



**Transport
for NSW**



Volume 5 of 6

**SYDNEY METRO CITY & SOUTHWEST
DEMOLITION CONTRACT**

Contract Number: SMCSW-132

Contract Schedules

Between

Transport for NSW

(PRINCIPAL)

ABN 18 804 239 602

and

Delta Pty Ltd

(CONTRACTOR)

ABN 67 007 069 794

22 Giffnock Avenue Macquarie Park NSW 2113



Transport
for NSW

Sydney Metro Requirements – Stakeholder and Community Liaison – Demolition (SMR C)

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1. Introduction

1.1. Purpose

This Sydney Metro Requirement – Stakeholder and Community Liaison - Demolition (SMR C) describes requirements and processes the Contractor must comply with in relation to stakeholder and community liaison. This SMR C must be read in conjunction with the Contract.

1.2. User Instructions

Unless noted otherwise, wherever used in this SMR C, words and phrases have the meaning given to them in the General Conditions or SMR Prelude.

1.3. Context

- (a) The Principal will take the lead on stakeholder and community liaison and will provide a Principal Manager, Project Communications to undertake stakeholder and community management, consultation and issue Notifications in relation to the Contractor's Activities.
- (b) This document describes the requirements and processes which the Contractor must implement as a minimum to ensure the Principal is equipped with the knowledge and information required to appropriately manage and engage positively with the community and other stakeholders, minimising disruption to the adjacent residents, property owners and all transport users.
- (c) The requirements of this SMR C also include those for the management of incidents and reporting as well as other related community and stakeholder management activities.

2. General Obligations

- (a) The Contractor must comply with the requirements of the Reference Documents listed in Annexure A.
- (b) The Contractor must:
 - (i) support the overall management and coordination of stakeholder and community liaison, consultation and Notification in relation to the delivery of the project and the related Contractor's Activities;
 - (ii) ensure the timeframes in clause 8 and resources for document development, consultation, approval and Notification are incorporated into project planning and the Contractor's Program;
 - (iii) ensure that the Principal Manager Project Communications, stakeholders and the community are provided with adequate Notification of planned demolition activities and project milestones;
 - (iv) ensure that the Principal Manager Project Communications is included in team meetings and forums that provide information about ongoing work including weekly meetings;

- (v) ensure its employees, Subcontractors and agents are aware of and comply, initially with the Draft and subsequently with the Final versions of the Community Communications Strategy and the broader requirements of this SMR C;
- (vi) be proactive in providing the Principal Manager Project Communications with accurate and adequate information on the status of Contractor's Activities and any associated impacts;
- (vii) make available appropriate senior personnel (for example environmental manager, project engineer, project manager, technical experts) to attend meetings with the community or other stakeholders, as required;
- (viii) consult the Principal Manager Project Communications prior to taking any unilateral action that may impact on the stakeholders or the community;
- (ix) ensure that the Principal Manager Project Communications is informed of all issues raised by an Authority in relation to the Contractor's Activities and is invited to all meetings, presentations and site visits attended by any Authority in accordance with the Contract;
- (x) ensure that the Principal Manager Project Communications is continuously informed of all issues raised directly with the Contractor by stakeholders and the community;
- (xi) ensure that the Principal Manager Project Communications is contacted immediately in relation to planned or unplanned community protests that may arise during the performance of the Contractor's Activities; and
- (xii) comply with all reasonable suggestions and requests of the community as agreed with the Principal Manager Project Communications.

3. Community Communication Strategy

- (a) The Principal has prepared a Draft Community Communication Strategy. The Contractor must provide information as requested to assist the Principal Manager Project Communications finalise and implement the Final Community Communication Strategy.
- (b) All information required from the Contractor for the Final Community Communication Strategy will be required prior to the commencement of any activities on Site, and include the following:
 - (i) a comprehensive project-specific analysis of issues to be managed prior to and during construction, including proposed strategies to manage these issues and mitigate impacts to the community and stakeholders;
 - (ii) details of the Contractor's nominated 24 hour contact for assisting in the management of complaints and enquiries;
 - (iii) policies and procedures for Incident management and reporting;

- (iv) a schedule of key dates for the start and finish of demolition activities, milestones and associated impacts to the community and the proposed strategy for minimising impacts to the community; and
 - (v) allow for policies and procedures for ensuring Subcontractors comply with the communications requirements of the Contract.
- (c) The Contractor must comply with the Draft, and then the Final Community Communication Strategy after it has been provided to the Contractor.
 - (d) The Contractor's Demolition Management Plan must include processes and procedures to demonstrate compliance with the Final Community Communication Strategy.

4. Communications Management Control Group

- (a) The Principal Manager Project Communications will establish a Communications Management Control Group (CMCG) prior to the start of the Contractor's Activities.
- (b) The CMCG will generally meet fortnightly throughout the duration of the Contractor's Activities at the discretion of the Principal Manager Project Communications.
- (c) The CMCG will generally include:
 - (i) the Principal Manager Project Communications;
 - (ii) the Construction/Project Manager;
 - (iii) the Site Manager; and
 - (iv) other parties or stakeholders, as required by the Principal's Representative.
- (d) The aim of the CMCG is to provide a forum to exchange information and coordinate communication and consultation activities with other parties and stakeholders and for the Principal to deliver a consistent approach to the community and other stakeholders.
- (e) The Contractor must provide all relevant information regarding any potential impact that its activities may have on the community in accordance with clause 8.1 (c) below (including local residents, property owners, businesses and transport users) for inclusion in the CMCG meetings. Such information includes:
 - (i) a summary of current and upcoming Contractor's Activities (two week and four week look ahead), their likely impacts, and proposed mitigation strategies to address these;
 - (ii) an update on any current or emerging issues and/or any promotional opportunities; and
 - (iii) other information as requested by the Principal Manager Project Communications.

5. Meetings with Stakeholders and the Community

- (a) The Contractor must provide appropriate personnel to attend and participate in stakeholder and community meetings (including after-hours) as requested by the Principal Manager Project Communications.
- (b) The Contractor must assist the Principal Manager Project Communications in the production of relevant material for presentation and/or distribution at stakeholder and community meetings in accordance with clause 8.1 (c) below.

6. Community Information Sessions

- (a) The Contractor must provide appropriate personnel, including technical experts, to attend community information sessions as required and requested by the Principal Manager Project Communications.
- (b) The Contractor must provide materials or information in accordance with clause 8.1 (c) below, to support the community information sessions as requested by the Principal Manager Project Communications.

7. Planning Approval Requirements

When requested by the Principal Manager Project Communications, the Contractor must provide information or input into addressing any communication requirements outlined in the Planning Approval in accordance with clause 8.1 (c) below.

8. Public Communication Material

8.1. General Requirements

- (a) The Contractor must provide information to the Principal Manager Project Communications contributing to the production of Public Communication Material.
- (b) Public Communication Material includes but is not limited to:
 - (i) information for the CMCG;
 - (ii) information for community and stakeholder meetings;
 - (iii) materials for community information sessions;
 - (iv) information to comply with the requirements of the Planning Approval;
 - (v) community and stakeholder Notifications;
 - (vi) advertisements;
 - (vii) website content;
 - (viii) construction update newsletters; and
 - (ix) community emails.
- (c) The Contractor must allow the following time periods when scheduling its work and prior to carrying out the related Contractor's Activities:
 - (i) allow a preparation period of at least 5 Business Days for the Principal Manager Project Communications to prepare Public Communication

Material after acceptable submission of information and materials provided by the Contractor;

- (ii) allow a subsequent, period of at least 5 Business Days (in addition to the initial 5 Business day period) for the Principal Manager Project Communications to gain approval of that Public Communication Material, prior to it being issued for its intended purpose; and
- (iii) allow an additional 7 calendar days after the Public Communication Material is issued to the community or stakeholders, before it commences any related Contractor's Activities or Temporary Works.

8.2. Community and Stakeholder Notifications

8.2.1. Planned Activities

- (a) The community must be notified of any current and upcoming Contractor Activities with the potential to impact on stakeholders and the community, prior to them occurring in accordance with clause 8.1 (c) . The Principal Manager Project Communications will issue community and stakeholder Notifications using information and materials provided by the Contractor.
- (b) The Contractor must provide the following information to the Principal Manager Project Communications for the Notifications:
 - (i) construction commencement;
 - (ii) significant milestones;
 - (iii) changes to the scope of work;
 - (iv) night works;
 - (v) changes to traffic conditions;
 - (vi) traffic and access arrangements;
 - (vii) any work around Utility Services
 - (viii) modifications to pedestrian routes, cycle ways and bus stops;
 - (ix) out of hours work;
 - (x) disruption of residential or business access;
 - (xi) likely impacts including noise, vibration, traffic, access and dust;
 - (xii) changing or disrupting of Utility Services; and
 - (xiii) investigation activities.
- (c) Where required by the Principal's Representative, the Contractor must provide a suitable person to assist the Principal Manager Project Communications provide a verbal or written Notification to residents of properties immediately adjacent to a worksite, prior to any work commencing.

8.2.2. Emergency Works

- (a) In the event of Emergency Works, the Contractor, in consultation with the Principal Manager Project Communications, must provide written and verbal Notification to residents of properties immediately adjacent to or impacted by any Emergency Works within 2 hours after commencing any Emergency Works. The Contractor must obtain approval from the Principal prior to issuing such community Notifications for Emergency Works. The Principal Manager Project Communications will coordinate all approvals from the Principal Manager Project Communications with assistance of the Contractor.
- (b) The Contractor must provide the Principal's Representative with information for community and stakeholder Notifications for Emergency Works including the following, as a minimum:
 - (i) scope of work;
 - (ii) location of work;
 - (iii) hours of work;
 - (iv) duration of activity;
 - (v) type of equipment used; and
 - (vi) likely impacts including noise, vibration, traffic, access and dust.

8.3. Project Advertisements

- (a) The local community and stakeholders are required to be informed on the status of the Contractor's Activities. As such certain advertisements are required to be produced to perform this requirement.
- (b) The Contractor must provide relevant information to the Principal Manager Project Communications in accordance with clause 8.1 (c) so that advertisements relating to the performance of the Contractor's Activities as required by Law and relevant Authority approvals can be prepared by the Principal Manager Project Communications and published.
- (c) The Principal Manager Project Communications will arrange the approval and will place all advertisements.

8.4. Construction Update Newsletters

The Principal Manager Project Communications may issue newsletters providing updates on the Contractor's Activities to the local community and stakeholders. The Contractor must provide relevant demolition update information as requested by the Principal Manager Project Communications for inclusion in the newsletters, in accordance with Clause 8.1 (c).

8.5. Community emails

The Contractor must provide all construction update information requested by the Principal Manager Project Communications that will be used for inclusion in the Principal's overarching project emails on the status of the project.

9. Look Ahead Program

The Contractor must provide information and detailed explanations to the Principal Manager Project Communications regarding current and upcoming Contractor's Activities in the form of a 2 week and 4 week look ahead program which addresses all associated community impacts.

10. Community Signage

- (a) The Contractor must provide and erect signage that identifies changes to traffic and access arrangements that may include:
 - (i) making changes to pedestrian routes;
 - (ii) impacting on cycle ways;
 - (iii) changing traffic conditions; and
 - (iv) disrupting access to bus stops.
- (b) The Contractor must submit the intended wording and designs for the community signage to the Principal's Representative for review in accordance with the Contract.

11. Contractor's Marketing and Promotional Material

- (a) The Contractor must submit to the Principal's Representative for review in accordance with the Contract, any Marketing and Promotional Materials it wishes to create relating to the project or Contractor's Activities including Subcontractors and consultants.
- (b) The Contractor must obtain approval from the Principal Manager Project Communications prior to issuing any such Marketing and Promotional Materials.
- (c) Marketing and Promotional Materials include:
 - (i) signage;
 - (ii) displays;
 - (iii) award submissions;
 - (iv) media articles;
 - (v) advertisements;
 - (vi) internal newsletters;
 - (vii) internal websites and publications;
 - (viii) presentations at conferences;
 - (ix) presentations at internal events;
 - (x) technical papers;
 - (xi) photographs;
 - (xii) sponsorships;

- (xiii) website text and graphics;
 - (xiv) case studies;
 - (xv) other corporate materials; and
 - (xvi) other material deemed to be Marketing and Promotional Materials by the Principal.
- (d) The Contractor must recognise and identify the Principal's role in any Marketing and Promotional Material that it develops in relation to the Contractor's Activities.
- (e) The Contractor must not participate in any public local events and open days without prior approval from Principal's Representative and the Principal Manager Project Communications.

12. Branding and Logos

The Contractor must follow the "Sydney Metro Brand Style Guidelines" for all branding and logos used on any items, including:

- (i) site signage;
- (ii) cranes (flags);
- (iii) other structures;
- (iv) vehicles;
- (v) barges;
- (vi) plant and equipment;
- (vii) all information to be used in Public Communication Materials;
- (viii) Marketing and Promotional Material;
- (ix) reports; and
- (x) Clothing, including personal protection equipment.

13. Enquires and Complaints Management

The Principal has established a Sydney Metro City and Southwest project 24-hour telephone contact number, postal address and email address to which enquires and complaints will be received.

The Contractor must:

- (a) assist the Principal to respond and resolve enquiries and complaints in accordance with the Community Communication Strategy;
- (b) ensure that its personnel and its Subcontractors' personnel direct the community and stakeholders to the project 24-hour telephone number, postal address and email address should they be approached directly;
- (c) provide a person that is available for contact by the Principal at all times to assist the Principal answer any complaints or enquires in relation to the Contractor's Activities; and

- (d) provide feedback to requests for information from the Principal in relation to responses to complaints within 2 hours of the request and responses to general enquiries within 4 hours of the request.

14. Media and Government Relations

- (a) The Contractor must advise the Principal's Representative and the Principal Manager Project Communications of any enquiry/contact by the media or elected government representative known within 2 hours.
- (b) The Contractor must not provide any statement (verbal or written) or any photographs or illustrations to the media or elected government representatives regarding the Contractor's Activities or project without the prior written approval of Principal's Representative and the Principal Manager Project Communications.
- (c) The Contractor must not permit any media or elected government representative on any part of the Site without the prior written approval of Principal's Representative and the Principal Manager Project Communications.
- (d) The Contractor must provide a suitably qualified spokesperson that has comprehensive knowledge of the Contractor's Activities to assist the Principal in the management of media and government relations as required and is authorised to prepare and issue media and other urgent enquiry responses 24 hours a day.
- (e) The Contractor must ensure relevant senior staff are available to provide the Principal with information required to respond to media and government enquiries, including the provision of a holding statement within 30 minutes of receipt of any request by the Principal, as well as a full response within 2 hours of the enquiry/contact being made. During an ongoing event, updates must be provided every hour.
- (f) The Contractor must provide the Principal Manager Project Communications with at least 8 weeks notice prior to the commencement of work including demolition or other Site activities and 8 weeks notice prior to Completion of any Portion. An additional update must be provided 10 Business Days prior to Completion and confirmed 5 Business Days prior to the Completion of any Portions.
- (g) The Contractor must provide at least 20 Business Days notice to the Principal Manager Project Communications of any significant project milestones to enable the Principal to enable the organisation of official media events.

15. Crisis Communication Procedures

- (a) The Contractor must develop crisis management procedures as part of the Incident and Emergency Management Plan, referenced in SMR PA.
- (b) The Contractor must immediately notify the Principal Manager Project Communications of any incident that may have an impact on the community, environment, personnel or subcontractors, which may attract the attention of the media, the Minister for Transport, a local Member of Parliament, local council or the broader community.

- (c) In the event of such incidents, the Contractor must not contact or provide information to any person, other than that which is required to directly manage the Incident or to comply with law, without obtaining the prior approval of the Principal Manager Project Communications.
- (d) In the event of such incidents, the Contractor must provide a suitably qualified spokesperson that has comprehensive knowledge of the Contractor's Activities to assist the Principal in responding to stakeholders, the media or the public as required and requested by the Principal. The Contractor must also provide senior and experienced personnel to attend meetings with stakeholders, the media or the public as requested by the 'Principal Manager Project Communications.
- (e) The Contractor must provide the Principal Manager Project Communications with all necessary communications materials or information that may need to be disseminated as a result of an incident.
- (f) The Contractor must, in the case of an incident that has attracted or can reasonably be expected to attract the attention of the media, the Minister for Transport, a local Member of Parliament, or the broader community, notify the Principal Manager Project Communications within 10 minutes of the incident occurring and for any other incidents notify the Principal Manager Project Communications within 1 hour of the incident occurring.
- (i) The Contractor must invite the Principal's Representative to observe and participate in any crisis communication exercises it carries out.

16. Construction Site Visits

- (a) The Contractor must not organise any Site visits by stakeholders or community members without prior approval from the Principal's Representative and the Principal Manager Project Communications.
- (b) The Contractor must provide the Principal with at least 48 hours prior written notice of all proposed stakeholder or local community member visits to the Site.
- (c) In the event the Principal is required to arrange for visitors to attend the Site, the Contractor must provide access with a minimum of 2 hours notice as required and provide a safety escort.
- (d) The Contractor must provide access as required by the Principal to facilitate media events arranged by the Principal including the provision of Site access, safety equipment, personal protective equipment (PPE), Site inductions and Site transport.
- (e) The Contractor must accommodate weekly visits to the Site for the Principal's personnel including access for the purpose of photography or videography for promotional purposes. Any photographs or film footage taken by the Contractor or the Principal's Representative becomes the property of the Principal who may, without the Contractor's approval, use the photographs and/or film footage for whatever purpose the Principal deems necessary or appropriate.
- (f) The Contractor must provide the Principal's Representative with access to the Site to install time lapse photography and provide a safety escort.

- (g) All photographs and videos taken by the Contractor is the property of the Principal and must be provided when requested.
- (h) The Contractor must obtain photographic release forms from all employees and contractors. Employees or contractors who opt-out and cannot be recorded in any photographs or videos which would prevent the Principal from using the material.

17. Contractor's Hoardings and Fences

- (a) The Principal will provide the Contractor with designs for the artwork to be used on the Contractor's hoardings and fencing and the Contractor must arrange for the production and installation of any site hoarding and fencing including shade cloth or other material on the external face of any hoarding or fence.
- (b) Installation plans for all hoardings or fencing, including shade cloth or other material on the external face of any hoarding or fence, detailing the design as well as the location and construction of associated structures must be submitted to the Principal for review in accordance with the Contract, prior to being erected.
- (c) Branding and logos on any hoardings and fencing, including shade cloth or other material on the external face of any hoarding or fence, must be replaced at least every twelve months.

18. Signage, Graffiti and Bill Posters

- (a) The Contractor must prepare and install any way-finding signage to direct pedestrians/commuters/vehicles around the Site as appropriate.
- (b) When requested, the Contractor must provide the required resources to assist the Principal with the provision and/or installation of any other signage or graphics required by the Principal, to be placed on or over the hoardings or fencing.
- (c) The Contractor must submit plans and details of all signage (other than signage containing safety advice or instruction only), advertising or branding on the external face of any hoarding, fence or structure to the Principal for review in accordance with the Contract.
- (d) Hoardings, site sheds, fencing, acoustic walls around the perimeter of the Site and any other structures built as part of the Temporary Works must be maintained free of graffiti and any advertising not authorised by the Principal.
- (e) The Contractor must carry out daily inspections for graffiti and unauthorised advertising and must remove or cover any such graffiti or unauthorised advertising identified within the following timeframes:
 - (i) offensive graffiti must be cleaned or covered within 24 hours;
 - (ii) highly visible yet non-offensive graffiti must be cleaned or covered within 1 week;
 - (iii) graffiti that is neither offensive nor highly visible must be cleaned or covered during normal operations within one month; and
 - (iv) any advertising material must be removed or covered within 24 hours.

19. Contractor's Project Website

- (a) The Contractor must establish and maintain a new website or maintain a page on an existing web site to publish details on the status of the work.
- (b) The Contractor must only publish on the website:
 - (i) information required to be published to comply with the Planning Approval;
 - (ii) executive summaries of publicly available reports relating to the Contractor's Activities; and
 - (iii) documents which comply with the TfNSW WCAG 2.0 Quick Reference Guide.
- (c) The Contractor must not include any graphics or photographs on the website or page.

20. Site Inductions and Training

- (a) The Contractor must ensure its personnel and Subcontractors' personnel are adequately inducted and trained in all the stakeholder and community liaison requirements detailed in this SMR C, Sydney Metro Principal Contractor Health & Safety Standard dated May 2016 and the Sydney Metro Construction Environmental Management Framework dated February 2016.
- (b) Site inductions and training material must be regularly updated to address any actions taken in response to stakeholder and community complaints and any changes to the Community Communication Strategy.
- (c) The Contractor must carry out further inductions and training of any personnel previously inducted and trained to ensure the stakeholder and community liaison requirements procedures and protocols remain understood and current.
- (d) All material produced for the purpose of Site inductions must be submitted to the Principal's Representative for review in accordance with the Contract.

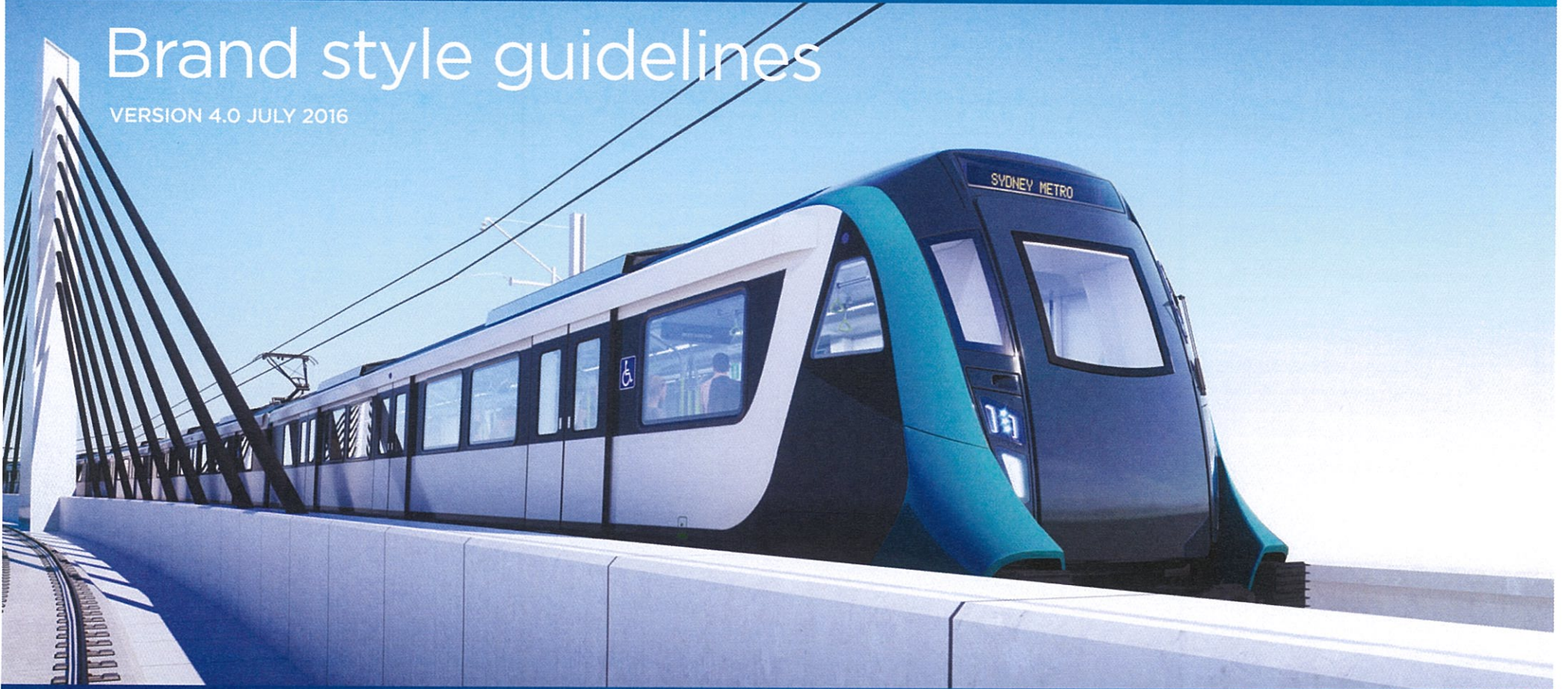
Annexure A: Reference Documents

- Sydney Metro Brand Style Guidelines Version 4.0 July 2016.
- TfNSW WCAG 2.0 Quick Reference Guide V1.1 January 2016.
- Draft Community Communications Strategy



Brand style guidelines

VERSION 4.0 JULY 2016



Transport
for NSW



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ABOUT SYDNEY METRO

Sydney Metro is Australia's biggest public transport project

A new standalone railway, this 21st century network will deliver 31 metro stations and more than 65 kilometres of new metro rail for Australia's biggest city – revolutionising the way Sydney travels.

