowchart – Asbestos". However FH acknowledge there is cross-over in the reporting requirements and commit to provide clearer definitions in the CEMP as to what constitutes an environmental incident with reference to the project safety teams existing processes and established project definitions. This will occur upon the next CEMP revision before 30 April 2023.</p>	<p><u>Open</u> 30 April 2023</p>
N/A	N/A	<ul style="list-style-type: none"> <li>Dust suppression</li> <li>Element observed a small water cart being towed by a light vehicle during the site inspection on 11 January 2023. The water cart was seen to have a low volume output which was not adequate to sufficiently wet exposed surfaces in the site. FH should consider alternative equipment / plant with a higher volume output to ensure that dust suppression remains viable on dry and windy days.</li> <li>FH to consider alternative equipment / plant for dust suppression.</li> </ul>	<p>The project had procured a new dust suppression spray unit capable of truck mounting. At the time of inspection, the unit was on back order and a rental units supplied in lieu. The truck mounted unit has now been delivered to site and is operational.</p>	<p><u>Closed</u> New suppression unit supplied and commissioned 27/02/22</p>
N/A	N/A	<ul style="list-style-type: none"> <li>Finished areas on Broomfield Street remain exposed.</li> <li>Opportunity to rehabilitate finished areas sooner to prevent wind/water erosion on Broomfield Street.</li> <li>FH to consider adopting polymer spray or seed to rehabilitate finished areas as works on Broomfield Street progress.</li> </ul>	<p>The areas described could not be finished due to delays to approvals from Sydney Water. These areas were not turfed with the rest of the completed work area as they require excavation with works to the sewer man holes. The areas had been temporarily stabilised with cover crop seed and soil stabilising polymer however this had deteriorated during heavy rainfall / flooding events. Since being identified in the audit these areas have been further stabilised with longer lasting temporary bitumen spray until work is completed and final landscaping treatment applied.</p>	<p><u>Closed</u>. Corrective action implemented when raised during the audit. 24/02/23</p>