Services start in the first half of 2019 using Sydney's new generation of fully-automated metro trains. From Sydney's booming north west region, metro rail will run under Sydney Harbour, through new underground stations in the CBD and beyond to the south west.

Customers won't need a timetable when Sydney Metro opens – they'll just turn up and go.

When Sydney Metro is extended into the CBD and beyond in 2024, there will be ultimate capacity for a metro train every two minutes in each direction under the city – a level of service never before seen in Sydney.

Sydney's new metro railway will have a target capacity of about 40,000 customers per hour, similar to other metro systems worldwide. Sydney's current suburban system can reliably carry 24,000 people an hour per line.

Sydney Metro, together with signalling and infrastructure upgrades across the existing Sydney rail network, will increase the capacity of train services entering the Sydney CBD – from about 120 an hour today to up to 200 services beyond 2024. That's an increase of up to 60 per cent capacity across the network to meet demand.



HOW TO USE THESE GUIDELINES

The Sydney Metro brand is one of our most important assets. To retain its integrity and reinforce its positioning, Sydney Metro must use consistent branding at all times.

Brand guidelines

Use these brand guidelines as a reference whenever producing or applying Sydney Metro branding on external and internal communications.

To help produce communication materials that represent Sydney Metro, these brand guidelines provide information about Sydney Metro, a definition of the brand and examples of the brand in application.

The importance of brand guidelines

A brand application guide outlines all of the standards, requirements and recommendations relating to a brand and ensures that the brand's identity is well defined and consistent.

Designed for everyone using the Sydney Metro brand, the brand guidelines detail everything from the practical use of logos, colours and fonts to the ethos of the brand.

Any publications or materials developed for Sydney Metro affect its public image, or brand. The quality and style sends a message about Sydney Metro, what it does and how it does it.

For this reason, Sydney Metro must ensure that materials are of a high standard and present a consistent image.

Examples

The graphic examples are not shown at actual size. All distance measurements are in millimetres (mm) and a keyline has been used on all samples to indicate artwork area.

File formats

When requesting logo artwork and templates, it's important to know what application you wish to use the files for.

Illustrator EPS (Encapsulated Postscript File)

- ▶ Scalable resolution-independent vector format for commercial printing and web applications
- ▶ Graphics industry preferred format
- ▶ Allows transparent backgrounds and deep etched graphics
- ▶ Does not reproduce well in Word
- ▶ Use with graphics software such as Adobe InDesign, Photoshop, Illustrator

JPG (Joint Photographic Experts Group)

- ▶ For screen viewing, web applications and Microsoft Office applications
- ▶ Compression reduces file size
- ▶ Not suitable for professional printing

PNG (Portable Network Graphics)

- ▶ For screen viewing, web applications and Microsoft Office applications
- ▶ Allows transparent backgrounds and deep etched graphics

INDD (Adobe InDesign Document)

- ▶ Professional layout document - requires Adobe InDesign to open and edit
- ▶ File must have packaged links and fonts

PDF (Adobe Acrobat Portable Document Format)

- ▶ Cross-platform document containing all images and fonts
- ▶ May be optimised for on-screen viewing, interactivity or professional print-ready artwork

For all graphics requests and enquiries relating to these guidelines, please contact: graphics@metronorthwest.com.au

SYDNEY METRO LOGO

BRAND ARCHITECTURE

The Sydney Metro logo consists of the 'M' symbol and the Sydney Metro logotype.

The relationship between the elements has been designed as an integral unit and they should never change. Approved logo artwork should always be used.

Project office logo

Sydney Metro is the overarching project office name. When referring to the entire project, the Sydney Metro logo should always be used.

Sydney Metro has two core stages.

Stage lockups

Stage 1: Sydney Metro Northwest - (formerly the North West Rail Link) the 36km metro line from Cudgegong Road to Chatswood. This stage is now under construction and will open in the first half of 2019.

The Sydney Metro Northwest lockup should be used on all comms referring specifically to stage 1 of the project.

Stage 2: Sydney Metro City & Southwest - a new 30km metro line linking with Sydney Metro Northwest at Chatswood, and then under Sydney Harbour, through the CBD and south west to Bankstown. This stage is now in community consultation and due to open in 2024.

The Sydney Metro City & Southwest lockup should be used on all comms referring specifically to stage 2 of the project.

Project office logo



'M' symbol

Sydney Metro logotype

Stage 1 lockup



Project office logo

Stage 1 name

Divider

Stage 2 lockup



Project office logo

Stage 1 name

Divider

SYDNEY METRO LOGO

COLOUR REPRODUCTION

The Sydney Metro logo and stage lockups are available in a range of colour formats to suit different reproduction methods.

Full colour versions of the logo and stage lockups should be used as a first preference.

Full colour logo

This logo version should appear on a white or very light background (less than 10% tint).

Full colour reversed logo

This logo version should be used on a background of 90% black.

Pantone flat logo

This logo version should be used on applications where graduated colour is not possible (such as embroidery).

Greyscale logo

This logo version should be used where colour printing is not possible. It must only appear on a white background.

Mono logo

This logo version should only be used for printing processes that cannot reproduce graduated colour.

Reversed logo

This logo version should be used on solid blocks of colour or pictures that offer sufficient contrast.

Full colour logo



Pantone flat logo



Greyscale logo



Mono logo



Full colour reversed logo for 90% black background



Reversed logo on black



Reversed logo



SYDNEY METRO LOGO

MINIMUM CLEAR SPACE AND SIZE

Minimum clear space

The minimum clear space around the logo is the width of the stem of the 'M' symbol.

Where possible, more clear space is preferable to allow the logo room to breathe.

Minimum space prevents elements such as type, images or other logos from entering the exclusion zone and compromising the readability and impact of the logo.

In exceptional circumstances, the clear space exclusion zone may be reduced for extremely tight spaces. In these instances, seek approval from the brand manager.

Minimum size

The minimum size for logo print reproduction is 5mm of the height of the M symbol. The minimum size for digital reproduction is 25 pixels of the height of the M symbol.

Minimum clear space and size



SYDNEY METRO LOGO

INCORRECT USAGE

Incorrect logo usage dilutes the strength of the Sydney Metro brand.

These examples illustrate some incorrect uses of the Sydney Metro logo.

These principles also apply to the stage lockups.



Incorrect colour

- DO NOT apply different colours to the logo.
- ALWAYS use approved artwork.



Incorrect clear space

- DO NOT place other elements, logos or type within the clear space exclusion zone.
- ALWAYS observe clear space requirements.



Incorrect element arrangement

- DO NOT rearrange the logos elements.
- DO NOT attempt to recreate the logo.
- ALWAYS use approved lockups.
- ALWAYS use approved artwork.



Incorrect contrast

- DO NOT place the logo over complicated images or low contrast colours.
- ALWAYS place the full colour logo on a white background or a light tint (10% or less).



Incorrect proportion

- DO NOT stretch or skew the logo disproportionately.
- DO NOT attempt to recreate the logo.
- ALWAYS use approved artwork.



Incorrect drop shadow

- DO NOT apply drop shadows, bevels or effects.
- ALWAYS place the full colour logo on a white background or a light tint (10% or less).



Incorrect positioning

- DO NOT tilt the logo or place it on an angle.
- ALWAYS use approved artwork.



Incorrect keyline

- DO NOT reproduce as an outline.
- DO NOT attempt to recreate the logo.
- ALWAYS use approved artwork.

CO-BRANDING

TRANSPORT FOR NSW

As a Project Office of Transport for NSW, Sydney Metro must always appear with the Transport for NSW logo. It cannot stand alone.

Always use original artwork and do not attempt to recreate the Transport for NSW logo.

Clear space

The clear space area is no less than the height of the 'N' from the NSW Government crest.

Whenever possible, maintain more clear space around the logo than specified.

Minimum size

The logo must never appear less than 12.5mm high or 35 pixels.

Full colour logo

The two-colour version is always the preferred choice where colour is required.

Mono (black) logo

The mono (black) version should be used for internal communication and be applied to a white or light background only.

Reversed (white) logo

The reversed (white) version of the logo is available for use on dark backgrounds.

"No Government" version

A version of the logo without the word GOVERNMENT is available for use when legibility is an issue due to space constraints or production techniques (for example, embroidery in uniforms).

Minimum clear space



Minimum size



Full colour logo



Mono (black) logo



Reversed (white) logo



"No Government" version



Please consult the Transport for NSW Corporate Communication Brand Style Guide for more information on using the logo

CO-BRANDING

NSW GOVERNMENT MAKING IT HAPPEN LOGO

The NSW Government Making It Happen logo was introduced in October 2015 as part of an awareness-building campaign targeting potential investors in NSW from interstate and overseas.

The NSW Government Making It Happen logo should be used to signify the NSW Government's involvement in Sydney Metro as a project that has the potential to drive economic growth and development.

Clear space

The clear space area is no less than the height of the 'N' in NSW contained in the logo.

Whenever possible, maintain more clear space around the logo than specified.

Multiple configurations

Four configuration styles are available to allow for flexible application.

Full colour logo



Flat colour logo



Flat Black logo



Greyscale logo



Reverse flat white logo



Reverse flat white logo



Please consult the Transport for NSW Corporate Communication Brand Style Guide for more information on using the NSW Government Making It Happen logo

Full colour logo

The two-colour version is always the preferred choice where colour is required.

Flatcolour logo

The flat colour logo consists of blue, cyan and magenta.

Use the flat colour logo where quality reproduction is not available or appropriate.

Mono Black

Use the mono logo (black) where colour reproduction is not available or appropriate. It should be applied to a white or light background.

Reverse (white)

Use the reverse (white) logo on dark backgrounds, when it is not possible to accommodate the colour logo. Solid or halftone versions are available.

Minimum clear space



The colours of the NSW MAKING IT HAPPEN logo are a combination of the blue and red of the NSW Government logo with the use of two secondary colours.



Blue (logo text)



Cyan



Flat Red (waratah)



Magenta

CO-BRANDING

RELATIVE SIZE AND POSITIONING

Transport for NSW

As a Project Delivery Office, the Sydney Metro logo and stage lockups should **always** be used in conjunction with the Transport for NSW logo.

NSW Government Making It Happen logo

In addition to the Transport for NSW logo, the NSW Government Making It Happen logo should be used on public facing material that will raise awareness of the Government's involvement in the Sydney Metro project.

The NSW Government Making It Happen logo should be applied to:

- ▶ Major project signage
- ▶ Construction hoardings and signage to flag funding
- ▶ Public consultation websites
- ▶ Key printed collateral:
 - Project overview brochures
 - Major announcement brochures
 - Advertisements
 - Educational Booklets

When appearing together, the NSW Government Making It Happen logo appears on the left and the Transport for NSW logo appears on the right.

Minimum relative size and alignment guide



Stage lockups minimum relative size and alignment guide



Minimum relative size

Where the Transport for NSW and the NSW Government Making It Happen logo are both required, they should appear at the same relative size to each other.

The Transport for NSW and NSW Government Making It Happen logo must always appear smaller than the Sydney Metro logo and stage lockups.

The Sydney Metro logotype must never appear smaller than the total height of the Making It Happening logo and Transport for NSW logo.

Minimum clear space

The minimum horizontal clear space between the Sydney Metro logo (or stage lockups) and NSW Government Making It Happen logo and Transport for NSW logos is 2 x the width of the 'M' symbol.

The minimum horizontal clear space between the NSW Government Making It Happen logo and the Transport for NSW logo is the height of the 'N' from the NSW Making It Happen Logo.

CO-BRANDING

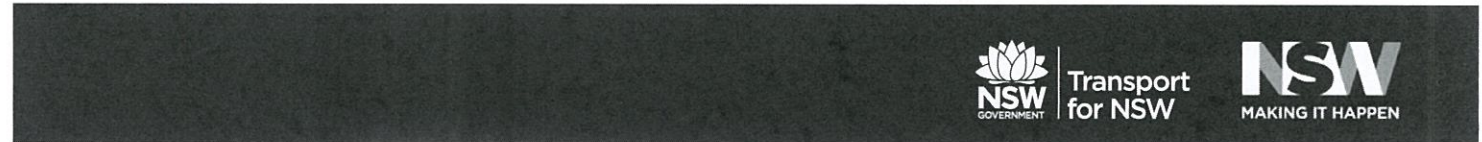
BASEPLATE

The baseplate is a versatile element developed to house co-branding logos as well as URL and phone information.

The baseplate is 90% black with reversed logo versions of the NSW Government Making It Happen logo and Transport for NSW.

All clear space and alignment rules as outlined previously should be observed.

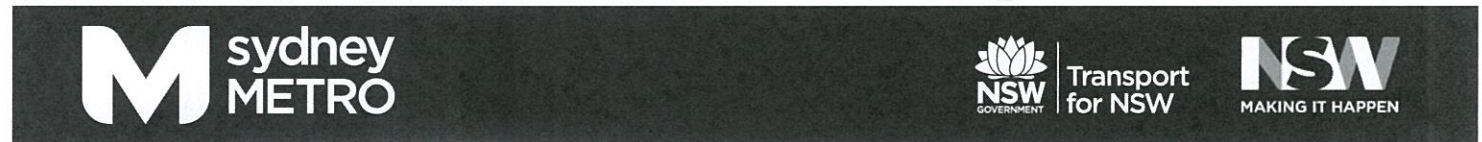
NSW Government and Transport for NSW co-branding



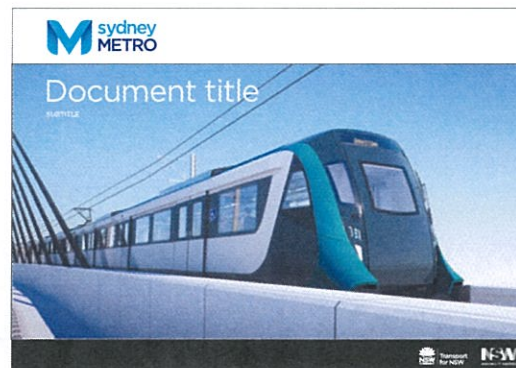
Phone, URL, NSW Government and Transport for NSW co-branding



Sydney Metro logo, NSW Government and Transport for NSW co-branding



Base plate example on DL, landscape and portrait



COLOUR PALETTE

PRIMARY COLOUR PALETTE

Primary colour palette

The primary colour palette predominantly consists of two blues derived from the Sydney Metro logo. These blues are derived from the Transport for NSW colour palette to create synergy between the brands.

Two shades of grey compliment the blues for neutral elements.

Sydney Metro Northwest Green should **only** be used on all comms referring specifically to stage 1 of the project.

Sydney Metro gradient

The Sydney Metro gradient is designed as a visual element to inject brand colours into layouts.

Primary colour palette



TfNSW Mid Blue

Pantone 299
C=86 M=8 Y=8 K=0
R=0 G=158 B=215
Web #009ED7

TfNSW Navy

Pantone 281
C=100 M=85 Y=5 K=20
R=0 G=38 B=100
Web #002664

Dark Grey

Process Black (90%)
C=0 M=0 Y=0 K=90
R=65 G=64 B=66
Web #414042

Mid Grey

Process Black (40%)
C=0 M=0 Y=0 K=40
R=167 G=169 B=172
Web #A7A9AC

Sydney Metro

Northwest Green
Pantone 368
C=65 M=0 Y=100 K=0
R=120 G=190 B=32
Web #78BE20

Sydney Metro gradient



TfNSW Navy

Pantone 281
C=100 M=85 Y=5 K=20
R=0 G=38 B=100
Web #002664

TfNSW Mid Blue

Pantone 299
C=86 M=8 Y=8 K=0
R=0 G=158 B=215
Web #009ED7

TYPOGRAPHY

PRIMARY TYPEFACE AND OFFICE/ONLINE USE

Primary typeface

The primary typeface for all external corporate communications is **Gotham**. This typeface should be used for headings, subheadings and body text.

Gotham is the same type family used by Transport for NSW.

Left aligned text is preferred for body copy. Please avoid justification.

Gotham is used in Adobe InDesign (when using Gotham track between -20 to -60).

Office and online use only

For internal documents and office templates, **Arial** should be used as the default typeface.

Arial is also used for online communications such as the website and EDMs.

Primary typeface

Gotham Bold

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

Gotham Medium

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

Gotham Book

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

Gotham Light

ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()

Office and online use only

Arial Bold

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

Arial Regular

ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()

TYPOGRAPHY

MAPS AND DIAGRAMS

Maps and diagrams typeface

The typeface used for maps being placed in a corporate document is TransText.

TransText is to be used for all labels and identifiers placed within the map itself. Any map keys or legends should retain the typography style of the document.

Maps and diagrams typeface

TransText Bold

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

TransText Medium

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

TransText Roman

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

TransText Light

**ABCDEFGHIJKLMNOPQRSTUVWXYZ1234567890
abcdefghijklmnopqrstuvwxyz!@#\$%^&*()**

IMAGERY

PROJECT PHOTOGRAPHY AND ARTIST IMPRESSIONS

Imagery plays an important part in bringing the Sydney Metro project to life for community and project stakeholders.

Project photography

Imagery that documents and communicates the progress of the project is important to inform stakeholders of the latest developments.

Always ensure the most up-to-date photography is used. Always ensure workers in shot are wearing appropriate safety equipment and have signed permission for their image to be used.

Avoid using generic stock shots and images with redundant branding. All project photography needs to be captioned accurately.

Artist impressions

Artists impressions bring the project to life by visualising what planned works are intended to look like upon completion. Always use the most up-to-date artist impressions. All artist impressions must be captioned "Artist impression".

Sourcing imagery

Approved images are available on request. Please contact: graphics@metronorthwest.com.au

Transport for NSW image guidelines

For further guidance on image use, please consult the Transport for NSW Corporate Communications Brand Style Guide.

Captions

All images need to include a caption describing the image being used. The caption is to be placed directly under the image in 90% black, 7pt left justified in Gotham Book font. In instances where the above format cannot be applied, a black box over-lapping the bottom of the image in white, 7pt left justified Gotham Medium text. See the example directly on the right.

Project photography



TBM2 Florence breaking through at Showground



A straddle carrier lifts a 4x12m concrete segment at Kellyville



An aerial view of the Norwest Station site



An aerial view of the Norwest Station site



Performing maintenance on a TBM



TBM2 is able to lay a concrete slab at Cherrybrook



The Launching gantry at Kellyville during the Italian Prime Minister's visit



First completed section of tunnel at Bella Vista

Artist impressions



Artist impression of Sydney's new metro train



Artist impression of an underground train station



Artist impression of the new cable-stayed railway bridge over Windsor Point



Artist impression - New station



Artist impression of the new Norwest Station



Artist impression of the interior of Sydney's new metro train



Artist impression of the new Showground Station



Artist impression of the platform at the new Kellyville Station

PUBLICATION TEMPLATES

A4 NEWSLETTER, A4 BROCHURE, DL FLYER, INVITATION, ADVERTISEMENT & POSTER

A range of publication templates have been developed for Sydney Metro print communications including:

- ▶ A4 Newsletters
- ▶ A4 Brochures
- ▶ DL flyers
- ▶ Invitations to events
- ▶ Posters

As the brand has been rolled out, there are templates available for all publications.

For publication artwork requests, please contact: graphics@metronorthwest.com.au

A4 Newsletter example

First railway tracks laid

Design for Bella Vista Station

Pedestrian link gets go-ahead

Skytrain bridge rises over Samantha Riley Drive

First look inside the skytrain

Peek behind the green fence

Advertisements

Australia's largest public transport project

DATE	LOCATION
Saturday 20 May 10:30am - 12:00pm	Dougherty Community Centre 10-12a St Johns
Wednesday 25 May 5:30pm - 7:00pm	Masonic Centre 415 Elizabeth Street, Sydney
Saturday 28 May 10:30am - 12:00pm	McMahon Point Community Centre 100 Blount Street, McMahon Point
Wednesday 3 June 4:30pm - 6:00pm	Northside Conference Centre 100-102A Pitt Street, North Sydney
Saturday 4 June 10:30am - 12:00pm	Reform Oval 211 Park Street, Sydney
Thursday 16 June 5:30pm - 7:00pm	Concordia Club 1 Macquarie Street, Sydney

First railway tracks laid

A message from our tunnellers

Sydney Metro DL Brochure

Sydney's new train

Customer safety

Sydney Metro Northwest

Sydney Metro City & Southwest

SYDNEY'S NEW METRO TRAINS

Customer service assistants

A fully aware

170 in long platform

24-hour community information line

Skytrain rises over Samantha Riley Drive

Skytrain half way complete

Upcoming construction

PUBLICATION TEMPLATES

A4 NEWSLETTER, A4 BROCHURE, DL FLYER, INVITATION, ADVERTISEMENT & POSTER

A4 community consultation newsletter

Project overview brochure

A4 quarterly project update newsletter

POWERPOINT TEMPLATES

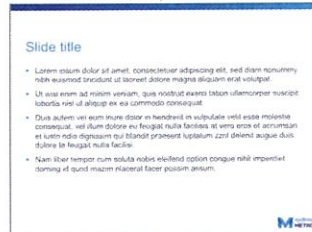
Sydney Metro has developed a PowerPoint template for external use (can also be used internally).

Templates are available on request: graphics@metronorthwest.com.au

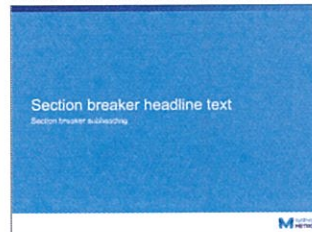
PowerPoint template title slide



PowerPoint template text slide



PowerPoint template section break slide



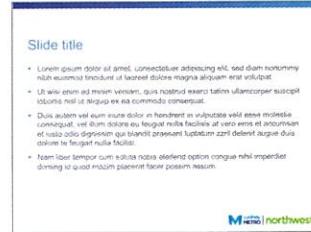
PowerPoint template image slide



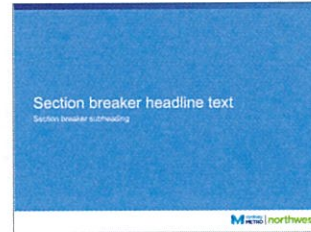
PowerPoint template title slide



PowerPoint template text slide



PowerPoint template section break slide



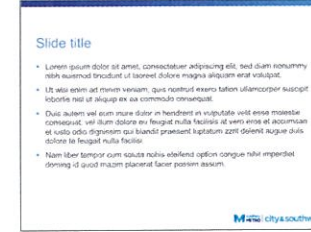
PowerPoint template image slide



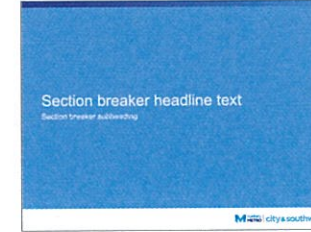
PowerPoint template title slide



PowerPoint template text slide



PowerPoint template section break slide



PowerPoint template image slide



EVENT COLLATERAL

ADWINGS AND PULL-UP BANNERS

Sydney Metro branded event collateral has been developed for use at media events, community consultation meetings and community events.

Adwing examples



Pull-up banner examples



SIGNAGE

MARQUEE STAND

Marquee pop-up stand and banners



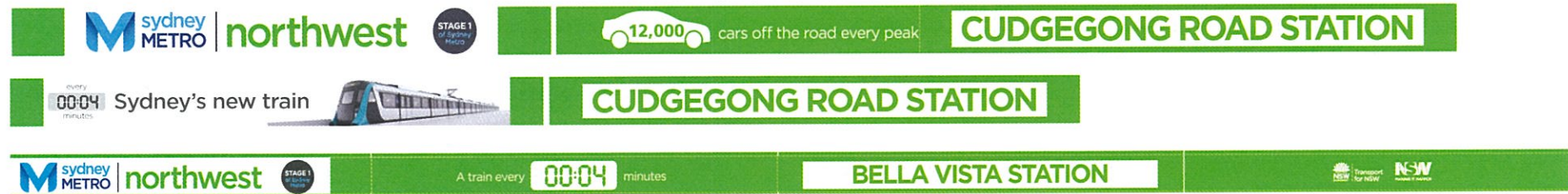
SIGNAGE

SHADECLOTH, HOARDINGS & VINYL BANNERS

Shadecloth



Hoardings



Vinyl Banners



SIGNAGE

Community Information Centre



Light box reuse at the Bella Vista site



Macquarie Park Head Office



A-frame stand



EDUCATION COLLATERAL

CO-BRANDING FASTTRACKING

FastTracking the Future branded educational collateral has been developed for use at schools and community events.

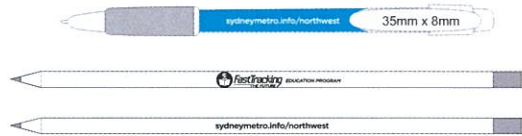


A4 Electronic Invite

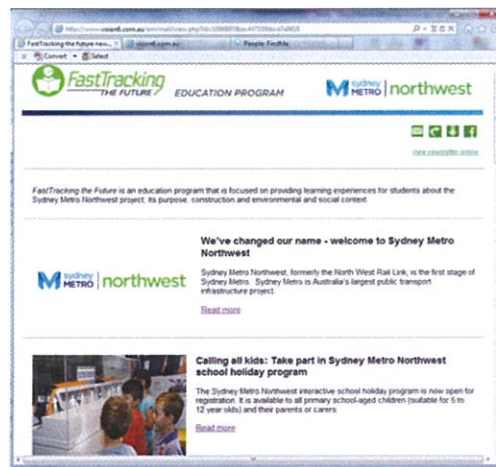
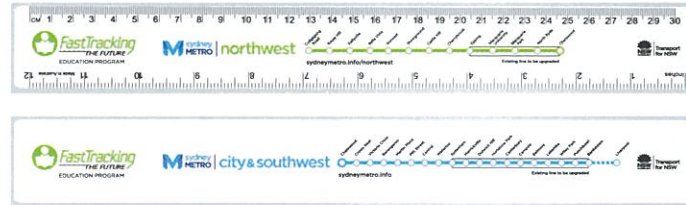
printing <input type="checkbox"/> white	299c
	300PCS
printing <input type="checkbox"/> white	281c
	300PCS
printing <input type="checkbox"/> white	306c
	300PCS
printing <input type="checkbox"/> white	184c
	300PCS
printing <input type="checkbox"/> white	192c
	300PCS

wrist bands

Educational Pens and Pencils

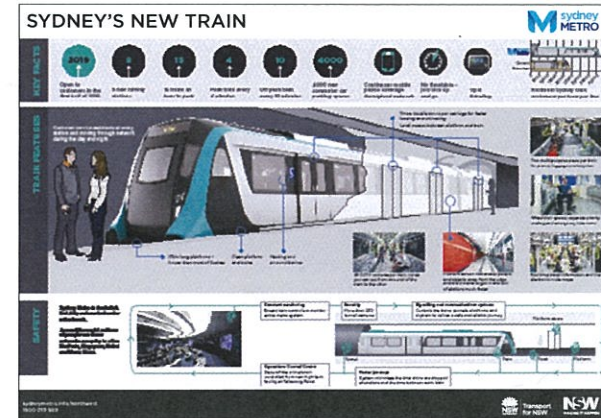


Educational Ruler



e-newsletter

A1 Poster



A Frame Stand



Satchel Bags



Event bag side 1

Event bag side 2

CONTRACTOR LOGO LOCKUPS
CO-BRANDING AND COLLATERAL

CONTRACTOR LOGO LOCKUPS

MINIMUM CLEAR SPACE AND SIZE

Contractor lockups

Contractor logo lockups have been developed for use by the three major consortiums involved in the construction and delivery of the Sydney Metro Northwest stage.

Approved lockup artwork should always be used and never modified in any way.

Lockups are available in full colour, mono and reversed versions.

Minimum clear space

The minimum clear space for each lockup is 1/4X as indicated in the diagrams.

Whenever possible, maintain more clear space around the logo than specified.

Minimum size

The minimum size for each logo lockup is:

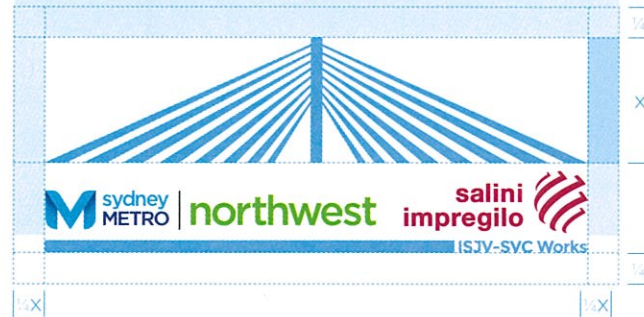
- ▶ CJHD - 12mm of the total lockup height
- ▶ ISJV - 16mm of the total lockup height
- ▶ NRT - 14mm of the total lockup height

To obtain contractor logo lockup artwork, please contact: graphics@metronorthwest.com.au

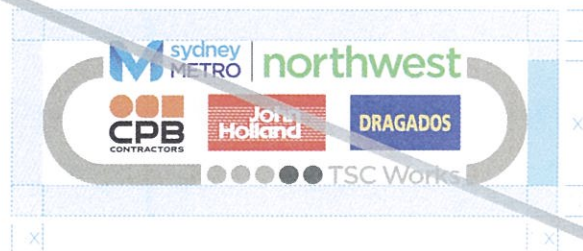
NRT lockup minimum clear space



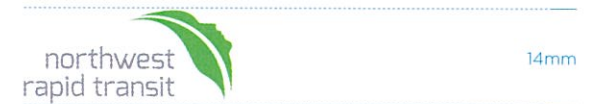
ISJV lockup minimum clear space



CJHD lockup minimum clear space



NRT lockup minimum size



ISJV lockup minimum size



CJHD lockup minimum size



TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR LOGO LOCKUPS

RELATIVE SIZE AND POSITIONING

Minimum relative size

See the diagram for minimum relative size of the contractor lockup to the Sydney Metro Northwest stage lockup, NSW Government Making It Happen logo and Transport for NSW logos.

The Transport for NSW and NSW Government Making It Happen logos must always appear smaller than the Sydney Metro Northwest stage lockup.

The Sydney Metro Northwest stage lockup must never appear smaller than the total height of the NSW Government Making It Happen logo and Transport for NSW logo.

Minimum clear space

The minimum horizontal clear space between the Sydney Metro Northwest stage lockup and the contractor lockup, NSW Government Making It Happen logo and Transport for NSW logos is 2 x the width of the 'M' symbol.

The minimum horizontal clear space between the contractor lockup, NSW Government Making It Happen logo and the Transport for NSW logo is the height of the 'N' from the NSW Government crest.

Minimum relative size and alignment guide



TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR LOGO LOCKUPS

ALIGNMENT AND POSITIONING

The co-branding relationship between the Sydney Metro Northwest stage lockup, contractor lockup, NSW Government Making It Happen logo and Transport for NSW logo is determined by a "same page" endorsement approach, where the logos appear on the same page, but are separated visually. The relationship is expressed by horizontal or vertical alignment.

It allows each logo to "breathe" while still maintaining a reference to the relationship between the brands.

Alignment

The contractor lockup, NSW Government Making It Happen logo and Transport for NSW logos appear at the base of the page aligned horizontally to each other.

The Sydney Metro Northwest stage lockup appears at the top of the page aligned left in portrait and landscape orientation.

The CJHD lockup is shown as an example. The same rules apply to all contractor lockups.

Relative size and alignment principles should be observed.

Front & Back Newsletter



TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR LOGO LOCKUPS

BUSINESS AND INFORMATION CARDS

Example of information and business cards, branded for Sydney Metro Northwest

Business / Information Card

M sydney METRO | northwest

For all enquiries, questions or complaints please call our 24/7 community information line.

1800 019 989

M sydney METRO | northwest

For information

- Email trains@metronorthwest.com.au
- Go to sydnymetro.info/northwest
- Call 1800 019 989
- Visit our Community Information Centre at Castle Towers shopping centre in Castle Hill, just inside the Old Castle Hill Road entrance (Shop 490).

M sydney METRO | northwest

For all enquiries, questions or complaints please call our 24/7 community information line.

1800 019 989

M sydney METRO | northwest

For information

- Email skytrain@metronorthwest.com.au
- Go to sydnymetro.info/northwest
- Call 1800 019 989
- Visit our Community Information Centre at Castle Towers shopping centre in Castle Hill, just inside the Old Castle Hill Road entrance (Shop 490).

M sydney METRO | northwest

For all enquiries, questions or complaints please call our 24/7 community information line.

1800 019 989

M sydney METRO | northwest

For information

- Email tunnelling@metronorthwest.com.au
- Go to sydnymetro.info/northwest
- Call 1800 019 989
- Visit our Community Information Centre at Castle Towers shopping centre in Castle Hill, just inside the Old Castle Hill Road entrance (Shop 490).

TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR POWERPOINT TEMPLATES

POWERPOINT

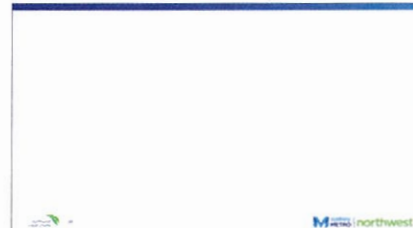
Sydney Metro has a specially adapted Powerpoint template for use by contractor consortiums.

Templates are available on request: graphics@metronorthwest.com.au

NRT PowerPoint template title slide



Contractor PowerPoint template text slide



Contractor PowerPoint template section break slide



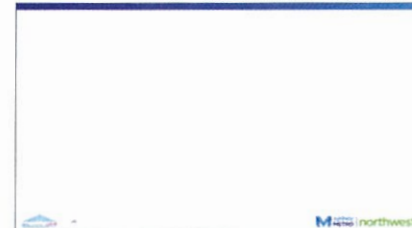
Contractor PowerPoint template image slide



ISJV PowerPoint template title slide



Contractor PowerPoint template text slide



Contractor PowerPoint template section break slide



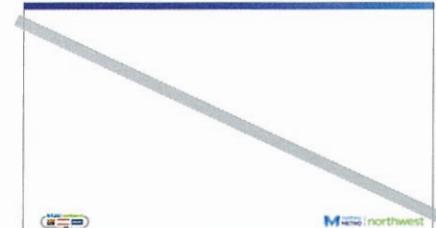
Contractor PowerPoint template image slide



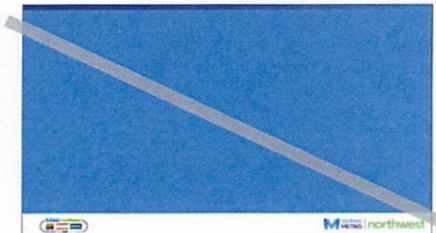
CPBJHD PowerPoint template title slide



Contractor PowerPoint template text slide



Contractor PowerPoint template section break slide



Contractor PowerPoint template image slide



TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR SHADECLOTH & HOARDINGS

Shadecloth for contractors is available in 50m wide x 1.6m high sections.

Contractor shadecloth



TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

Contractor Hoardings



TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

NRT CONTRACTOR SAFETY CLOTHING

SAFETY VEST & HAT

Contractor safety clothing is based on regulation Transport for NSW PPE guidelines.

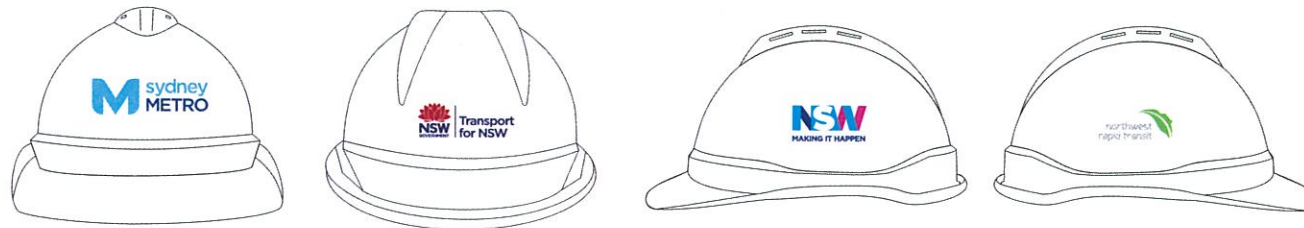
Approx width of each logo is 70mm

Safety vest



CONTRACTOR LOGO HERE

Safety hat



NRT CONTRACTOR SAFETY CLOTHING

SAFETY JACKET

Contractor safety clothing is based on regulation Transport for NSW PPE guidelines.

Approx width of each logo is 70mm.

Safety jacket



Example of safety bag branded for Sydney Metro



NRT CONTRACTOR CLOTHING

JUMPERS/JACKETS

Example of jumper and jackets branded for Sydney Metro northwest contractor and consortium logo to the right side of the clothing.

Approx width of each logo is 70mm.



*** If the Making it Happen logo cannot be reproduced due to size or space please use the example as seen here to the right



NRT CONTRACTOR UNIFORMS

POLO SHIRTS & UNIFORMS

Example of uniforms branded for Sydney Metro northwest contractor and consortium logo to the right side of the clothing.

Approx width of each logo is 70mm.

Light uniforms



Dark uniforms



*** If the Making it Happen logo cannot be reproduced due to size or space please use the example as seen here to the right



ISJV CONTRACTOR SAFETY CLOTHING

SAFETY VEST & HAT

Contractor safety clothing is based on regulation Transport for NSW PPE guidelines.

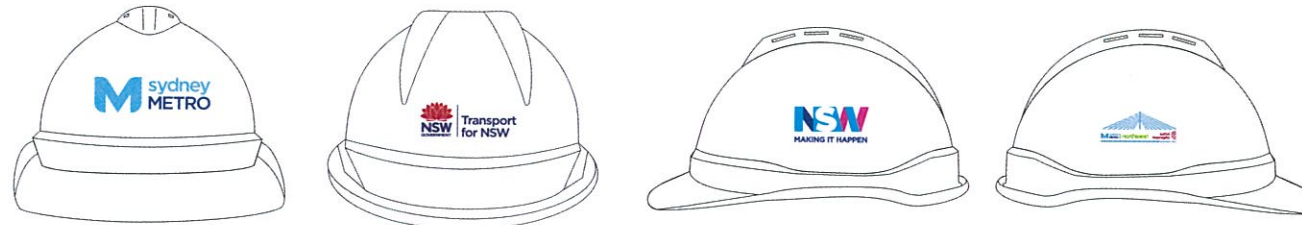
Approx width of each logo is 70mm.

Safety vest



CONTRACTOR
LOGO HERE

Safety hat



ISJV CONTRACTOR SAFETY CLOTHING

SAFETY JACKET

Contractor safety clothing is based on regulation Transport for NSW PPE guidelines.

Approx width of each logo is 70mm.

Safety jacket



Example of safety bag branded for Sydney Metro



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ISJV CONTRACTOR UNIFORMS

POLO SHIRTS & UNIFORMS

Example of uniforms branded for Sydney Metro northwest contractor and consortium logo to the right side of the clothing.

Approx width of each logo is 70mm.



Dark uniforms



*** If the Making it Happen logo cannot be reproduced due to size or space please use the example as seen here to the right

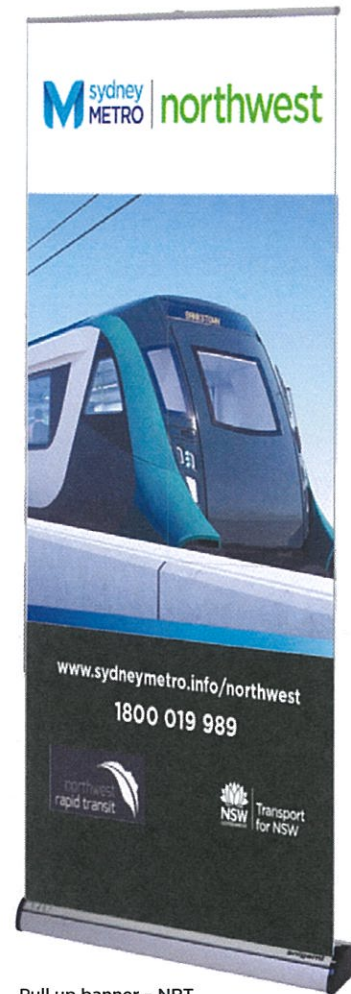


DISPLAY MATERIAL – PULL UP BANNERS

These pull up banners show the proportions of image + logo + text area. Images can be interchanged depending on the contractor.



Pull up banner – ISJV



Pull up banner – NRT



Pull up banner – CJHD

TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR MOBILE BANNERS

Example of large format vinyl banners branded for Sydney Metro Northwest

Large format vinyl banners

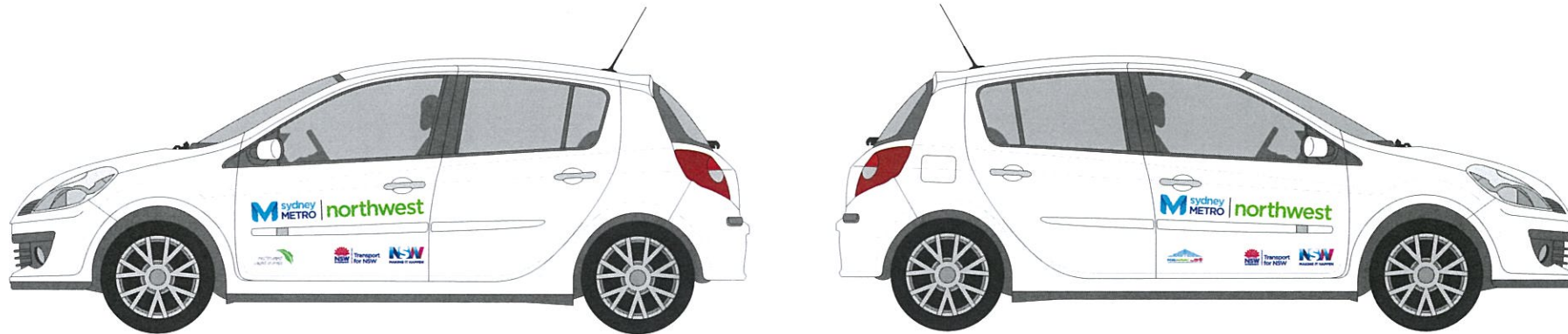


TJHD/CPBJHD contract ran from mid 2013 - mid 2016 (tunnelling finished Jan 2016)

CONTRACTOR MOBILE SIGNAGE

Examples of mobile signage for Contractor and Sydney Metro Northwest vehicles.

Car Signage



USEFUL LINKS & CONTACTS

For all graphics requests and enquiries relating to these guidelines, please contact: graphics@metronorthwest.com.au

Useful links to the NSW Government branding and style guides

NSW Government

http://www.advertising.nsw.gov.au/sites/default/files/downloads/page/nsw_government_branding_guide.pdf

NSW Government - Making it Happen

<http://www.advertising.nsw.gov.au/strategic-communications/branding>

This document should be reviewed every three months.

Project	Sydney Metro Brand	Date	July 2016
Group	Stakeholder and Community Liaison	Status	Version 4
Author	Dean McInnes	Revision	11.0
Company	Sydney Metro	File number	
File name	Sydney Metro 2016 Brand Guidelines_v11.pdf		

Review Date	Comments	Signature
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Review date 2 February 2016

Review date 3 May 2016

Review date 2 August 2016

Review date 1 November 2016



Transport
for NSW

WCAG 2.0

Quick reference guide

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Introduction

[Web Content Accessibility Guidelines \(WCAG\) 2.0](#) has been developed by the [World Wide Web Consortium \(W3C\)](#), an international community that develops web standards. It provides recommendations for making web content accessible to a wider range of people with disabilities, including blindness and low vision, deafness and hearing loss, learning disabilities, cognitive limitations, limited movement, speech disabilities, photosensitivity, and combinations of these.

Web accessibility also benefits others, including people with changing abilities due to ageing or a temporary disability, as well as improving the usability of web content for all users in general.

Transport has adopted WCAG 2.0 requirements for websites which are mandated under Commonwealth and NSW government policy, legislation, and through whole-of-government commitments, and is committed to meeting WCAG 2.0 Level AA compliance.

Conformance is required for all internet, intranet and extranet sites, even when the audience is known, as people who have a disability are not legally bound to disclose it and many do not.

This document includes:

- [WCAG 2.0 checklist](#)
- [WCAG 2.0 guidelines](#)

WCAG 2.0 checklist

1. Keyboard

All content on page is accessible using a keyboard

([WCAG guideline 2.1.1 Keyboard](#); [WCAG guideline 2.1.2 No keyboard trap](#))

- Nothing on page requires exclusive use of a mouse
- User can tab through content on page without being “trapped” (may occur with some embedded content such as Flash).

2. Colour and sensory

Conveying information

Colour is *not* used as the *only* visual means of conveying information, indicating an action, prompting a response, or distinguishing a visual element. Example: When an error is indicated to the user (say, for invalid form input), an error message needs to be displayed, not just the colour red.

([WCAG guideline 1.4.1 Use of Colour](#))

Colour contrast

When a foreground colour is specified, so is a background colour (and vice versa). Minimum contrast between foreground element and background is at least 4.5:1 for text less than 18pt (14pt if bold), or 3:1 for text greater or equal 18pt (14pt if bold). Background images, if used, provide sufficient contrast with foreground text (or images of text). ([WCAG guideline 1.4.3 Contrast \(Minimum\)](#))

Sensory characteristics

Understanding content on the page *does not* rely solely on the sensory characteristics of components such as shape, size, visual location, orientation, or sound. Example: A green arrow in a multi-page survey to move to the next page needs to have “Next” or some other explanatory text (not just the arrow by itself). ([WCAG guideline 1.3.3 Sensory Characteristics](#))

Seizure prevention

Nothing on the page flashes more than 3 times per second.

([WCAG guideline 2.3.1 Three flashes or below threshold](#))

3. Images

ALT Text

All images use appropriate alternative text. ([WCAG guideline 1.1.1 Non-text content](#))

- Alternative text provides a short but descriptive identification of the image content
- CSS is not used to include images that convey important information
- Images that should be ignored by assistive technology, such as decorative images, spacer images and list bullets, should have a null alt property (alt="").
- Set alt attributes for images used as form elements, such as submit buttons

Images of text

Text is used to convey information rather than images except in the following three cases:

1. Image of text is visually customisable by user
 2. Particular presentation of text is essential to information being conveyed and requires use of an image to do so
 3. Image of text is part of a logo or brand name
- CSS is used to control visual presentation of text (font, size, colour, etc.).
 - If CSS is used to replace text with images of text, user interface controls are provided to switch

[*\(WCAG guideline 1.4.5 Images of text\)*](#)

4. Links

The purpose of a link can be determined by the link text alone.

[*\(WCAG guideline 2.4.4 Link Purpose\)*](#)

5. Sufficient Time

Users have enough time to read the page. [*\(WCAG guideline 2.2.1 Timing adjustable\)*](#)

Page does not redirect or refresh after a certain time limit or a time-out unless the user is provided a way by which to disable the time limit; or, a way by which they may extend the time limit after being given a warning that the limit is about to expire

6. Document structure

Use proper semantic markup for all elements. [*\(WCAG guideline 1.3.1 Info and Relationships\)*](#)

- H1...H6 are used to identify all headings without skipping a level (i.e., no H3 headings used directly immediately below a H1 heading; must be H1 -> H2 -> H3)
- All lists or groups of links use either or or <dl>

7. Sequence

Content is presented in a meaningful sequence. [*\(WCAG guideline 1.3.2 Meaningful Sequence\)*](#)

- White space characters are not used to control spacing within a word
- HTML <table> elements are not used to control placement of elements on page

8. Text Resize

Text can be resized up to 200% without loss of content or functionality (e.g. using Ctrl+ in browser). Doesn't apply to captions and images of text. [*\(WCAG guideline 1.4.4 Resize Text\)*](#)

9. Language of Parts

Sections of content in language different from the primary language of the page have the "lang" (HTML) or "xml:lang" (XHTML 1.0) attributes to the appropriate language code in their surrounding tags. [*\(WCAG guideline 3.1.2 Language of Parts\)*](#)

10. Audio and Video

- **Label and alternative text (audio and video):** A label describes the purpose of the audio-only or video-only content and a descriptive name of the non-text content is provided in the alternative text. ([WCAG guideline 1.1.1 Non-text content](#))
- **Pre-recorded audio:** A text transcript is provided that presents equivalent information. ([WCAG guideline 1.2.1 Audio-only and Video-only \(Prerecorded\)](#))
- **Audio control:** If audio on a web page plays for more than 3 seconds a mechanism is provided to either: pause or stop the audio; and/or, control audio volume independently from the user's overall system volume level. ([WCAG guideline 1.4.2 Audio Control](#))
- **Captions:** Either open (always visible) or closed captions are provided for live and pre-recorded audio content in synchronised media (e.g., a video with a synchronised audio track, or a webcast). ([1.2.2 Captions \(Prerecorded\)](#); [WCAG guideline 1.2.4 Captions \(Live\)](#))
- **Pre-recorded video:** An audio description is provided for prerecorded video content by including either: a second user-selected audio track containing descriptions; or, providing the audio descriptions within the video itself. ([WCAG guideline 1.2.1 Audio-only and Video-only \(Prerecorded\)](#); [WCAG guideline 1.2.3 Audio Description or Media Alternative \(Prerecorded\)](#); [WCAG guideline 1.2.5 Audio Description \(Prerecorded\)](#))

11. Forms

- **Form labels:** Label elements are used to associate text labels with form controls which require input. Labels have same id attribute as their respective form controls. <fieldset> (with <legend>) is used to group associated form controls together. ([WCAG guideline 1.3.1 Info and Relationships](#))
- **Resize:** Form controls and input fields can be resized up to 200% ([WCAG guideline 1.4.4 Resize Text](#))
- **Focus:** The context does not change when a form element when selected by the user (e.g., automatically submitting the form, redirecting to a new page, or opening a pop-up window). ([WCAG guideline 3.2.1 On Focus](#))
- **Input:** The context does not change when a the user enters text or selection options from a form element (e.g., automatically submitting the form, redirecting to a new page, or opening a pop-up window). ([WCAG guideline 3.2.2 On Input](#))
- **Errors:** If an input error is automatically detected, that error is identified and described to the user in text. ([WCAG guideline 3.3.1 Error Identification](#))

WCAG 2.0 guidelines

1. Perceivable

1.1 Provide text alternatives for any non-text content so that it can be changed into other forms people need, such as large print, braille, speech, symbols or simpler language

1.2 Provide alternatives for time-based media

1.3 Create content that can be presented in different ways (for example simpler layout) without losing information or structure

1.4 Make it easier for users to see and hear content including separating foreground from background

2. Operable

2.1 Make all functionality available from a keyboard

2.2 Provide users enough time to read and use content

2.3 Do not design content in a way that is known to cause seizures

2.4 Provide ways to help users navigate, find content, and determine where they are

3. Understandable

3.1 Make text content readable and understandable

3.2 Make Web pages appear and operate in predictable ways

3.3 Help users avoid and correct mistakes

4. Robust

4.1 Maximize compatibility with current and future user agents, including assistive technologies

DRAFT: Demolition and Site Preparation

Community Communication Strategy

PROJECT	Sydney Metro City & Southwest	DATE	6 July 2016
GROUP	Stakeholder and Community Liaison	STATUS	DRAFT
AUTHOR	BrownAn	REVISION	01
COMPANY	Transport for NSW	FILE NUMBER	A3977330
FILE NAME	Demolition and Site Preparation Community Communication Strategy		

Revision	Revision Date	Status	Brief reason for update	Name/Position/ Company	Author/Reviewer/ Approver?	Signature

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1 About this plan

1.1 Introduction

Sydney Metro City & Southwest is required to demolish a number of buildings as part of the Chatswood to Sydenham component of the project.

The Chatswood to Sydenham component of the project involves the construction and operation of a 16.5-kilometre metro line that will extend from Chatswood, under Sydney Harbour through Sydney's CBD out to Sydenham.

Demolition and site preparation works are required at the following locations:

- Chatswood
- Crows Nest
- North Sydney
- Martin Place
- Pitt Street
- Waterloo
- Marrickville.

Given the importance Sydney Metro places on effective and strategic stakeholder and community engagement during the delivery of infrastructure works, this Community Communication Strategy has been developed to guide ongoing engagement with key stakeholders and the local community during demolition and site preparation works.

This plan is guided by Sydney Metro's policies and procedures and will comply with the Conditions of Approval for the Sydney Metro City & Southwest Project.

1.2 Objectives

This plan has been developed to support demolition and site preparation activities, and has the following objectives:

- Provide a detailed communication and engagement plan that supports the demolition program for each site
- Inform the community and other stakeholders by providing clear, factual and timely information about the timing and impacts associated with the works including proposed mitigation measures
- Provide a mechanism for prompt issues resolution
- Build key stakeholder relationships and maintain goodwill
- Ensure coordinated communications with all relevant agencies including CBD Coordination Office and Roads and Maritime Services (RMS).

2 Engagement strategy

2.1 Engagement objectives

2.1.1 Objectives

The primary objectives of this Community Communication Strategy (CCS) are to:

- Provide key stakeholders and the community with information about construction progress
- Ensure people understand the scope of the works and mitigation measures
- Ensure key stakeholders and the community understand the proposed timing of the works
- Take steps to minimise potential impacts
- Maintain and protect Transport for NSW and Sydney Metro's reputation.

Encouraging stakeholder understanding of the project is essential. If an activity and the need for it are fully understood, stakeholders can be more tolerant of short-term impacts.

By undertaking open and honest communication with stakeholders, working to minimise impacts and being approachable and responsive during this project, Transport for NSW's reputation can be maintained or improved and the project delivered on schedule.

2.1.2 Achieving these objectives

To achieve the primary objectives of this community engagement strategy, the strategy will clearly demonstrate Transport for NSW's proactive approach to working with community on its projects, including to:

- Communicate project need and the benefits to the community
- Communicate project implementation and timeframes
- Identify potential impacts on community
- Identify stakeholders potentially impacted by the project
- Identify and implement the most effective communication tools for the project and the community
- Provide feedback on enquiries or complaints
- Regularly monitor the effectiveness of the community engagement strategy and adapt where necessary.

2.2 Project key messages

Key messages facilitate a consistent and accurate flow of information from Sydney Metro City & Southwest to stakeholders.

Key messages are used to alert stakeholders to important aspects of the project and should be used in all project communications.

[Place Manager to populate post project approval]

Table 1 Key messages

Demolition and site preparation works	
Project need	
Where are the works being undertaken	
Type of work being done	
Impacts and mitigation measures	
Work hours	
Consultation	
Contact us	

3 Project timeline

Demolition and site preparation works will commence in Q1 2017 however will be staged based on availability of buildings.

The dates included in the following table are intended as a guide only.

[Place Manager and contractor to populate]

Table 2 : Estimated project timeline

Task	2017				2018			
	1	2	3	4	1	2	3	4
Community relations								
Site establishment								
Demolition works								
Demobilisation								

4 Demolition overview by site

The following is to be included [for each site]:

- Site map
- Timeline of works
- Methodology
- Stakeholder and community identification [adjacent/adjoining/sensitive receiver]
- Neighbouring stakeholders list
- Issues matrix [site by site]
- Proposed mitigation measures

[Place Manager and demolition contractor to populate]

4.1 Chatswood

4.2 Crows Nest

4.3 North Sydney

4.4 Martin Place

4.5 Pitt Street

4.6 Marrickville

5 Property requirements

5.1 Third party agreements

Sydney Metro City & Southwest will enter into third party agreements with selected properties along the Chatswood to Sydenham section of the alignment.

The purpose of these agreements is to obtain consent from directly impacted property owners for the purpose of access, encroachment, and/or temporary or permanent works.

Details on third party agreements specifically in relation to demolition and site preparation works can be found in the Adjoining Owner Agreements Communications Strategy.

5.2 Property condition surveys

Prior to demolition works commencing property condition surveys will be offered to properties (commercial and residential) located either adjacent or adjoining each demolition site (or as identified as being required by the project team).

Details on property condition surveys in relation to demolition and site preparation works can be found in the Property Condition Surveys Communications Strategy.

5.3 Access requirements

Throughout the life of the project the Sydney Metro City & Southwest Project Communications Team will be the point of contact between the demolition contractor and any property where access is required. If access to a private property is required the contractor will liaise with the appropriate Place Manager who will work with the property owner to arrange.

6 Conditions of Approval

The Sydney Metro City & Southwest Conditions of Approval (CoA) apply to the demolition and site preparation works. The CoA includes a list of requirements set out *under Part B, Community Information, Consultation and Involvement*, these requirements are shown below.

Each contractor must work with the appropriate Place Manager to ensure all relevant CoA are met.

[CoA to be updated when issued]

DRAFT

7 Project requirements

Sydney Metro has developed a Construction Noise & Vibration Strategy which outlines how Sydney Metro, including Sydney Metro City & Southwest proposes to manage construction noise and vibration.

The strategy is intended to provide a single interface for the large number of policies, guidelines, standards and regulations that apply to large infrastructure projects such as Sydney Metro.

The implementation of the standard management measures, compliance with maximum sound power levels for plant and equipment, construction hour management and standard community consultation measures in this strategy should significantly reduce the noise and vibration impacts on nearby sensitive receivers. Nevertheless, due to the highly variable nature of construction activities and the likelihood of work outside the standard construction hours on Sydney Metro projects, exceedances of the construction noise and vibration management levels are likely to occur.

Where there is a potential exceedance of the construction noise and vibration management levels a number of additional measures to mitigate such exceedances – primarily aimed at proactive engagement with affected sensitive receivers – they have been included in this strategy.

For details on management measures see Table 13 page 34 in the strategy.

8 Roles and responsibilities

The below tables outline the roles and responsibilities of the Sydney Metro City & Southwest Project Communications Team and the demolition contractor.

Project Communications Team (Place Manager)

Role	Lead and manage all stakeholder and community relations for the demolition and site preparation works. Develop project collateral and provide advice and guidance on risks and potential issues.
Responsibility	<p>Develop and oversee the implementation of the CCS</p> <p>Work with the contractor representative to ensure the CCS and key activities are integrated into the project schedule</p> <p>Develop with input from the contractor all communication material and distribute in accordance with the prescribed timeframes</p> <p>Manage all communication channels including 1800 number, email and uploading of notifications to the project website</p> <p>Attend meetings with the contractor representative as agreed</p> <p>Provide strategic guidance to the contractor on community issues management and crisis management</p> <p>Prepare reports on communication and consultation activities, status and issues with input from the contractor representative</p> <p>Establish and maintain positive relationships throughout the project with directly impacted properties and key project stakeholders</p> <p>Review all complaint reports to identify recurring issues and opportunities for improvement to respond, prevent and minimise complaints/impacts</p> <p>Complete records of all stakeholder contacts and reports within Consultation Manager (Project Communication system)</p> <p>Provide advice to site project team on stakeholder and community issues</p> <p>Contribute to the effective planning of site activities to minimise impacts on stakeholders and the community</p> <p>Undertake face-to-face consultation with local stakeholders and community members</p> <p>Act as the interface between the contractor and other agency's communication leads</p> <p>Ensure the project addresses all CoA requirements</p>

Demolition contractor representative

Role	Support the Place Manager to manage stakeholder and community relations for the project. Provide information as required for input into communication material. Manage key project risks and issues.
-------------	--

Responsibility

- Provide input into the finalisation of the CCS
- Provide support to the Place Manager to implement the CCS
- Provide a 24 hour project contact to assist in the management of enquiries and complaints
- Work with the Place Manager to ensure the CCS and key engagement activities are integrated into the project schedule
- Provide input into public communication material
- Issues and crisis management
- Understand and comply with the broader communication and consultation requirements and processes
- Update the project program to reflect required stakeholder and community consultation including preparation and approval timeframes
- Support the Place Manager in managing enquiries and complaints
- Provide input into the preparation of reports on communication and consultation activities, status, issues and complaints
- Ensure all external materials, project signage and branding on vehicles and clothing comply with the Sydney Metro Brand Style Guidelines
- Advise the Place Manager of any potential communication issues resulting from project developments
- Manage inductions for the contractor
- Provide support to the Place Manager to address stakeholder and community member issues

Further detail on the requirements for this role can be found in SMR-C Sydney Metro City & Southwest Stakeholder and Community Liaison Requirements

9 Complaint management

Complaints may include any interaction with a community member or stakeholder who expresses dissatisfaction with the project, policies, contractor's services, staff members, actions or proposed actions during the project.

For all demolition works, complaints fall into two categories for reporting purposes:

- Unavoidable complaints
- Avoidable complaints.

The main aim of these complaint categories is to record complaints received, but not unfairly penalise our contractors for complaints received about works they have approval for.

9.1 Unavoidable complaints

Unavoidable complaints include a stakeholder's opposition to the project or government policy or complaints about issues that are within planning approval.

For example:

- Complaint about noise generated at night when planning approval has been granted for night works and noise generated is within approved criteria.
- Complaint about how traffic is being controlled when the approved Traffic Management Plan is being implemented.

9.2 Avoidable complaints

Complaints about issues outside planning approval or a commitment that has been given to the community or stakeholders. These commitments may be contained in staff inductions or public communication materials prepared for the project.

For example:

- Complaint about noise at night where work is being performed outside of approved criteria. For example: work outside of approved (or notified) construction hours or approved noise levels.
- Complaint about how traffic is being controlled. Only applies when the approved Traffic Management Plan is not being implemented.
- Complaint about cars parking in parklands when the notification has stated we would not park cars in the parklands.
- Poor worker behaviour, for example: littering, swearing, poor driving behaviour, when an induction has specified that behaviour is not acceptable.

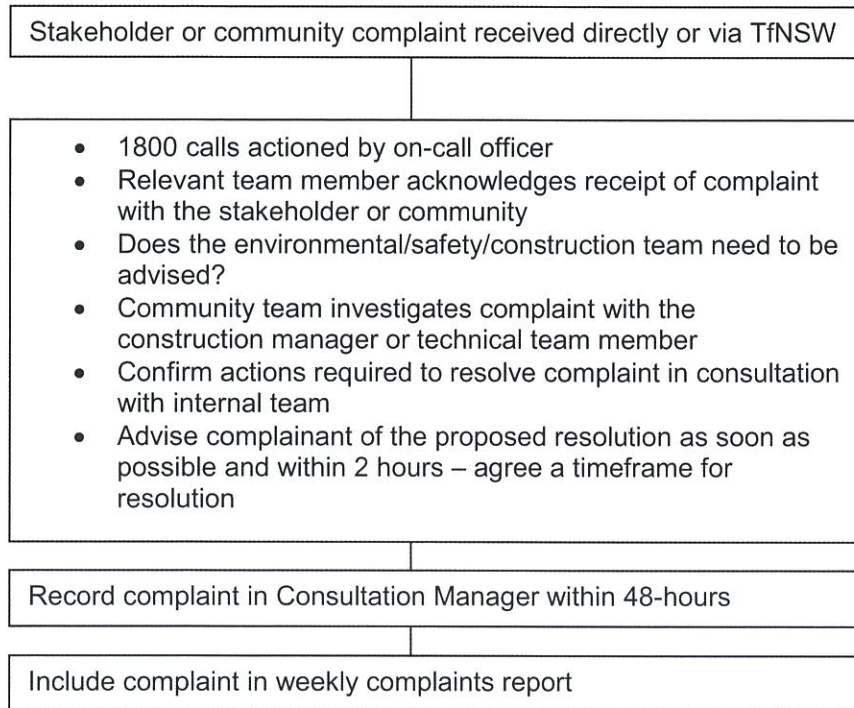
9.3 Determining an unavoidable complaint

When categorising a complaint as 'unavoidable' evidence should be referred to in the complaint notes about why the complaint has been categorised this way.

9.4 Resolving classification

If the Sydney Metro City & Southwest Project Communications Team and the contractor cannot agree on a classification of complaint, an Independent Environment Representative maybe able to assist in classifying the complaint as it relates to planning approval or commitments given to the community.

9.5 Complaints handling process



10 Communications tools

A range of communication tools will be required to communicate project information to the local community and key stakeholders throughout the demolition and site preparation works program.

Tool	Purpose
Information line, 24 hr line and community email address	To enable 24-hour contact with the project team the following communication channels have been established: Community Information Line:1800 171 386 sydneymetro@transport.nsw.gov.au
Complaints Management	Community Information Line:1800 171 386 sydneymetro@transport.nsw.gov.au Details of complaints during construction will be recorded and logged in Consultation Manager. For complaints received via phone or in person, a verbal response will be provided within 2 hours (unless complainant agrees otherwise). Complaints received via email shall receive an acknowledgement email within 24 hours.
Sydney Metro website	The website will be referenced in all communication materials as a source of information and will be updated throughout the life of the project. www.sydneymetro.info

7 day construction notification	<p>Advise community and stakeholders of construction activities no later than 7 days and include:</p> <ul style="list-style-type: none"> (i) scope of work (ii) location of work (iii) hours of work (iv) duration of activity (v) type of equipment used (vi) likely impacts including noise, vibration, traffic, access and dust (vii) details on managing impacts (viii) 24 hour telephone number, postal address and email address
Out-of-hours works notification	<p>Advise community and stakeholders of out-of-hours work activities no later than 7 days and include:</p> <ul style="list-style-type: none"> (i) scope of work (ii) location of work (map must be provided) (iii) hours of work (iv) duration of activity (v) type of equipment used (vi) likely impacts including noise, vibration, traffic, access and dust (vii) details on managing impacts (viii) 24 hour telephone number, postal address and email address
Monthly construction notifications	<p>Once the project is well underway, if suitable monthly construction notifications to neighbouring stakeholders may replace the seven day works notification. This would allow stakeholders to have a monthly calendar of works, including more advanced notice of activities that may impact them.</p> <p>Monthly construction updates will not replace the requirement to notify out-of-hours works 7-days in advance.</p>
Emergency works notification	<p>Written information to advise properties of emergency works within two hours of commencing work.</p>
Doorknock	<p>Discuss potential project impacts and proposed mitigation with residents, businesses and other stakeholders. Leave behind information and contact details will be provided for community who are not at home.</p>
Newspaper notifications	<p>Advertise in newspapers prior to significant work activities, to notify of events, and announce project milestones.</p>
Site signage	<p>Signage will be used to identify the site and provide contact information.</p>

Stakeholder email updates	Email updates will be sent to registered neighbours informing stakeholders on construction progress and any key milestones or activities. Stakeholders will be offered the opportunity to register to receive these updates via construction notifications. Email updates are intended to supplement, not replace construction notifications.
Site visits	Inform selected stakeholders about progress of the project and any key milestones or activities taking place.

10.1 Community contact and internal training

Sydney Metro City & Southwest has dedicated PMs for each of the demolition sites and their role is to take the lead on all stakeholder and community liaison. The contractor will provide a 24 hour point of contact within the project team who will support the PMs in delivering against the objectives and requirements of this and other relevant plans.

All external engagement or contact including with key stakeholders and or community members must be arranged through the PM. No project staff or contractors shall liaise with external stakeholders or the community unless briefed and authorised.

All project staff including contractors and subcontractors will be inducted onto the community relations aspect of the project including: key elements, potential impacts, surrounding stakeholders, and local issues and sensitivities.

11 Implementation plan

The focus of communications activities will be to inform the local community and stakeholders about demolition and site preparation works. It will involve advising stakeholders of project timing and activities, likely impacts and proposed mitigation measures. The following implementation plan contains key activities and dates for the demolition.

Below positions used in resources/approval:

- Principal Manager Project Delivery Communications (PMPC)
- Communications Advisor (CA)
- Place Manager (PM)
- Senior Stakeholder Manager (SSM)
- Principal Public Affairs Manager (PPA)
- Contractor Team (CT)

[Place Manager and demolition contractor to populate]

Project Activity/Communication Action	Stakeholder	Resources/Approval	Timing
Project award			
Project Activity/Communication Action	Stakeholder	Resources/Approval	Timing
Pre-condition construction survey			
•			
Site establishment, site hoardings, and establishment of environmental controls			
•			
Utility works			

Project Activity/Communication Action	Stakeholder	Resources/Approval	Timing
•			
Clearing			
•			
Road works and traffic changes			
•			
Delivery of significant equipment			
•			
Civil works			
•			
Project Activity/Communication Action	Stakeholder	Resources/Approval	Timing
Out-of-hours work			
•			

Appendix A Media Protocol

This protocol applies to all employees, subcontractors, consultants and suppliers and will be acknowledged in writing during the Project induction and in contractor and supplier agreements.

Sydney Metro will manage all media relations in relation to the Project.

All personnel, subcontractors, consultants or suppliers must not issue any information (oral or written), photograph, illustration, publication, document or article for publication concerning the Project in any media including on the internet, without the prior written approval of the TfNSW Representative.

What to do if you receive a media request or if media arrive on site without authorisation

If any personnel or subcontractor receives a direct request from the media for comment in respect of any aspect of the Project, they must immediately contact the Community Place Manager who will promptly provide details of the request to the Principal Public Affairs.

1. Be polite, but not allow media onto a site unless prior arrangements have been made with approval of TfNSW. Get their contact details and let them know that you will arrange for someone to call them.
2. Contact the Community Place Manager but do not give their numbers to the media.

Sydney Metro Requirements – Project Administration – Demolition (SMR PA)

Document Number A5394127

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11th August 2016

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1. Introduction

1.1. Purpose

This Sydney Metro Requirement – Project Administration - Demolition (SMR PA) describes requirements and processes the Contractor must comply with in relation to the administration of the project. This SMR PA must be read in conjunction with the Contract.

1.2. User Instructions

Unless noted otherwise, wherever used in this SMR PA, words and phrases have the meaning given to them in the General Conditions or the SMR Prelude.

1.3. General

The Contractor must comply with the requirements of this SMR PA including the Reference Documents in Annexure A.

2. Management Plans

2.1. General Requirements

The Contractor must have in place, maintain and consistently apply until Final Completion, the Management Plans and associated Sub plans nominated in the Contract or referenced in the Table 2.2 below. Each Management Plan must address the items below as well as any specific requirements described in the Contract:

- (a) **Policies:** A clear statement of policy for the discipline covered;
- (b) **Objectives:** The objectives that the Management Plan seeks to address and the processes that will be used by the Contractor to verify whether the Contractor's Activities and the Works are achieving those objectives;
- (c) **Requirements:** The requirements, procedures and processes for the management and implementation of the relevant Management Plan and how those will be delivered, including addressing the requirements of the Contract, Authority Approvals, Laws, Codes and Standards, programs, agreements and proposed agreements, drawings and reports;
- (d) **Documents/references:** Selected documents that are of ongoing importance for reference or monitoring, such as the development consent conditions. Where such documents are to be updated or are not immediately available, this should be noted in the Management Plan;
- (e) **Procedures and processes:** Procedures and processes for the management and implementation of the relevant Management Plan;
- (f) **Roles and responsibilities:** The allocation of personnel roles, responsibilities and delegation of authority, including the division within and between the Contractor and Subcontractors and staff training;
- (g) **Deliverables:** The various relevant Contract deliverables, including all records, reports and certificates and the outputs of the management process and

procedures are to be detailed. The Management Plan must demonstrate how the requirements will be achieved;

- (h) Records: A description of how the records of compliance, decisions and assumptions will be maintained;
- (i) Timing: An identification and integration of the timing for key milestones and targets; and
- (j) Assurance Auditing: Procedures for surveillance, self-checking and audit by the Contractor to confirm compliance of the Contractor's Activities with the requirements of the Management Plan and the Contract, and the effectiveness of the Contractor's management systems.

2.2. Initial Submission

The timing for the initial submission of the Management Plans to the Principal's Representative for review in accordance with the requirements of the Contract is nominated below in Table 2.2 of this SMR PA.

Table 2.2 Requirement for Management Plans

Requirements Defined	Management Plan Title	*Timeframe for Initial Submission
General Conditions	Workplace Relations Management Plan	30
SMR PA	Contract Management Plan	20
SMR PA	Demolition Management Plan	20
SMR PA	Property Management Plan	30
SMR PA	Risk Management Plan	30
SMR PA	Workforce Development and Industry Participation Plan	40
SMR PA	Training Management Plan	40
SMR E/CEMF	Construction Environmental Management Plan (CEMP)	20
SMR E/CEMF	Construction Noise and Vibration Management Plan (Sub plan to CEMP)	20
SMR E/CEMF	Heritage Management Plan (Sub plan to CEMP)	30
SMR E/CEMF	Waste Management and Recycling Plan (Sub plan to CEMP)	30
SMR E/CEMF	Sustainability Management Plan (Sub plan to CEMP)	30
SMR E/CEMF	Pollution Incident Response Management Plan (Sub plan to CEMP)	30
SMR E/G10	Construction Traffic Management Plan (and its Sub plans)	20
SMR S/SMPCH&SS	Project Health and Safety Management Plan	20
SMR S/SMPCH&SS	Occupational Health Hygiene & Wellness Plan	30
SMR S/SMPCH&SS	Security Management Plan	30
SMR S/SMPCH&SS	Incident & Emergency Plan	20

* measured in Business Days after the Date of the Contract

2.3. Updating Management Plans

The Contractor's Management Plans must be progressively reviewed, monitored, amended and updated. The Contractor's reviews of the Management Plans must regularly reassess their applicability, suitability and effectiveness for managing the Contractor's Activities. As a minimum, the Management Plans must be updated every 12 months. Each update of the Management Plans must be submitted to the Principal's Representative for review, in accordance with the Contract.

3. Specific Management Plans

3.1. Contract Management Plan (CMP)

- (a) The CMP is the Contractor's overarching project Management Plan that describes all other Management Plans including any Sub plans and management systems that the Contractor is required to develop under the Contract. The CMP must provide a framework to bring together all the management requirements for the Contractor's Activities into one coordinated and integrated Management Plan.
- (b) The Contractor may choose to combine the CMP with the Demolition Management Plan required under clause 3.2 below.
- (c) The CMP must inform and direct personnel and others engaged by the Contractor about the specific work practices, resources, sequence of activities, controls and checks that are to be implemented during the performance of the Contractor's Activities.
- (d) The CMP must:
 - i. explain in a systematic, coordinated and integrated structure the management method for performing the Contractor's Activities in delivering the project;
 - ii. define responsibilities, resources and processes for planning and performing the Contractor's Activities;
 - iii. define responsibilities, resources and processes for verifying that the Contractor's Activities meet the requirements of the Contract;
 - iv. cover all the Management Plans, and list the Documents and other deliverables to be produced to meet the requirements of the Contract;
 - v. cross reference each Management Plan required to be developed by the Contractor, through the use of a matrix or equivalent, listing its compliance with the relevant Contract requirements;
 - vi. identify the responsible person for developing and updating the CMP and the other Management Plans;
 - vii. describe how the Contractor will interface with the Principal's Representative to enable specific knowledge and experience of the Principal to be utilised in the development of the Management Plans;
 - viii. describe how the Contractor will comply with all Laws, Codes and Standards and requirements, applicable to the Contractor's Activities;

- ix. describe the processes to manage the interface between the Contractor, Subcontractors and the Principal;
- x. define roles and responsibilities of all Key Personnel;
- xi. include an organisation chart to show the management relationship for all personnel from the level of Foreman and above; and
- xii. incorporate an audit schedule and a surveillance schedule as well as describing procedures for proactively managing auditing requirements consistent with the Principal's Audit and Compliance Standard SM QM-ST-202 and clause 9 below.

3.2. Demolition Management Plan

The Demolition Management Plan must:

- (a) describe the procedures and processes that the Contractor will undertake to plan and execute the Contractor's Activities;
- (b) detail how the Contractor will comply with its obligations under the Contract in relation to the control, establishment, security, use and rehabilitation of the Site including the arrangements to provide access to, within and through the Site for the Principal, Other Contractors and any other person nominated by the Principal;
- (c) describe procedures for the preparation and implementation of plans and Safe Work Method Statements before the start of related demolition work;
- (d) describe procedures for the management of Subcontractors and their plans and Safe Work Method Statements;
- (e) describe the processes for the preparation and certification of designs for Temporary Works and Demolition Methodology;
- (f) describe the processes during the demolition process to ensure the Temporary Works are constructed according to their design;
- (g) describe procedures to ensure the prompt identification and recording of Defects, including process for the rectification of those Defects;
- (h) include structured and verifiable processes for monitoring and ensuring compliance of the Contractor's Activities with the requirements of the Contract as well as include structured and verifiable processes for the rectification of any non-conformances;
- (i) describe procedures for the Contractor's mobilisation and demobilisation to carry out the Contractor's Activities, including mobilisation and demobilisation of personnel, Construction Plant and equipment and closeout of stakeholder communications;
- (j) address the Contractor's management of time related facets of the Contractor's Activities, including the production, subsequent and monthly updates of the Contractor's Program;
- (k) address the Contractor's processes and procedures for the management of stakeholder and community liaison requirements in accordance with SMR C;

- (l) address the requirements of AS 2601 Demolition of Structures and the Demolition Code of Practice;
- (m) describe the Contractor's Quality Management System including the preparation of Inspection and Test Plans (ITPs) and the method for the release of Hold Points;
- (n) address the management of interfaces with all Authorities and Other Contractors including:
 - i. communication channels, processes for ensuring efficient information flow, communication protocols and meeting schedules;
 - ii. sequencing and timing of activities with the interfaces, including special programs; and
 - iii. roles and responsibilities of personnel and organisations for key aspects of the interface.
- (o) outline incident reporting and crisis management procedures with reference to the Contract, including the SMRs; and
- (p) include in its appendices, each Demolition Methodology and the requirement to submit each Demolition Methodology to the Principal's Representative for review in accordance with the Contract. In addition, each Demolition Methodology must include the following:
 - i. drawings showing the site establishment including the location of hoardings, scaffolding, entry to and egress from the Site, traffic controls, vehicle movements and major equipment;
 - ii. drawings showing the staging of the demolition from site establishment through to Completion, including works adjacent to adjoining properties;
 - iii. each Demolition Methodology to be deployed including equipment to be deployed and sequence of removal of demolished materials;
 - iv. scope and methodology for the removal and/or diversion of utilities;
 - v. methodology for treatment of contamination;
 - vi. proposed hours of work;
 - vii. local barriers to shield high noise impacts;
 - viii. all monitoring as required by the Contract;
 - ix. details of unrestricted demolition licence and SafeWork NSW approved unrestricted demolition supervisors for each Site;
 - x. practices to maintain safety during demolition in accordance with requirements of WHS Legislation;
 - xi. measures to mitigate noise and vibration impacts to adjacent and surrounding properties in compliance with the Contract;
 - xii. measures to mitigate dust and other environmental impacts in accordance with the Contract; and
 - xiii. input from and certification by the Structural Engineer.

3.3. Property Management Plan

The Property Management Plan must describe the management systems and process for the following:

- (a) Management of the Site including site definition, access, security, interface with others, risk management etc.
- (b) Property risk assessment prior to the commencement of Contractor's Activities to identify properties which may be susceptible to damage
- (c) Minimisation of disruption to property owners and occupiers.
- (d) Pre and post demolition property Condition Surveys including a list of properties to be surveyed.
- (e) Details of setting out and surveys.
- (f) Demolition phase monitoring of relevant properties.
- (g) Property damage management and claims.
- (h) Clean up of Site after completion of the demolition works

3.4. Risk Management Plan

The Risk Management Plan must include:

- (a) an outline of the framework and approach for developing, utilising, and maintaining a risk register capable of supporting effective risk management and reporting risk information;
- (b) the management of risks applicable to the undertaking all of the Contractor's Activities;
- (c) details of the Contractor's approach to risk management, its risk framework, processes and internal controls to manage risks in accordance with ISO 31000 - Risk Management Guidelines and Principles and the TfNSW Sydney Metro Risk Management Standard;
- (d) processes and procedures for the systematic identification, assessment, treatment and management of hazards and risks;
- (e) details on how the Contractor will embed risk management through the Supply Chain and into the various functions, procedures and activities necessary to achieve optimal risk management outcomes;
- (f) details on how the Contractor's decision making processes and risk management systems are aligned;
- (g) details of the Contractor's organisational structure that identifies risk management roles, responsibilities, and accountabilities, and the expertise and training required to perform such roles;
- (h) the consultation processes employed by the Contractor in relation to identified risks and the personnel involved in the consultation process;

- (i) the means to identify and quantify risk situations as they emerge and to initiate corrective action immediately, regardless of the timing relative to planned risk management process reviews;
- (j) details of key project timeframes and milestones where the Contractor will undertake risk workshops and meetings, including joint risk workshops with the Principal, to identify and, or review risks that update the Contractor's risk register;
- (k) the process that assigns, to an individual in the Contractor's management team, ownership of:
 - i. each risk (including threat and opportunity events) to the project;
 - ii. each control measure to manage threats and opportunities; and
 - i. each task (being a planned action and associated milestone to improve or enable effective controls).
- (l) details on the timing and scope of The Contractor's internal and external risk review processes, compliance, and audit related activities, including methods used to ensure that risk control measures and tasks are on schedule and effective;
- (m) risk criteria and a risk matrix that are appropriate for the Contractor's Activities;
- (n) details of how a risk register will be used as a tool to manage risks related to the delivery of the Contractor's Activities, and a template of the Contractor's proposed risk register;
- (o) details of internal and external reporting of risks and risk management;
- (p) a process and methodology for the management of any risks that are identified by the Principal, and for the inclusion of any such risks in the Contractor's risk register, as well as details of any specific measures The Contractor will adopt to minimise risks to the Principal's stakeholders and any third party stakeholder;
- (q) details on how the Risk Management Plan will be implemented;
- (r) details how the risks identified under the Risk Management Plan and its processes are integrated and managed with the other Management Plans;
- (s) performance criteria for the Risk Management Plan and processes to report on their results in the Contractor's monthly report, described in clause 7; and
- (t) processes and procedures to show how the requirements of clause 4 of this SMR PA will be implemented.

3.5. Workforce Development and Industry Participation Plan

The Workforce Development & Industry Participation Plan must address the requirements of SMR W and include:

- (a) the workforce development and industry participation team structure, including key personnel authority and roles of key personnel, lines of responsibility and communication, minimum skill levels of each role and interfaces with the overall project organisation structure;
- (b) how the Contractor will maximise opportunities for ANZ SME to deliver works, services or supplies that are required for Contractor's Activities.

- (c) plans to implement sustainable procurement initiatives that provide environmental and social improvements.
- (d) an outline of the systems that will be used to support workforce development and industry participation management; and
- (e) the approach to sustainable procurement including:
 - i. the approach for support of SMEs;
 - ii. the approach for support of Certified Aboriginal Businesses;
 - iii. interfaces with other Management Plans

3.6. Training Management Plan

The Training Management Plan must address the requirements of SMR W and must:

- (a) describe the Contractor's training policy and the training management guidelines;
- (b) describe systematic and comprehensive arrangements for managing the competence of Staff, including the plans, processes, tools and methods for:
 - i. identifying professional development and training needs, considering:
 - 1. prior learning and experience as a valid basis for competence development;
 - 2. training requirements and procedures with law enforcement agencies, other emergency service providers and with other relevant transport providers;
 - ii. identifying potential skill shortages and gaps and how they might be addressed;
 - iii. planning, implementation and recording of relevant professional development and training activities to enhance the knowledge and skills of staff, and the organisation as a whole;
 - iv. periodic assessments of staff competence;
 - v. certification processes, including those required for staff undertaking systems assurance activities, testing and verification activities, and Rail Safety Work as defined in the Rail Safety National Law;
 - vi. establishing and maintaining competence records and a register of staff, containing appropriate and timely information about all competence aspects of staff, including certification; and
 - vii. Upskilling staff through competency assessments to ensure they have appropriate technical and professional abilities.
- (c) provide an indication of how structured training outcomes including Nationally Recognised Accredited Training will be achieved;

- (d) include a schedule of training;
- (e) provide a detailed description of the training facilities and activities required;
- (f) provide an indication of how structured training outcomes including Nationally Recognised Qualifications will be achieved including reporting of targets and achievements as required by the training management guidelines;
- (g) include competence assessment programs and periodic proficiency testing by job function, and a resourcing schedule for instructors;
- (h) include a description of course content and training materials, including trainer guides, a list of training syllabi, presentations, learner notes and special tools or equipment;
- (i) provide a description of how quality of teaching, training and assessment will be evaluated, including training program development and delivery, trainer and assessor competence, resourcing and measurements of learner outcomes;
- (j) detail the strategies undertaken and outcomes of applications for workforce development funding and programs including subsidies and grants; and
- (k) outline the arrangements to maintain competence management records that contain appropriate and timely information about all competence aspects of a candidate.

4. Risk Management

- (a) The Contractor must undertake risk management as an integrated part of the Contractor's Activities, including:
 - i. implementation of risk management techniques to identify and assess risks which are applicable to the undertaking of the Contractor's Activities and develop and implement strategies to treat and manage these risks to an acceptable level;
 - ii. undertaking risk management in accordance with the requirements of AS/NZS/ISO31000, ISO/IEC31010, and consistent with the requirements of TfNSW Sydney Metro Risk Management Standard;
 - iii. consideration of risk in order to identify potential property that could be affected or damaged by the Contractor's Activities;
 - iv. management of adverse impacts and realise potential opportunities relating to the performance of The Contractor's Activities;
 - v. holding joint risk workshops with the Principal at key project phases and milestones to identify and assess key risks associated with the Contractor's Activities and development mitigation strategies;
 - vi. production of a consolidated risk register that includes all reasonably foreseeable risks associated with The Contractor's Activities;
 - vii. a risk register that records the relevant details related to each risk, as a minimum the details specified in the Risk Management Plan;

- viii. reporting on risks and risk management in accordance with the reporting requirements in the Risk Management Plan; and
 - ix. ensure that the individuals and resources allocated to risk management activities are suitably trained and made available to effectively implement the Risk Management Plan.
- (b) The Contractor must maintain an up-to-date risk register, consistent with the requirements of the Risk Management Plan, which is inclusive of the following:
- i. a description of all risks applicable to all stages and phases including transition between phases and their likely impact;
 - ii. analysis, assessment and evaluation of all risks;
 - iii. details of specific risk control measures and proposed treatments for identified risks to eliminate or reduce risks;
 - iv. the current and residual risk level assessed for each risk in terms of consequence and likelihood in a manner compatible with the Principal's risk management system defined in the Sydney Metro Risk Management Standard;
 - v. the personnel responsible for managing the risk and monitoring implementation of treatment measures; and
 - vi. demonstration that risks to safety have been eliminated, or have been minimised and managed so far as is reasonably practicable.
- (c) Upon request by the Principal's Representative, the Contractor must provide access to the Contractor's complete set of risk registers. Where the Contractor's risk registers are accessible electronically, and the Principal's Representative agrees, the Contractor may provide the Principal with access to project relevant parts of its electronic system in lieu of paper copies.
- (d) Prior to Completion the Contractor must provide a list of the residual risks which will be in existence beyond Completion.

5. Contractor's Program

- (a) The Contractor's Program and its updates must be submitted to the Principals Representative for review in accordance with the clause 9.8 of the Contract. Updates and revisions of the Contractor's Program apply in the situations contemplated in clause 10.2 of the Contract. Nothing in this clause 5 limits the Contractor's obligations under clause 10.2 of the Contract.
- (b) The initial and all subsequent versions of the Contractor's Program must meet the following general requirements:
- (i) identify the Dates for Completion of each Portion and demonstrate how the Contractor will achieve Completion of each Portion by the relevant Date for Completion;

- (ii) identify the full scope of the Contractor's Activities, and any Temporary Works including items such as traffic management, mobilisation, site establishment, interface management, review periods etc.;
- (iii) minimise the use of positive or negative lags between activities by replacing lags with activities;
- (iv) not constrain the networks so as to prevent the program from reacting dynamically to changes;
- (v) include details on programming contingencies, providing rationale for the applied program contingency amount;
- (vi) show the dates when the Contractor will require information, documents, materials or instructions from the Principal under the Contract and the dates when the Contractor will provide information or documents to the Principal, taking account of the review or approvals processes and timeframes contemplated by the Contract;
- (vii) be based on a time-scaled calendar in units of one week and identify working days, non-working days, shifts, statutory holidays, rostered days off, Christmas shutdown and any other shutdowns;
- (viii) break down all activities into periods of no greater than four weeks with sufficient details to allow accurate monitoring of the progress of the Contractor's Activities;
- (ix) contain activities, each having an activity ID, activity description, original duration, start date, finish date and dependencies;
- (x) identify access and handover dates, staging and sequences of design and construction activities, other significant events, the critical path and the float relating to activities not on the critical path;
- (xi) clearly identify access requirements and activities, including site access, track possessions, service outages, public domain access requirements;
- (xii) differentiate between the work to be undertaken by the Contractor and the work to be undertaken by Subcontractors;
- (xiii) identify the award of all significant contracts and subcontracts related to the Contractor's Activities;
- (xiv) identify all pre-construction activities and all reviews and approvals required to be obtained from Authorities, the Principal or Principal's Representative including preparation, consultation, submissions and reviews of Authority Approvals;
- (xv) identify all certification and licenses required to be obtained by the Contractor to comply with its obligations under the Contract;

- (xvi) identify all significant external events activities that have a bearing on time required to complete the Contractor's Activities;
- (xvii) identify all staging of the Contractor's Activities and all external interfaces that:
 - A. impact on the Contractor's Activities;
 - B. impact on the activities of the follow on Contractor; and
 - C. provide opportunities for the follow on Contractor to commence work earlier.
- (xviii) be submitted in electronic format which must include:
 - A. electronic format for publishing in Adobe Acrobat .pdf files;
 - B. native format (.xer) files that permits 100% data and format transfer with Oracle Primavera P6 Release 8.1;
 - C. layout and filter files (.plf) together with the native format (.xer) files; and
 - D. allow interrogation by the Principal's Representative.
- (xix) be prepared using Primavera P6 Professional Release 8.1 or later releases; and
- (xx) comply with the Schedule Meta-Data Requirements.
- (c) Monthly updates of the Contractor's Program must be submitted to the Principal's Representative on the 7th Business Day of each calendar month, which include progress information to the end of the preceding calendar month.
- (d) In addition to the general requirements of clauses 5 (b) above, monthly updates of the Contractor's Program must also include the following:
 - (i) status the actual progress of activities based on the physical work completed;
 - (ii) remaining duration, actual start and actual finish for progressed and completed activities;
 - (iii) show program changes as described in clause 10.2 d) of the Contract as separate activities, so that time can be clearly distinguished from the original Contract scope;
 - (iv) clearly identify activities supporting progress payments, key milestones, and Portions;
 - (v) clearly identify the amount of program contingency available for each Contract Portion;

- (vi) a written narrative which clearly describes how the program has been developed. The program narrative must be in sufficient detail to enable the durations, leads and lags in the logic diagram to be assessed and to explain any constraints that may exist within the program network logic, and must include the following:
- A. an overview of the delivery strategy as reflected in the Contractor's Program;
 - B. executive summary program that is a maximum of two pages;
 - C. Not Used
 - D. fundamental assumptions;
 - E. key indicators of program progress, performance, and trends;
 - F. long lead items, approvals and permits;
 - G. critical path;
 - H. calendars, working hours and work shifts;
 - I. production rates and cycle times;
 - J. construction staging and major work front configuration;
 - K. resource allocation and profile;
 - L. internal and external constraints;
 - M. Not Used;
 - N. program risks and contingencies;
 - O. program opportunities;
 - P. Not Used;
 - Q. Not Used; and
 - R. mitigation measures that could be implemented in the case of delay.

6. Document Management

6.1. Principal's Document Management System Tool

- (a) Without limiting any specific requirements of the contract, the Contractor must use the prescribed Electronic Portal, as notified by the Principal's Representative for the entirety of the Contractor's Activities.
- (b) The Contractor must carry out all liaison activities within the Electronic Portal, including but not limited to:

- (i) creation and responses to all project correspondence;
 - (ii) Requests for information (RFI);
 - (iii) upload of all controlled documents including but not limited to, drawings, specifications, procedures, checklists, management plans, test plans, inspections, Safe Work Method Statements, certificates and schedules;
 - (iv) all submissions for review by the Principal's Representative under clause 9.8 of the Contract; and
 - (v) transmittal of documentation to other project participants.
- (c) The Contractor must use the metadata codes, title information and document numbering format provided by the Principal's Representative when uploading documents to Electronic Portal.
- (d) Access to the Electronic Portal will be granted to the Contractor's staff following completion of general user training.

7. Monthly Reporting

Without limiting any other reports that may be required under the Contract, the Contractor must prepare and submit to the Principal's Representative for review in accordance with the Contract, a monthly report which meets the requirements of the Contract, including the following items:

- (a) a summary of the Contractor's Activities undertaken in the previous month and the planned Contractor's Activities over the forthcoming month and quarter;
- (b) a summary of the status of the Contractor's Program including any changes to the forecast Dates of Completion of any Portion together with the reasons for those changes;
- (c) a summary of any delays to the Contractor's Activities or any Portion;
- (d) any other information required under clause 9.16 of the Contract;
- (e) a list and timing of Hold Points and Witness Points planned for the forthcoming two months;
- (f) a description, including photographs, of the progress made on all current Contractor's Activities;
- (g) a summary of the financial status of the Contract, including detailed final cost forecasts, and separate lists for the cost of approved Changes, Claims and outstanding claims for Changes;
- (h) a cashflow forecast for the remainder of the Contractor's Activities on a month by month basis;
- (i) the number and categories of personnel and equipment currently engaged by the Contractor to carry out the Contractor's Activities (including those engaged in off-site functions), compared with the planned resources for the Contractor's Activities;

- (j) the status of Design Documentation for Temporary Work, major procurement orders, Subcontracts, and general demolition;
- (k) the status of planning activities including Authority Approvals;
- (l) Safety statistics, as required by SMR S;
- (m) Defects in any Authority Approvals, Contractor's Activities and Temporary Works and the steps taken by the Contractor to address those Defects;
- (n) any issues arising from or affecting the CMP and its related Management Plans;
- (o) records of all corrective and preventative actions taken by the Contractor under the Contract and audits of such actions;
- (p) cooperation, coordination, industrial relations and interface issues with Other Contractors;
- (q) summary updates relating to community issues and potential community issues;
- (r) complaints received by the Contractor in relation to the Contractor's Activities;
- (s) other key issues that have the potential to affect the Contractor's Activities;
- (t) the status of audit activities during the reporting period. As a minimum, the Contractor must provide the following information:
 - i. details of audits performed (planned vs completed);
 - ii. audit findings (with rating / priority) and corrective actions;
 - iii. implementation status of corrective actions (open and overdue); and
 - iv. explanation for audits not completed as planned and for overdue corrective actions.
- (u) property damage claims;
- (v) a summary of key risks and opportunities, as defined in agreement with the Principal and corresponding risk treatments or opportunity implementations, either underway or planned;
- (w) details of key risks likely to affect the Contractor's Program or the achievement of project objectives including those associated with key stakeholders including the community, key interfaces, WHS, environment and cultural heritage;
- (x) key changes in the Contractor's risk profile and risk register since the previous monthly report and trend reporting, including:
 - i. new or emerging risks that have been identified;
 - ii. risks that have increased or decreased in risk exposure rating;
 - iii. risks that have occurred and how the impact is being managed; and
 - iv. risks that have been closed or eliminated.

- (y) the current version of Contractor's risk register; and
- (z) Any other information the Principal's Representative reasonably requires.

8. Quality

8.1. Quality Management System

- (a) The Contractor must have in place, maintain and consistently apply until Final Completion an "AS/NZS ISO 9001" certified quality management system.
- (b) The Contractor must prepare a schedule of ITPs and ITP forms that the Contractor must use to verify that the Contractors Activities comply with the Contract.
- (c) The Contractor must submit a schedule showing the status of all ITPs, including any which are planned but not yet prepared, to the Principal's Representative on a monthly basis, for review in accordance with the Contract.
- (d) Where requested, the Contractor must submit any ITP to the Principal's Representative for review in accordance with the Contract.
- (e) The Contractor must prepare a schedule of Witness Points and Hold Points. This schedule must list all proposed Witness and Hold Points and must be kept up to date.
- (f) The Principal Representative may at any stage during the performance of the Contractors Activities nominate Hold Points and Witness Points for inclusion in the ITPs.
- (g) The Principal's Representative and the Environmental Representative may nominate persons to attend or witness the release of any Hold Point or to attend any Witness Point.
- (h) The Principal's Representative and the Environmental Representative must be given a minimum of 3 Business Days' notice of all forthcoming Hold Points and Witness Points.
- (i) The Contractor must assign a nominee for Each Hold Point that is acceptable to the Principal's Representative.

9. Audits and Surveillance

9.1. Principal's Audit and Surveillance

- (a) The Contractor's Management Plans, systems and processes will be subject to audit and surveillance by the Principal to gain assurance that the Contractor has established effective management systems and processes to meet the requirements of the Contract. The Principal may utilise its own auditor(s) and surveillance officer(s) to perform these activities, supported by subject matter experts where relevant.
- (b) The nature of audit and surveillance activities may include risk-based compliance testing; desktop review of documentation; inquiry and observation of activities; and review of developing processes or activities in the form of a review to test readiness to implement.

- (c) Where elements of the delivery program are sub-contracted, the Contractor must pass its audit and surveillance requirements to its Subcontractor and be able to provide evidence that these Contractor's Activities are being effectively overseen by the Contractor. If requested by the Principal, the Contractor will provide evidence of the effective implementation of management systems and procedures by its Subcontractors.
- (d) The Contractor must be cooperative in assisting the auditors and surveillance officers in undertaking their duties. This includes providing access to Sites; systems and documentation; facilities to perform audits and surveillance; and participation of representatives from the Contractor and Subcontractors if the scope of the audit warrants.

9.2. Collaborative Audit Program

- (a) Besides the Principal, a number of other parties (such as Regulators, an Authority etc.) are required to, or may have an interest in auditing systems and processes established by the Contractor. A collaborative audit program will be established by the Principal to coordinate audit activities across the project.
- (b) It is an objective of the Principal that these audit activities are coordinated in order to provide timely and cost effective assurance that aligns and standardises the planning, conduct and reporting of audits. The Principal will conduct audits on the Contractor's compliance with the requirements of the Contractor and the Contractor's quality management system.
- (c) The Principal may conduct audits on the Contractor's compliance with the Contract and Management Plans.
- (d) Audit findings are to be reported in accordance with the Principal's Audit and Compliance Standard SM QM-ST-202. This includes rating of audit findings based on an assessment of risk and priority for action. These records may be used by the Principal for any purpose.
- (e) The Principal will establish an Audit Working Group, with representatives from the Principal; Contractor; and other parties that may have an interest in the project, to manage the collaborative audit program. The Audit Working Group will, on a collaborative basis, develop, agree and implement a risk based audit program covering all aspects of the Contractor's Activities.
- (f) The Contractor must attend the Audit Working Group meetings. The meetings will be held whenever requested by the Principal, but will typically be held on a monthly basis.
- (g) Where the Contractor performs compliance audits of its systems and procedures, the Principal must be invited to participate in the audit planning and oversee conduct of the audit. The Contractor must provide a copy of the audit report to the Principal.
- (h) The Contractor must implement systems and procedures to ensure audit recommendations and corrective actions are actioned in a timely and agreed manner. The status of audit action implementation must be reported by the Contractor, on a monthly basis.

- (i) Periodically, the Contractor must allow the Principal to verify the effectiveness of the audit action implementation and reporting process by providing evidence that audit actions have been implemented.

10. Working Adjacent to the Rail Corridor and Rail Environment

The Contractor must comply with the following when working adjacent to the Rail Corridor.

- (a) Sydney Trains or another Operator/Maintainer may continue to use areas adjacent to the Site as part of normal operations of the railway system on a commercial basis during the undertaking of the Contractor's Activities. The continuance of normal operations of the railway system, including within the Rail Corridor, the Site, adjoining areas and railway stations, on a commercial basis by Sydney Trains or another Operator/Maintainer during the performance of the Contractor's Activities must be maintained to the satisfaction of the Operator/Maintainer as notified by the Principal's Representative.
- (b) The Contractor must ensure that the railway system operations and infrastructure are not impeded or interfered with by reason of the performance of the Contractor's Activities.
- (c) In performing the Contractor's Activities, the Contractor must do everything that could be reasonably expected of the Contractor to avoid Sydney Trains or another Operator/Maintainer breaching any obligation it may have arising out of or in connection with the continuing operation of the railway system on a commercial basis.
- (d) The Contractor must comply with any applicable Sydney Trains or other Operator/Maintainer standards or guidelines including for work that is adjacent to an operating rail line and to live overhead wires, including ASA Standard T HR CI 12080 ST External Development, dated February 2015.
- (e) Whilst undertaking the Contractor's Activities, no employees or Construction Plant (including, for example, by the slewing of cranes) of the Contractor, Subcontractors or consultants must enter an operating Rail Corridor, except as permitted by Sydney Trains "RailSafe Network Rules" and "RailSafe Network Procedures". In such cases the Contractor must notify the Principal's Representative ahead of entering the Rail Corridor.

11. Protection of Property

11.1. Property Condition Surveys

11.1.1. Condition Surveys

The Contractor must carry out pre and post demolition, Condition Surveys and must comply with the following requirements:

- (a) the Contractor must ensure that the processes and procedures for performing all Condition Surveys on buildings and other infrastructure facilities including roads

and footpaths are based on industry best practices. Examples of acceptable standards for Condition Surveys of buildings include:

- i. sections 4 and 5 of the “Royal Institute of Chartered Surveyors (RICS) Guidance Note 63/2010 Building surveys and technical due diligence”; and
 - ii. “AS 4349 Inspection of Buildings – General Requirements”, and with specific regard to the heritage elements.
- (b) the Contractor's reports on Condition Surveys of buildings must as a minimum record the following features and included dated photographs:
- i. major features of the buildings and developments including location, type, construction, age and present condition, including any defects or damage;
 - ii. type of foundations including columns, walls and retaining structures;
 - iii. an assessment of the susceptibility of the building to further movement or stress;
 - iv. an assessment of the effectiveness of water-proofing systems in basements to the anticipated movements caused by the Contractor's Activities;
 - v. an assessment of the susceptibility of the building to changes in water levels resulting from the Contractor's Activities; and
 - vi. a summary description of the condition of the property, ground and infrastructure.
- (c) existing levels of aesthetic damage are to be recorded in accordance with the assessment requirements of “Building Damage Classification”, by Burland et al, 1977 and Boscardin and Cording, 1989 or another similar or equivalent assessment method to the satisfaction of the Principal's Representative.
- (d) The condition surveys must be carried out by an independent and appropriately qualified and experienced assessor for the specific property being assessed.

11.1.2. Pre-Demolition Conditions Surveys

The Contractor must carry out pre-demolition property Condition Surveys in accordance with the Contract.

11.1.3. Post-Demolition Conditions Surveys

- (a) The Contractor must perform a post-demolition Condition Survey on each property previously subject to a pre-demolition Condition Survey and in accordance with the Contract.
- (b) The Contractor must ensure that the same surveyor performs both the pre-demolition and post demolition Condition Surveys on a particular property.
- (c) Each Condition Survey must contain a certificate from the surveyor who performed the survey certifying that the survey has been completed and is an accurate assessment of the property's condition.

- (d) The post-demolition property Condition Survey reports must include a determination of the cause of any monitored change or damage identified (if any) since the pre-demolition Condition Survey and the Contractor's proposed remedial works or activities. If any damage is found to have been caused by the Contractor's Activities, the Contractor must:
 - i. provide the Principal's Representative with a proposal setting-out the remedial action required; and
 - ii. obtain the property owner's acceptance, in a form agreed to by the Principal, of the compensation, repair or reinstatement work, and release from future claims and actions.
- (e) If no damage is found to have been caused by the Contractor's Activities, the Contractor must:
 - i. write to the property owner and provide a copy of both reports for the property owner's records; and
 - ii. provide the Principal's Representative with a copy of all records for its future reference.

11.2. Demolition Phase Monitoring

- (a) The Contractor must implement a monitoring and inspection regime for properties with the potential to be detrimentally or negatively affected by the Contractor's Activities. The monitoring and inspection regime must address the requirements of the Contract including the Planning Approvals, Third Party Agreements and agreements made with any Authority.
- (b) For activities adjacent to the Rail Corridor, the Contractor must implement specific monitoring regimes and emergency and response procedures for all Contractor's Activities close to or which may impact on rail operations in accordance with the Operator/Maintainer monitoring standards.

Annexure A: List of Reference Documents

- TfNSW Sydney Metro Risk Management Standard SM RM-ST-201
- TfNSW Audit and Compliance Standard SM QM-ST-202
- Sydney Trains – RailSafe Network Rules <https://railsafe.org.au>
- Sydney Trains – RailSafe Network Procedures <https://railsafe.org.au/procedures>



Integrated
Management
System

Risk Management Standard

SM RM-ST-201/3.0

Sydney Metro Integrated Management System (IMS)

Applicable to:	Sydney Metro
Author:	Principal Manager, Program Risk
System owner:	Executive Director, Commercial & Risk
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1. Introduction

The Sydney Metro Delivery Office acknowledges that a key pre-requisite to the successful achievement of its goals and objectives is the development and ongoing application of a tailored enterprise-wide approach to risk management that is embedded in every aspect of Sydney Metro's delivery and operations.

Sydney Metro has established a Risk Management System (RMS) to ensure it is meeting its objectives and those of Transport for NSW (TfNSW), as well as the specific objectives of the transport product it is assigned to deliver. The 'policy' vision for risk management across Sydney Metro is outlined in [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#).

1.1. Purpose

The purpose of this Standard is to define the minimum system level requirements mandated for the consistent application of risk management across Sydney Metro. It details the strategy, approach and processes required to be adopted across Sydney Metro for risk management, including responsibilities, documentation and reporting.

The Sydney Metro RMS is consistent with AS/NZS ISO 31000:2009 and designed to enable the organisation to comply with the requirements defined in [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#). It reflects TfNSW's requirement for risk management and is consistent with the [TfNSW Enterprise Risk Management \(TERM\) Risk Policy 10-PO-006](#) and the minimum system requirements defined in the [TERM Risk Standard 30-ST-164](#).

This Risk Management Standard describes the:

- processes for the management of risk, including identification, assessment, evaluation and treatment;
- allocation of accountability and responsibility for the various aspects of risk management;
- records to be created, collected, reviewed and maintained to facilitate and record risk management implementation; and
- required reporting on progress in the management of risk and the effectiveness of the risk management system and process itself.

1.2. Scope of Application

Risk Management is one of the eleven management system elements that comprise the Sydney Metro Integrated Management System (IMS). The IMS ensures customer requirements are met and quality outcomes are achieved across the project management functions of the Sydney Metro Delivery Office and Sydney Metro's business management functions. The requirements of this Risk Management Standard are applicable to all personnel involved with Sydney Metro and all areas of Sydney Metro's operations. This includes:

- All direct and indirect employees of Sydney Metro as part of the Sydney Metro Delivery Office.
- All service providers, consultants and specialist advisors contracted directly or indirectly to Sydney Metro.
- All contractors, subcontractors and suppliers contracted directly or indirectly to Sydney Metro.

There are no specific exclusions or instances to which the requirements of this Risk Management Standard do not apply, either to individuals or activities associated with Sydney Metro. The application of this Risk Management Standard does not replace or detract from the requirements for:

- Sydney Metro to meet its legislative requirements;
- staff and contractors to act in accordance with published TfNSW policies; and/or
- the need to apply various other elements of the TfNSW Quality Management System and the Sydney Metro Integrated Management System.

1.3. Definitions

All terminology in this Standard is taken to mean the generally accepted or dictionary definition. Other terms and references specific to Risk Management are defined within [SM QM-FT-435 Integrated Management System \(IMS\) Glossary](#).

1.4. Accountabilities

The Sydney Metro Executive Director, Commercial & Risk is accountable for this Standard. Accountability includes authorising this document, implementing and monitoring its effectiveness, and performing a formal management review of the document. Direct Reports to the Sydney Metro Program Director or other designated functional managers are accountable for ensuring:

- the requirements of this Standard are implemented within their areas of responsibility; and
- associated contractors comply with the requirements of this Standard

All Sydney Metro managers, workers and contractors are accountable for ensuring compliance with this Standard within their area of accountability or responsibility. Table 1 defines the management accountabilities and responsibilities for the Sydney Metro RMS.

Table 1: Sydney Metro Risk Management Standard Responsibilities

Title	Accountability/Responsibility
TfNSW Audit & Risk General Manager	Accountable for defining the minimum TfNSW system requirements for risk management that the Sydney Metro Delivery Office must comply with.
Sydney Metro Program Director	Accountable for ensuring that the system requirement is implemented in all areas.
Sydney Metro Program Executive	Responsible for reviewing this system requirement before approval.
Direct reports to the Sydney Metro Program Director	Accountable for ensuring this system requirement is correctly implemented within their areas of authority.
Line Managers	Responsible for ensuring the requirements in this system requirement are correctly implemented in their respective business areas.
Executive Director, Commercial and Risk	<ul style="list-style-type: none"> • Accountable for approving this system requirement. • Accountable for monitoring the effectiveness of this system requirement. • Accountable for performing the formal document reviews of this system requirement. • Responsible for implementation support of this system requirement
Sydney Metro Principal Manager, Program Risk	<ul style="list-style-type: none"> • Responsible for this system requirement. • Responsible for implementation support of this system requirement. • Responsible for monitoring the effectiveness of this system requirement. • Responsible for performing the formal document reviews of this system requirement.
All Sydney Metro staff, consultants, contractors and suppliers	Responsible for implementing this system requirement correctly and effectively, as specified.

2. Risk Management Strategy

2.1. Risk Management Principles

Risk is defined as effect of uncertainty on objectives. Every organisation faces factors and influences that create uncertainty in the achievement of their objectives. Risk management is the coordinated activities to direct and control an organisation with regard to risk.

For risk management to be effective, Sydney Metro acknowledges the principles that risk management:

- **Places the customer at the centre of TfNSW approach to risk** by explicitly considering the impact of all risk and decision processes on the customer's experience.
- **Creates and protects value**; by improving performance in safety, environment, finance, service reliability, reputation, governance through regular reviews of Sydney Metro's processes and systems.
- **Is an integral part of Sydney Metro's processes**; by being part of the responsibilities of management and an integral part of organisational (and Executive) processes.
- **Facilitates more effective decision making**; by articulating the effect of uncertainty on objectives, risk management helps to identify priorities and make risk informed choices.
- **Explicitly addresses uncertainty**; by identifying and documenting potential risks then implementing controls and treatments.
- **Is systematic, structured and timely**; by employing an approach throughout all Sydney Metro phases that ensures risk records are consistent, comparable and reliable.
- **Is based on best available information**; by considering all information relevant to an activity including historical data, experience, stakeholder feedback, observation, forecasts and expert judgement, as well as identifying that there may be limitations on that information.
- **Takes human and cultural factors into account**; by recognising the contribution that people and organisational culture and values have on achieving Sydney Metro's objectives.
- **Is transparent and inclusive**; by recognising that communication and consultation is key to identifying, analysing and monitoring risks, as well as requiring engagement of stakeholders (internal and external) and decision makers.
- **Is dynamic, iterative and responsive to change**; by considering the context for managing risk as well as continuing to identify new risks that emerge, and making allowances for those risks that no longer exist.
- **Facilitates continual improvement of the organisation**; by improving risk management maturity alongside all other aspects of Sydney Metro development and delivery.

2.2. Risk Management Architecture

2.2.1. Risk Information Flow

Rather than being a standalone practice, risk management will be embedded as an integral part of the leadership, organisational and management meetings and processes that exist for Sydney Metro. Figure 1 gives the framework for risk data flows of how risks will be developed and addressed through the various levels of the organisation and how the information in the Risk Register will be utilised for reporting, assessment and specific responses.

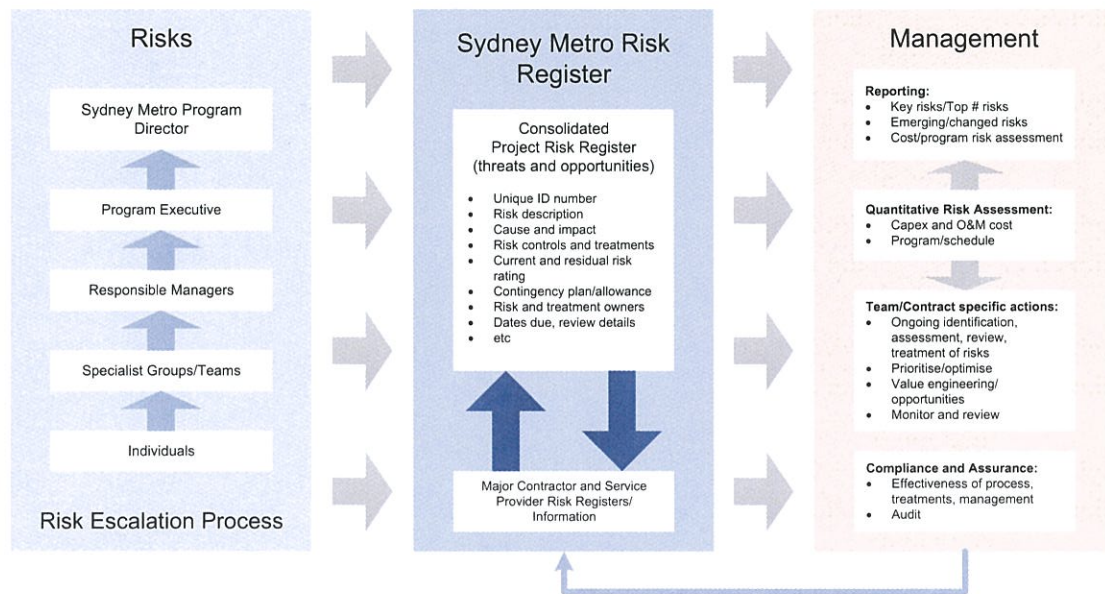


Figure 1: Risk Data Flows

2.2.2. Roles and Responsibilities

2.2.2.1. Program Director

The Sydney Metro Program Director is accountable to the Secretary TfNSW/NSW Government/Minister for Transport and is responsible for ensuring that an appropriate risk management framework is designed, established, maintained and implemented in accordance with the requirements of all relevant and applicable statutory and legislative requirements and the requirements of the [TfNSW TERM Standard 30-ST-164](#). Accountability for Sydney Metro's success (or otherwise) in terms of managing risk rests with the Program Director. Accordingly the Program Director will have all necessary delegation and authority as required.

2.2.2.2. Responsible Managers

Each area of work for Sydney Metro is ultimately under the control of an appointed and accountable Responsible Manager. Responsible Managers are defined as:

- Owners of Sydney Metro Delivery Office domains – Program Executives, Contract Directors and Principal Managers.
- Project Directors of Major Contracts.

Responsible Managers are responsible for oversight and implementation of the [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#) in accordance with this Risk Management Standard and supporting procedures and guidelines in their area of accountability.

Responsible Managers are required to regularly review risks allocated to their area by reviewing relevant risk registers/risk information and confirming it as appropriate and accurate.

The Responsible Manager may delegate ownership of some or all of the individual risks (and associated controls and tasks) within their area of concern, but are still ultimately accountable for the risks associated with their area of responsibility within the Sydney Metro Delivery Office.

The Responsible Manager is required to ensure that:

- risk understanding and tolerance for risk are key considerations in decision making processes;
- sufficient effort has been made to identify risks within their area of responsibility;
- risks are clearly described and ratings continue to be relevant;
- consequence and likelihood (and hence risk) ratings are considered reasonable and continue to remain valid;
- risk controls remain effective and reliable, particularly for high-consequence low-likelihood risks;
- regular monitoring, review and reporting of risks is undertaken;
- tasks identified to further reduce risks are sufficient for the level of risk, and are being performed to agreed timeframes;
- the SFAIRP principle can be demonstrated for safety related risks; and
- risk-related reports are documented and submitted and information relating to risks is provided to the Program Director as may be required or directed.

2.2.2.3. Sydney Metro Principal Manager, Program Risk

The Sydney Metro Principal Manager, Program Risk, is responsible for administering and managing the Sydney Metro RMS. Responsibilities of the role include:

- development, establishment and ongoing management of the RMS;
- ensure that risk methodologies, procedures and implementation mechanisms comply with statutory and legislative requirements and TfNSW requirements;
- provide specialist risk management advice and support the Sydney Metro Delivery Office;
- facilitate, assist and provide guidance to increase awareness, understanding, compliance and commitment of the Sydney Metro Executive Team and other Responsible Managers to risk management requirements and maximise the performance of risk management;
- administration of RMS including maintenance and improvement of management plans, procedures, associated mechanisms and the risk management information system (Risk Register or database);
- facilitate the development of the Risk Register that includes all risks that would impact the successful achievement of the objectives defined for Sydney Metro;
- develop and maintain a program of risk reviews within the Sydney Metro Delivery Office and stakeholders and report on the outcome of these reviews;
- provide information relating to risks to the Program Director as may be required or directed; and
- provide clear communication and encourage information sharing and a collaborative approach to the management of risk to support a consolidated goal of overall successful project delivery.

2.2.2.4. Risk Champions

Notwithstanding that all Technical Advisors, Contractors, etc, will need to manage risk in accordance with the processes and procedures set out in this document, Risk Champions will also be required to be nominated by contracted parties to ensure a single point of contact for all matters related to risk management functions including reporting.

2.2.2.5. Risk Owners

Risk Owners are nominated by the Responsible Manager. The nominated Risk Owner is the person who is responsible to manage individually assigned risk, and all activities taken to reduce the consequence and likelihood resulting from the specific risk to its SFAIRP status.

Each risk identified in a Risk Register must have a specified Risk Owner. A risk should be assigned to one Risk Owner only. Where the definition of a risk does not enable a single Risk Owner to be assigned, guidance should be sought from the Sydney Metro Principal Manager, Program Risk. Under the WHS Act 2011, different individuals may share the same duty under the Act. In such circumstances, the duty holders must consult, cooperate and coordinate with each other in relation to the risk.

The risk assessment sponsor must ensure that Risk Owners are notified and agree to the ownership of the identified risks. The Risk Owner must:

- ensure the risk is sufficiently and clearly described, including causes and impacts;
- ensure that appropriate risk treatment assurance activities are undertaken for the risks that they assigned;
- ensure reviews of risks and risk activities are carried out at appropriate intervals;
- develop and monitor risk treatment plans where further actions are required; and
- confirm that the overall risk rating remains valid.

2.2.2.6. Treatment Owners

Risk Treatment Owners are nominated by Risk Owners and may be required due to the wide ranging treatments necessary to control/mitigate the risk.

Risk treatments (controls/tasks) must have a treatment owner defined in the Risk Register. The Risk Owner must notify Treatment Owners that they are the nominated owners of the specific treatments.

For the treatments that they own, the treatment owner must ensure that their assigned treatments:

- are implemented to schedule;
- remain valid and are working effectively; and
- have appropriate review periods defined.

2.2.2.7. Assurance Sub-Committee

The Sydney Metro Assurance Sub-Committee is to provide oversight of the activities associated with safety, risk and assurance, in order to provide the Sydney Metro Program Executive with confidence that appropriate systems and resources are in place and are operating effectively. Their duties and responsibilities include reviewing and monitoring the adequacy of the risk management framework, methodology and implementation of the RMS. Issues to consider include:

- Major strategic risks have been identified and appropriate risk management plans either exist or are being developed.
- A systematic approach to risk management has been established and is effective.
- Lessons from other recent major projects are being incorporated.
- Risks, including those associated with change, are being continually reviewed and managed appropriately.

The Assurance Sub-Committee will meet monthly or at greater frequency as determined by the Chair, with additional details defined in the Assurance Sub-Committee Terms of Reference.

2.2.2.8. Sydney Metro Audit and Risk Committee

The Sydney Metro Assurance & Risk Committee is responsible for the examination and evaluation of the adequacy and effectiveness of the organisation's system of control and the quality of performance in carrying out assigned responsibilities, including risk management. The Assurance & Risk Committee is responsible for reviewing risks and ensuring compliance and assurance activities are addressing the critical issues that may impact on the Sydney Metro. Responsibilities of the Assurance & Risk Committee are defined in the Assurance & Risk Committee Terms of Reference (TBC).

2.2.2.9. Contractors, Consultants and Technical Advisors

Those entities contracting or providing skills, expertise or advice to the Sydney Metro Delivery Office will be responsible for the implementation and maintenance of appropriate risk management systems and processes, consistent with the requirements defined in this standard. They will provide information and reports to the relevant Sydney Metro Responsible Manager as directed/contracted on the implementation and outcomes of these risk management processes.

2.2.2.10. Individuals

Without exception, everyone at Sydney Metro (including staff, secondees, skills hire, service providers and contractors) has a role to play in the successful management of risk. All individuals must actively participate in identifying potential risks in their area, and contribute to the implementation and monitoring of appropriate treatment actions. All individuals must:

- understand and apply the [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#) and this Risk Management Standard;
- fulfil their responsibilities for risks for which they have ownership or involvement;
- seek continuous improvement of the risk management response;
- promote risk management and awareness as a key part of Sydney Metro culture; and
- report systematically and promptly to senior management any new perceived risks, changes to existing risks, or failures of existing control measures.

2.3. Risk Management System

2.3.1. Risk Management Framework

Sydney Metro’s Risk Management System (RMS) articulates how Sydney Metro Delivery Office will fulfil its responsibilities to identify, assess and manage risk exposure throughout the lifecycle of the Sydney Metro Program. In addition to this, it is recognised that significant focus will be directed towards developing an organisational culture, management structure, and team with the capability and resources required to support the successful implementation and ongoing effective practice of enterprise-wide risk management.

The RMS has been developed to support the achievement of the objectives for all phases of the Sydney Metro Program. The RMS is a systematic, integrated and mandatory approach to managing all types of risk for all Sydney Metro project phases, teams and activities. Presented as framework in Figure 2, it is a set of components that provide the foundations and organisational arrangement for designing, implementing, monitoring, reviewing and continually improving risk management processes across Sydney Metro.

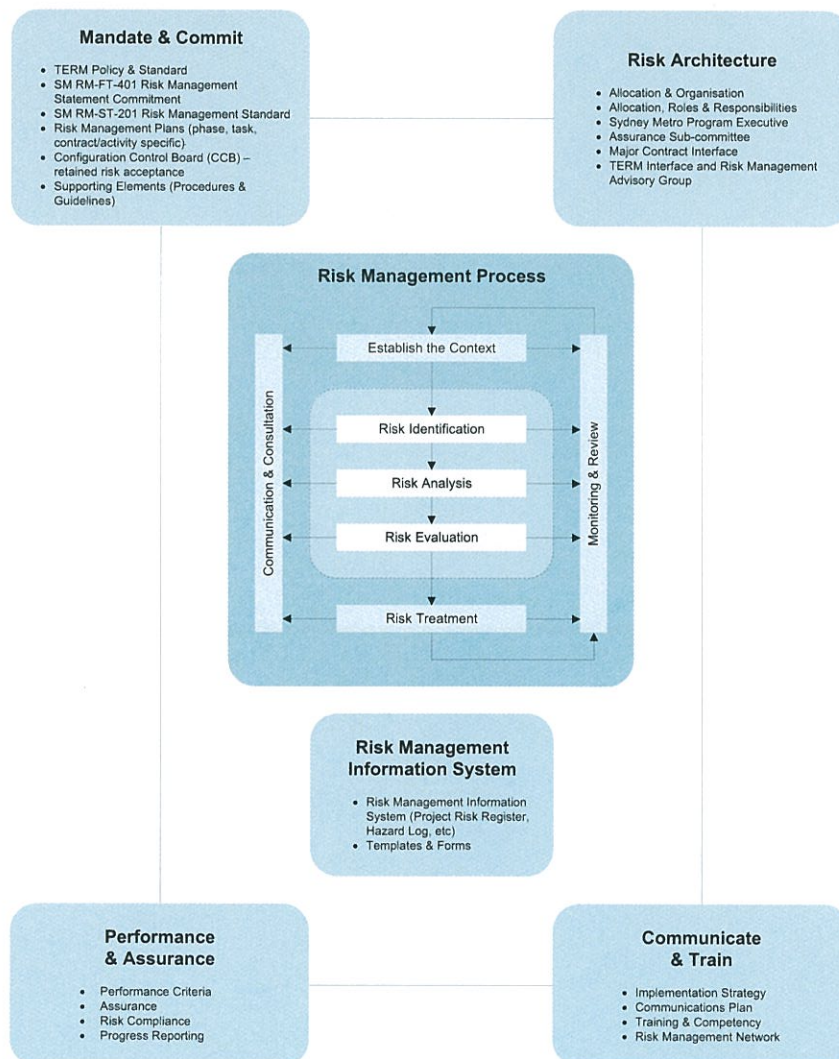


Figure 2: Sydney Metro Risk Management Framework

Central to the Risk Management Framework is the Core Element, the Risk Management Process which will be used on a daily basis across the Sydney Metro Delivery Office, service providers and contractors to manage risk at all levels, consistent with AS/NZS ISO 31000:2009. It provides a structured and robust approach for the thorough and consistent identification, consideration and treatments of all foreseeable risks faced by Sydney Metro.

Surrounding this Core Element are Supporting Elements for risk management comprising:

- **Risk Management Documentation and Requirements:** A consistent and coherent set of arrangements, standards, requirements, procedures, guidelines and risk management plans to support the TERM Policy and Standard and [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#). Where required, risk management plans for specific aspects, contracts, phases, or tasks on Sydney Metro will be developed with a supporting specific Risk Register. This element is supported by practical tools, systems and common risk assessment criteria to support adoption of the standards and processes.
- **Risk Management Process:** An outline of which is provided in [Risk Management Process](#). Refer to [SM RM-PW-305 Sydney Metro Risk Management Plan](#) for further information.
- **Risk Management Architecture:** Allocates and organises risk management functions, defining accountabilities, roles and responsibilities for risk management, including the Sydney Metro Program Executive, the Assurance Sub-Committee, risk and treatment owners and service providers/contractors. Resourcing for risk management and integration with TfNSW's Enterprise Risk Management (TERM) are also addressed.
- **Implement, Communicate and Train:** Motivation and communication strategies designed to ensure that all managers recognise how risk management provides value to Sydney Metro. The implementation strategy is supported by training and competency programs, to ensure the required knowledge and skills exist, and development of a risk management network across the Sydney Metro Delivery Office.
- **Performance, Review and Assurance:** Processes for performance management and reporting on the effectiveness of the RMS and for its continuous improvement. Assurance processes, including line management reviews, will:
 - evaluate the effectiveness of, and compliance with, risk management processes; and
 - provide assurance that risks exposures are appropriately evaluated, treated and reported so that assurance and compliance does not reside only with audit practices.
- **Risk Management Information:** A Risk Management Information System (RMIS) will provide the 'risk register' for Sydney Metro. It details and reports the specific threats and opportunities faced by Sydney Metro to achieving its defined objectives, their assessment and treatment actions to manage the risk. Its development will ensure it is easy and beneficial for staff to use.

2.4. Risk Management Documentation and Requirements

To be effective and succeed in the long term, risk management requires strong and sustained commitment.

The hierarchy of the Sydney Metro RMS documentation is presented in Figure 3.

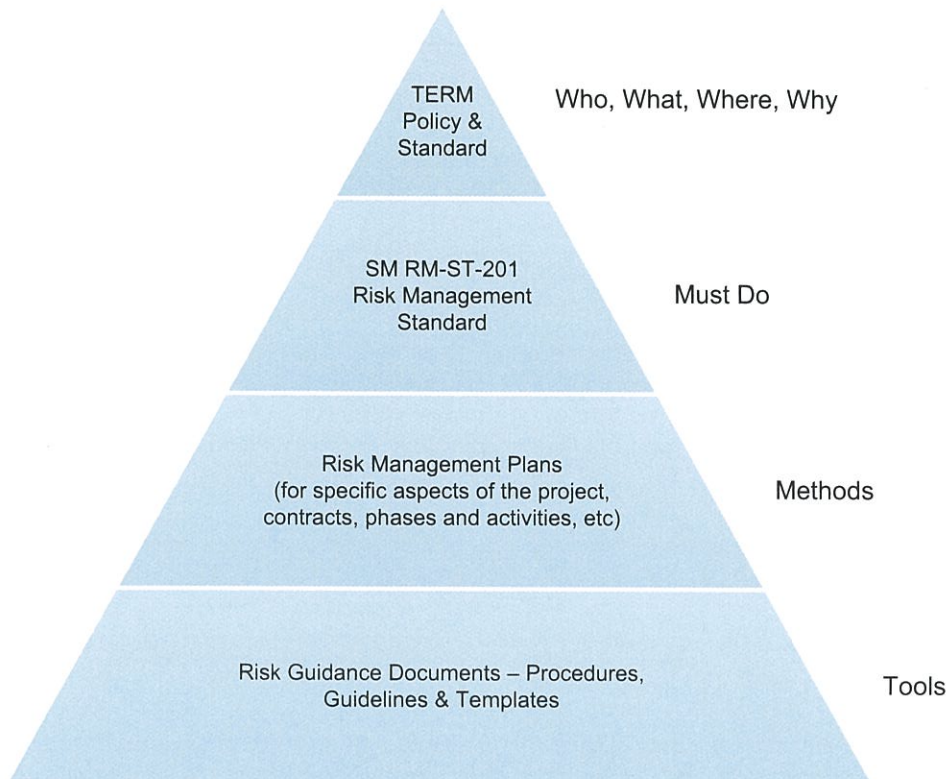


Figure 3: Sydney Metro Risk Management System (RMS) Document Structure

Refer to [SM RM-PW-305 Sydney Metro Risk Management Plan](#) for more information.

2.5. Risk Management Minimum Requirements

The following minimum requirements apply to risk management across Sydney Metro.

Table 2: Sydney Metro risk management minimum standards

#	Area	Minimum requirements
1.	Compliance	<ul style="list-style-type: none"> All risks shall be managed according to a standard process consistent with the requirements of ISO31000. Risk management will comply with all relevant aspects of the documents and publications detailed in Related Documents and References.
2.	Competency	<ul style="list-style-type: none"> Individuals involved in the risk management process will be provided with the necessary training to ensure they have the required knowledge and skills to apply risk management. A suitably qualified, competent person must lead the risk identification and analysis process.
3.	Risk identification	<ul style="list-style-type: none"> The risk identification process shall be designed to expose and document all reasonably foreseeable risks which could affect achievement of objectives. Both threats and opportunities will be considered. Individuals with the appropriate skills and experience will be involved in the risk identification process. The risk identification process shall include the following tasks: <ul style="list-style-type: none"> Define the scope and context of the risk analysis, including what is in scope and out of scope. Define the methodology, tools and techniques to be used. Detail who will participate including roles and responsibilities.
4.	Risk assessment	<ul style="list-style-type: none"> The consequences of an event and the associated likelihood of occurrence must be assessed using the predefined Sydney Metro Risk Matrix. Each risk must be classified and prioritised for further attention using the Sydney Metro tolerance and response table in Appendix A: Sydney Metro Risk Matrix. All risks must be classified according to the Appendix A: Sydney Metro Risk Matrix. Evaluation must be undertaken by Sydney Metro stakeholders with relevant experience and expertise, who have an overall knowledge and role in the area being analysed. This group must be able to judge the consequences and likelihood in the business and operational context, and consensus should be sought. The views of external experts should be obtained where this is considered necessary for a thorough evaluation of particular risks. The results of the risk evaluation must be recorded in a risk register.
5.	Consequences	<ul style="list-style-type: none"> All Sydney Metro risk analyses must consider all types of consequences, including Financial (e.g. capital cost, affordability, operating costs, etc), Program/ Schedule, Health and Safety, Environmental, Community/Reputation, Performance.

#	Area	Minimum requirements
6.	Risk response	<ul style="list-style-type: none"> Suitable risk responses must be developed and implemented by those with experience and expertise in the relevant area in a timely manner. Threats (risks with negative consequences) must be eliminated, avoided, transferred, shared or minimised. Opportunities (risks with positive consequences) must be pursued, maximised, enhanced or shared. Where such active risk responses are not possible, accepted residual risks must have suitable contingency provision. Appropriate responses to each identified risk must be determined and implemented in order to optimise the level of risk exposure, consistent with the So Far As is Reasonably Practicable (SFAIRP) principle. Agreed risk responses must be recorded in a risk register, together with accountability for implementation, their current status and progress towards their achievement.
7.	Risk treatments	<ul style="list-style-type: none"> The effectiveness of each response must be determined before it is agreed or implemented. Agreed risk responses must be allocated to a single treatment owner, and appropriate resources must be made available to ensure that responses are implemented effectively. The possibility of secondary risks arising from agreed responses must be considered. Progress on risk responses must be monitored against agreed milestones and targets. Where an agreed risk response is not achieving the intended result, additional responses must be developed, potentially with different risk owners.
8.	Risk thresholds	<ul style="list-style-type: none"> Clear, consistent and well defined risk thresholds (as presented in Appendix A: Sydney Metro Risk Matrix) are required in order to determine the level of risk that can be accepted, tolerated or rejected/not accepted. The risk thresholds in the Sydney Metro risk matrix do not replace the need for thorough and specific SFAIRP considerations where appropriate.
9.	Assurance and Continuous Improvement	<p>There must be a policy of self-assurance and continuous improvement, through:</p> <ul style="list-style-type: none"> continuously benchmark performance both internally and externally to identify best practices; seek to improve risk management communications and knowledge sharing; and integrating the risk management language and process into other Sydney Metro management systems and processes
10.	Quantitative risk assessment	<p>Quantitative risk assessment methods are to be used where the additional effort is warranted, for example to:</p> <ul style="list-style-type: none"> evaluate the effect of identified risks on financial and program or milestone related objectives; aid decision-making regarding matters associated with project delivery options or strategies; and assess the likelihood and consequences as part of a cost-benefit analysis.
11.	Documentation and records management	<p>All matters associated with risk management are to be documented and kept within the Sydney Metro record management system, including but not limited to:</p> <ul style="list-style-type: none"> Workshops (e.g. risk identification, analysis or assessment). Meetings (agendas and minutes). Interviews or discussions of relevance or importance. Treatment and contingency plans. Status of risks including those that have expired (do not occur) or have occurred (impacted).

#	Area	Minimum requirements
12.	Risk Register	<ul style="list-style-type: none"> • The results of a risk analysis process must be documented and reported to key stakeholders. • Identified risks must be documented in a Risk Register, at the level of detail required to support subsequent risk evaluation and risk management. • The risk register must contain the following minimum information for each identified risk: <ul style="list-style-type: none"> ○ Unique Risk identification number. ○ Title/Description of the risk. ○ Causes & Impacts associated with the risk. ○ Risk Owner. ○ Current Risk Controls. ○ Consequence & Likelihood (Current) – using the Sydney Metro Risk Matrix. ○ Current Risk Rating. ○ Risk Treatments (planned or additional tasks, treatment owner and date for completion). ○ Consequence & Likelihood (Residual) – using the Sydney Metro Risk Matrix. ○ Residual Risk Rating. ○ Risk Status. ○ Date Last Reviewed. • The Risk register must retain information on all closed risks, to provide an audit trail and to assist in learning for future risk analyses. Links to other relevant documentation to evidence outcomes should be recorded where required.
13.	Risk update/review	<ul style="list-style-type: none"> • All risk analyses must be updated in response to progress, development, operational improvements or other changes in circumstances. The update must also reflect the results of risk responses that have been implemented, and must also identify additional risks which have emerged since the last update. • All risks in the Risk Register must be re-examined regularly to ensure that previous risk ratings have not developed a higher profile. The following minimum review frequencies apply to all risks: <ul style="list-style-type: none"> ○ Very High 'A' – monthly review ○ High 'B' – monthly review ○ Medium 'C' – two-monthly ○ Low 'D' – quarterly

3. Risk Management Approach

3.1. General

Sydney Metro will apply the process for managing risk specified in ISO31000, which defines the standard elements of the risk management process as being:

- **Establishing the context;** which involves formulating the external, internal and risk management context in which the activity will take place.
- **Risk Assessment;** comprising:
 - **Risk identification;** where the aim is to identify and classify a list of the uncertainties that might impact of the achievement of objectives or success of the activity.
 - **Risk analysis;** which estimates the potential consequences and likelihood of occurrence to generate a risk rating for each risk identified.
 - **Risk evaluation;** which, based on the outcomes of the risk analysis, determines the tolerability of a risk and the requirements and priorities for treatment and escalation.
- **Risk treatment;** where one or more options for modifying risks are developed and considered, and recommendations made to achieve effective risk reduction to an acceptable level.
- **Monitoring and review;** which ensures that the risk management process is not static, but continues through the life of the Sydney Metro Program and/or provides a mechanism for continuous improvement for an organisation.
- **Communication and consultation;** where stakeholders are informed as appropriate on the activity at each stage of the risk management process and the risks themselves are communicated.

Full details of Sydney Metro's Risk Management Process can be found in .

3.2. Sydney Metro Risk Matrix

The TfNSW Risk Matrix ([Appendix A: Sydney Metro Risk Matrix](#)) provides a means of assigning a risk score (from 'A' Very High to 'D' Low) using consequence and likelihood ratings. The defined risk management response required ([Appendix A: Sydney Metro Risk Matrix](#)) should apply to almost all situations, and also provides a basis within which to further consider, assess and validate the SFAIRP principle as required. The matrix developed for TfNSW/Sydney Metro does not replace the need for thorough and specific SFAIRP consideration. Rather, it provides guidance on prioritisation of risks for further treatment and escalation.

Risk can be considered as a function of consequence and likelihood. For Sydney Metro, a risk ranking will be determined using a matrix developed with consequence and likelihood as the axis.

To assist with the management response to risk, a risk ranking framework is used to assign ratings and prioritise the response to individual risks. The Sydney Metro Risk Matrix (refer to [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#)) provides a means of assigning a risk score (from 'A' (Very High - Generally Intolerable) to 'D' (Low - Broadly Acceptable) using consequence and likelihood ratings.

As the potential exists for multiple consequence-likelihood pairs for each risk (i.e. financial, reputation, safety, etc), for overall risk ranking purposes, the highest risk score must be recorded/reported. In identifying the consequence to be rated within a risk assessment the following should apply:

- The most credible outcome for each relevant type of consequence should be identified given the controls that are currently in place
- Where multiple consequences can arise, use the highest rated consequence for rating purposes.

The defined risk management response required should apply to almost all situations, and also provides a basis within which to further consider, assess and validate the SFAIRP principle as required. The matrix developed for TfNSW/Sydney Metro does not replace the need for thorough and specific SFAIRP consideration. Rather, it provides guidance on prioritisation of risks for further treatment and escalation.

3.2.1. Consequence Criteria

Consequence is the level of impact, or severity, associated with the realisation of the risk across a number of impact categories. The Sydney Metro Consequence Criteria is presented in [Appendix A: Sydney Metro Risk Matrix](#).

For each identified risk, each of these areas is to be scored where they are applicable and meaningful for risk management purposes. Therefore, for a straight-forward risk which is chiefly concerned with potential injury, a single measure using the safety scale would be sufficient. However, for a more complex risk scenario, where there may be multiple consequences involving environmental impact, cost implications and reputation; scoring the risk in terms of more than one consequence criteria may be more appropriate.

3.2.2. Likelihood Criteria

Likelihood is the level of possibility that the risk will occur. The Sydney Metro Likelihood Criteria is presented in [Appendix A: Sydney Metro Risk Matrix](#). While frequency is the primary likelihood criteria, the probability of an event occurring during project life also provides value. Therefore, additional qualitative descriptors have been provided to assist with broadly assigning a rating on the scale from 'Remote to 'Almost Certain'.

Note: It is essential that the likelihood rating assessed is the likelihood of the selected consequence level occurring. This is NOT the same as the likelihood of the initial event occurring.

3.3. Communication & Consultation

Communication, consultation and risk reporting must occur throughout the risk management process, to ensure that those accountable for implementing the risk management process, and their stakeholders, understand the reasons behind all decisions and actions.

Risk reporting must ensure that information is formally communicated to senior management, across the Delivery Office and wider stakeholders. Reports must be timely, succinct and adequate, i.e. they must be fit for purpose.

Under the Work Health & Safety Act 2011, consultation will be required with workers directly affected by workplace risks. Further, all risk owners will be required to consult, cooperate and coordinate with any other person who shares a duty in relation to Work Health and Safety legislation.

3.4. Specific applications of the risk process

The process outlined in this Standard relates to the basic risk management approach for the identification, assessment and management of risk. Application of the process prescribed in this Standard is the minimum requirement for all formal risk assessments.

This Standard does not preclude the application of additional, more rigorous analytical processes that may sometimes be required (e.g. Work Health & Safety, Safety Engineering/Safety in Design and Cost Contingency, Major Contract Transaction Management, etc). Where additional processes are required, these will be detailed in Procedures and Guidelines aligned with this Standard.

3.4.1. Workplace Health & Safety Risks

Effective health and safety management is a core business activity and key contributor to the success of Sydney Metro. For health and safety risks, Sydney Metro must:

- comply with legislative requirements to ensure they are eliminated SFAIRP; and
- minimise the risk SFAIRP, if elimination of the risk is not reasonably practicable.

Further details are contained within the [Sydney Metro Project Safety Management Plan](#), including relevant provisions of Rail Safety and Work Health & Safety (WHS) Acts.

WHS risks apply to office, site, construction, and commissioning activities; and focus on issues such as the man/machine interface, work practices, human, mechanical and gravitational energy, etc. WHS risks address the concern of ensuring a safe working environment by the identification, assessment and management of workplace health and safety risks.

Assessment of WHS risks is ultimately a fit for purpose task, giving due consideration to Sydney Metro's management and contractual obligations. WHS Risks will be captured in a dedicated WHS Risk Register. The WHS Risk Register is for active safety issues that apply to an aspect of the work undertaken by Sydney Metro; where controls, actions and impacts relate to Sydney Metro, its partners/contractors, and others who may be affected by its work. WHS risks for individual aspects of the Sydney Metro Northwest project will typically apply to site, construction, and commissioning activities.

WHS risk management requirements are detailed in the [Sydney Metro Project Safety Management Plan](#) and in the individual Safety Management Systems and Plans associated with each of the major contractors/contract packages. Safety Risk Management is required to be conducted in accordance with these documents, the TfNSW SMS, and to the terms of the WHS Act 2011, WHS Regulation 2011 and NSW Government's Code of Practice entitled "How to Manage Work Health and Safety Risks".

3.4.2. Safety Engineering and Safety in Design Risks

Safety Engineering/Safety in Design risks are specifically focused on the TfNSW/Sydney Metro requirement to deliver a system where the safety risk can be demonstrated to be reduced SFAIRP.

A Project Hazard Log for Sydney Metro will be established at the commencement of the Sydney Metro Northwest project and record details of safety hazards, causes, controls and potential accidents identified during the lifecycle of the Sydney Metro Northwest project. Safety Cases, Safety Assurance Statements & Reports and Safety in Design sections of design reports will be prepared to represent an agreed outcome that document the expected controls necessary to appropriately manage these ongoing risks and the residual safety risk associated with a project delivered. The key difference between the WHS Risk Register and the Project Hazard Log is that the WHS Risk Register considers the treatment of risks that may occur during Sydney Metro Program Delivery Office management of the construction activities/phase of the Sydney Metro Northwest project; whilst the Project Hazard Log is used to manage risks related to the design, operation and maintenance and disposal phases of the system lifecycle.

Specific focussed plans will be prepared at project commencement describing the approach to be taken and these will be updated as required to ensure they remain valid and appropriate for the needs of the Sydney Metro Northwest project.

3.4.3. Cost Contingency Risks

For the Planning and Delivery Phase of Sydney Metro Northwest, threats and opportunities may require one or both of the following contingency plans:

- Cost contingency allowance.
- Time/program contingency allowance.

Given the significant pressure on the Sydney Metro Program Delivery Office of TfNSW and the NSW Government to deliver the Sydney Metro within an announced budget, there must be a high confidence that the cost estimate and target program are inclusive of all identified risks and opportunities as appropriate. To achieve this it is necessary to assess risks and opportunities by quantitative methods.

3.4.3.1. Quantitative Risk Assessment – Capex and O&M

Cost planning of the expected capital cost and ongoing operation and maintenance costs for Sydney Metro is to include a quantitative risk assessment undertaken using Monte-Carlo methods utilising appropriate software. Its purpose is to determine a risk profile for the Sydney Metro Northwest project commensurate with the existence of risk, opportunity and uncertainty. This model must be monitored and/or refined to track the level of contingency that should be associated with a project, and whether it is still satisfying financial performance indicators.

The cost risk model needs to address aspects of:

- Inherent Risk – The uncertainty within the individual cost elements of the Sydney Metro cost plan.
- Contingent Risk – Potential events/situations which would have a cost implication should they occur on the Sydney Metro Northwest project and given their uncertain likelihood of occurrence, are not included in the cost plan direct or in-directs.

3.4.3.2. Quantitative Risk Assessment – Program

Similarly to the quantitative risk assessment process as described above for cost, it is equally important that the Sydney Metro Program Delivery office has a high level of confidence in achieving the Sydney Metro Northwest project's various key milestones.

To achieve the requisite level of confidence in the program and hence the key milestones, an iterative process of review and development of the program is required. Key risks and opportunities (which either have time as a consequence or for which uncertainty exists in relation to time) need to be included within the program via the use of a quantitative risk analysis performed utilising appropriate software.

3.5. Implementation, Communication & Training

3.5.1. Implementation & Risk Management Plans

It is recognised that the establishment and ongoing practice of effective risk management across the Sydney Metro Delivery Office and our major contractors is imperative to the success of Sydney Metro. In order to ensure effective embedding of risk management practices in the Sydney Metro, Risk Management Plans have been developed:

- by the Sydney Metro Delivery Office (refer to [SM RM-PW-305 Sydney Metro Risk Management Plan](#)); and
- by the contracted party responsible for delivery of each of the major packages of work.

Risk Management Plans will document the key strategies for success in achieving the requirements as mandated by the [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#) and this Risk Management Standard. The purpose of these Plans is to:

- enable the RMS to be established efficiently and effectively;
- ensure absolute clarity on the extent and standard by which risk management is to be undertaken at Sydney Metro;
- establish a platform for compliance with all relevant standards and guidelines including statutory and legislative requirements;
- outline the strategies and plans as determined by Senior Management in order to achieve the goals and objectives mandated under the [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#) and this Risk Management Standard;
- set targets and accountability for implementation of risk management;
- put in place a mechanism for measuring the extent and success of risk management; and
- assist in the preparation of consistent, accurate and timely reports.

These Plans will be specific to project phases, contract, activity or task and detail:

- the framework, processes and controls to manage risks in accordance with ISO 31000 and this Standard;
- processes and procedures for the systematic identification, assessment, treatment and management of risks;
- how risk management will be embedded into the various functions, procedures and activities necessary to achieve optimal risk management outcomes;
- how decision making processes and risk management systems are aligned;
- the organisational structure, identifying risk management roles, responsibilities, and accountabilities and the expertise required to perform such roles;
- how the Risk Management Plan will be implemented;
- the timing/ scope of risk review processes, compliance, and audit related activities;
- internal and external reporting of risks and risk management; and

a schedule of key risks and associated treatments, together with key strategies applied to reduce the risk profile.

3.5.2. Risk Management Training

The [Sydney Metro RM-FT-401 Risk Management Statement Commitment](#) identifies risk management as a core competency. Sydney Metro Delivery Office will inform employees, consultants, service providers and contractors on how to appropriately meet their risk management accountabilities and responsibilities. The Sydney Metro Delivery Office will ensure staff are provided with the necessary training and skills to meet their risk management accountabilities.

An annual training needs analysis will be conducted for all personnel involved in risk management.

In addition to informal instruction and coaching, the Sydney Metro Principal Manager, Program Risk will be available to provide risk management training across the Delivery Office. The Principal Manager, Program Risk is also available to provide support to strategic and operational risk management activities.

The provision of risk management training by external organisations is to be coordinated through the Principal Manager, Program Risk in order to ensure its appropriateness and consistency with the Sydney Metro RMS.

3.6. Performance, Review and Assurance

3.6.1. Performance

Performance measurements must be used to monitor and review whether the Sydney Metro risk management framework and risk management processes are:

- being implemented correctly; and
- effective as a whole and continue to enhance organisational performance.

Risk Management Plans will establish the arrangements, including the key performance indicators (KPI) and targets for measuring risk management performance.

3.6.2. Review

Sydney Metro Delivery Office will perform:

- annual Risk Management System Reviews; and
- quarterly Risk Management Functional Review

Refer to [Appendix C: Risk Monitor, Review & Reporting](#) for more information.

3.6.3. Assurance

Assurance activities will be carried out throughout the organisation as a way of providing evidence to assure the Sydney Metro Executive, Program Director, Sydney Metro Advisory Board and external stakeholders that risk management activities are appropriate and effective. Assurance activities may include:

- Continual checking through embedded controls and process checks.
- Self-assessment reviews by line management.
- Audits.

Refer to [SM RM-PW-305 Sydney Metro Risk Management Plan](#) for more information.

3.7. Risk Management Information

3.7.1. Risk Registers

Sydney Metro will use risk registers to capture risk management information that is developed or updated following risk assessment activities. While risk registers remains the focal point for risk management information and records relating to those activities, from a Sydney Metro Delivery Office perspective it is important that information becomes managed in a holistic manner.

3.7.2. Hierarchy of risks

Risks will be described at the level they are going to be managed in the organisation and with a level of detail where it can be assigned to a single risk owner, who will have clear responsibility and accountability for addressing the risk.

Each risk identified on the Sydney Metro Program must be described:

- at the level at which it will be managed within the Sydney Metro Delivery Office; and
- with a level of detail enabling it to be assigned to a single Risk Owner, who will have clear responsibility and accountability for addressing that risk

Risks can be assigned for management at any level of the Sydney Metro program, and it is not uncommon for a risk to apply across a number of management areas. Where this is the case, it may be appropriate that the risk is managed by a single risk owner:

- responsible to the Sydney Metro Program Director; or
- managing the risk on behalf of the Sydney Metro Program Director.

For example, a risk may exist which applies across a number of management areas or contracts, and is better located and managed at the upper strategic Delivery Office level rather than within any of the individual management sub-domains or contracts. Generally, where the majority of risk controls/treatments are located or where risk has been contractually allocated will be the most appropriate level at which to manage the risk. Where uncertainty exists about risk ownership, consult the Principal Manager, Program Risk, and Responsible Manager.

Each domain and sub-domain is ultimately under the control of the appropriate Responsible Manager, assigned by Sydney Metro for that Management Delivery Area (as defined by the [Sydney Metro Organisational Chart](#)).

Where there requires a decision on whether a risk is better managed by having a single key risk at the Executive level, or having copies of the risk assigned specifically within each program sub-domain (i.e. the individual level), the determination should be made based on where the majority of risk controls and/or tasks reside. Where uncertainty exists, consult the relevant Risk Manager.

3.7.3. Risk Management Information System (RMIS) – CURA

To facilitate the management of risks, Sydney Metro use a Risk Management Information System (RIMS) – the CURA Risk Management Database - to manage the risks according this Standard and [SM RM-PW-304 CURA Business Rules](#).

Contractors performing major packages of work must utilise and maintain a RMIS and risk matrix consistent with this Standard.

CURA supports risk management practice and:

- provide a basis for reporting of risks at various meetings;
- assist in determining whether the Sydney Metro risk profile is acceptable;
- show how the risk profile is changing.

CURA provides Sydney Metro with a means to clarify risk accountabilities by:

- recording risk, control and treatment owners;
- prompting risk review, control checking and treatment completion;
- recording risk and control 'checking' arrangements;
- tracking progress on control checking and treatment completion; and
- producing risk reports and risk management performance reports

The system will be accessible by all those with a risk management role or accountability, as per [SM RM-PW-304 CURA Business Rules](#). CURA will be centrally administered to ensure that it is efficiently and correctly used. All individuals who are accountable for risks, controls and tasks will be provided suitable system access and training in the use of the system to support their role.

Risk Owners nominated in CURA will be responsible for:

- managing individually assigned risks;
- coordinating all activities undertaken to treat the risk to an acceptable residual level; and
- ensuring that the information in the RMIS is accurate and regularly reviewed.

CURA itself does not identify risk. Risk Identification occurs as part of various general risk management processes (such a risk workshops) as defined in [Risk Assessment](#). Ultimately, the RMIS is a management and documentation tool that uses a risk platform to assist with describing, understanding and prioritising identified risk, as well as managing the associated risk controls and treatment.

The RMIS is not intended to necessarily include a separate entry for every risk identified in every activity across Sydney Metro's range of project activities. Rather, the intention is that the RMIS will capture the key risk concerns and provides links and/or reference to supporting risk information as appropriate.

Nominated Responsible Managers have authority to accept "Draft Risks" that have been identified in the RMIS, validating them as 'Open Risks' and eventually (where appropriate) to 'Closed'. They may also delegate ownership of risks within their domain of responsibility (but not ultimate accountability).

4. Related Documents and References

Related Documents and References

TfNSW

- [TfNSW Enterprise Risk Management \(TERM\) Policy 10-PO-006:](#)
- [TfNSW Enterprise Risk Management \(TERM\) Standard 30-ST-164](#)
- [TfNSW Safety Risk Management Procedure 30-PR-097](#)

NSW Legislation/Regulation

- Contaminated Land Management Act 1997 No.140
- Environmental Planning and Assessment Act 1979
- Environmental Planning and Assessment Regulation 2000
- Work Health & Safety Act 2011
- Work Health & Safety Regulations 2011
- Rail Safety National Law (RSNL) Act 2012

NSW Treasury

- TPP 09-05 – Internal Audit and Risk Management Policy for the NSW Public Sector
- TPP 12-03a – Risk Management Toolkit for NSW Public Sector Agencies: Executive Guide
- TPP 12-03b – Risk Management Toolkit for NSW Public Sector Agencies: Volume 1
- TPP 12-03c – Risk Management Toolkit for NSW Public Sector Agencies: Volume 2

Australian and International Standards

- AS/NZS ISO31000:2009 – Risk management – Principles and guidelines
- IEC/ISO 31010:2009 – Risk management – Risk assessment techniques
- ISO Guide 73:2009 – Risk management – Vocabulary
- EN 50126: Railway applications – The specification and demonstration of reliability, availability, maintainability and safety (RAMS)

Sydney Metro IMS

- [SM PC-MM-101 Project Controls Management Manual](#)
- [SM RM-FT-401 Risk Management Statement Commitment](#)
- [SM RM-PW-305 Sydney Metro Risk Management Plan](#)
- [SM RM-PW-304 CURA Business Rules](#)
- SM RM-SD-502 Project Risk Register (Objective ID A2958599)

5. Superseded Documents

Superseded Documents

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

6. Document History

Version	Date of approval	Notes
1.0	29 February 2012	New document.
2.0	6 September 2013	Reviewed and updated
3.0	11 August 2016	Reviewed and updated

Appendix A: Sydney Metro Risk Matrix

A1 Consequence Table

Consequence Table						
Rating	C6	C5	C4	C3	C2	C1
Descriptor/ Impact Area	Insignificant	Minor	Moderate	Major	Severe	Catastrophic
Health and Safety (Injury and Disease)	Illness, first aid or injury not requiring medical treatment.	Illness or minor injuries requiring medical treatment.	Single recoverable lost time injury or illness, alternate/restricted duties injury, or short-term occupational illness.	1-10 major injuries requiring hospitalisation and numerous days lost, or medium-term occupational illness.	Single fatality and/or 10-20 major injuries/permanent disabilities/chronic diseases.	Multiple fatalities and/or >20 major injuries/permanent disabilities/chronic diseases.
Environment	No appreciable changes to environment and/or highly localised event.	Change from normal conditions within environmental regulatory limits and environmental effects are within site boundaries.	Short-term and/or well-contained environmental effects. Minor remedial actions probably required.	Impacts external ecosystem and considerable remediation is required.	Long-term environmental impairment in neighbouring or valued ecosystems. Extensive remediation required.	Irreversible large-scale environmental impact with loss of valued ecosystems.
Customer Experience/ Operational Reliability	Short duration disruptions affecting part of one transport mode.	Minor disruptions affecting several parts of one transport mode.	Serious disruptions affecting operation of one complete transport mode.	Major disruptions affecting operations of one transport mode with network-wide effects on one or more other modes of transport.	Short duration shutdowns or substantial disruptions affecting multiple transport modes with sector-wide cascading effects.	Extensive shutdowns or extended disruptions with economy-wide effects.
Government/ Stakeholder / Public Trust/ Confidence	Negative article in local media. No discernible reaction/apprehension. Goodwill, confidence and trust retained.	Unease – Series of negative articles in local/state media. Confidence remains with some minor loss of goodwill or trust. Recoverable with little effort or cost. Some continuing scrutiny/attention.	Disappointment – Extended negative local/state media coverage. Confidence and trust dented but are quickly recoverable at modest cost within existing budget and resources.	Concern – Short-term negative state/national media coverage. Confidence and trust are diminished but are recoverable with time, staff effort and additional funding.	Displeasure – Extended negative state/national media coverage. Confidence and trust are damaged but recoverable at considerable cost, time and staff effort.	Outrage – Material change in the public perception of the organisation. Confidence and trust are severely damaged, possibly irreparably, and full recovery both questionable and costly.
Regulatory or Legal Breach	Low-level non-compliance with legal and/or regulatory requirement or duty by individuals or TfNSW.	Minor non-compliance with legal and/or regulatory requirement or duty. Investigation and/or report to authority.	Moderate non-compliance. Subject to comment and monitoring from applicable regulator. Small fine and no disruption to services.	Major breach resulting in enforcement action and/or prohibition notices. Substantial fine and no disruption to services.	Substantial breach resulting in prosecution, fines and/or litigation. Licence or accreditation restricted or conditional affecting ability to operate.	Prosecution leading to imprisonment of TfNSW executive. Loss of operating licence.
Management Effort/ Organisational Fatigue	An event, the impact of which can be absorbed as part of normal activity.	An event, the impact of which can be absorbed but some additional management effort is required.	An event, the impact of which can be absorbed but much broader management effort is required.	Major event which can be absorbed, but substantial management effort is required.	Severe event which requires extensive management effort but can be survived.	Catastrophic event with the clear potential to lead to the collapse of the organisation.
Benefit Realisation of Initiative, Program or Project	No time delay with initiative or project but it will incur a slight decrease in the benefits realised.	Minor delay with the initiative and/or a minor decrease in the benefits realised; or minor delay on the project or another project, with no public implications.	Several delays with the initiative and/or moderate decrease in benefits realised; or completion date missed for non-critical path project.	Major delays with the initiative and/or major decrease in benefits realised; or publicly announced portion/milestone missed or final completion date missed with demonstrable mitigating external circumstances.	Severe delays with initiative, which impacts across divisions and/or significant decrease in benefits realised; or publicly announced portion/milestone missed or final completion date missed on critical path project.	Failure to realise benefits of the initiative which adversely affects the enterprise-wide operations of TfNSW; or publicly announced portion/milestone significantly missed or final completion date significantly missed on critical path project.
Budget, Costs or Revenue	< \$100k	\$100k – \$1m	\$1m – \$10m	\$10m – \$50m	\$50m – \$100m	> \$100m

A2 Likelihood Criteria

Likelihood						
Rating	L6	L5	L4	L3	L2	L1
Descriptor/ Definition	Almost Unprecedented	Very Unlikely	Unlikely	Likely	Very Likely	Almost Certain
Qualitative Expectation	Not expected to ever occur during time of activity or project	Not expected to occur during the time of activity or project	More likely not to occur than occur during time of activity or project	More likely to occur than not occur during time of activity or project	Expected to occur occasionally during time of activity or project	Expected to occur frequently during time of activity or project
Sydney Metro Probability Analysis	<10%	10-25%	25-50%	50-75%	75-90%	>90%
Quantitative Frequency	Less than once every 100 years	Once every 10 to 100 years	Once every 1 to 10 years	Once each year	1-10 times every year	10 times or more every year

A3 Risk Matrix

Risk Rating A – Very High B – High C – Medium D – Low			Consequence					
			Insignificant	Minor	Moderate	Major	Severe	Catastrophic
			C6	C5	C4	C3	C2	C1
Likelihood	Almost certain	L1	C	B	B	A	A	A
	Likely	L2	C	C	B	B	A	A
	Possible	L3	D	C	C	B	B	A
	Unlikely	L4	D	D	C	C	B	B
	Rare	L5	D	D	D	C	C	B
	Almost unprecedented	L6	D	D	D	D	C	C

A4 Sydney Metro Risk Tolerance and Response

	Risk Rating	Descriptor	Description & Required Response	Review frequency		
↑ Increasing risk and concerns	A	Generally Intolerable	VERY HIGH	VERY HIGH	Very high risks are generally intolerable and should be avoided except in extraordinary circumstances. Where the risk has health, safety or environmental consequences the activity must not be undertaken without the explicit approval of the Director General TfNSW. An alternative solution must be found and all necessary steps must be taken to reduce the risk below this level without delay. Risks are to be reported to the NWRL Exec within 24 hrs and are to be monitored by the Exec team as a Key Risk.	Monthly
	B	Undesirable	HIGH	HIGH	High risks are undesirable. They can only be tolerated if it is not reasonably practicable to reduce the risk further. Where the risk has health, safety or environmental consequences the activity must not be undertaken without the explicit approval of the NWRL Project Director or nominated delegate who is to verify that all reasonably practicable treatments have been implemented. High risks are considered to be on the verge of being unacceptable and must be given immediate priority. Risks are to be reported to the relevant Responsible Manager within 48hrs who will determine whether the risk should be reported as a 'Key Risk'.	Monthly
	C	Tolerable	MEDIUM	MEDIUM	Medium risks are tolerable if it is not reasonably practicable to reduce the risk further. Where a risk has health, safety or environmental consequences the activity should be reviewed to determine if the risk can be reduced further and whether all reasonable and practicable controls have been considered and/or applied. Additional treatment measures should be sought if significant benefit can be demonstrated and/or there is an additional treatment measure which is recognised as good practice in other like environments. The relevant Line Manager must be advised and regularly updated, who will determine whether the risk should be reported to the relevant Responsible Manager.	Two Monthly
	D	Broadly Acceptable	LOW	LOW	Low risks are considered to be broadly acceptable. Where the risk has health, safety or environmental consequences control measures should be effective, reliable and subject to appropriate monitoring. If options for further risk reduction exist and costs are proportionate to the benefits, then implementation of such measures should be considered. The risk and its treatments should be subject to appropriate degrees and forms of monitoring to ensure that it remains at this level. Risk to be communicated as part of standard risk reporting by exception only.	Quarterly

Appendix B: Risk Management Process

B1 Establish the context

Establishing the context defines the basic parameters within which risks must be identified and managed and sets the scope for the rest of the process. The context for various Sydney Metro phases and activities will be defined by identifying key aspects and considerations related to the risk assessment across the following areas:

1. External context.
2. Internal context.
3. Risk management context.

Additionally, establishing the context requires determining the criteria against which risk is to be evaluated. This exercise has been completed as part of developing this Risk Management Standard and ensures a common platform for the consideration and assessment of risk exists. The risk criteria/matrix for application across Sydney Metro is that defined in this Risk Management Standard. Where the use of the Sydney Metro Risk Matrix is not considered applicable or appropriate for the risk assessment being undertaken, please consult with the Principal Manager, Program Risk.

The risk criteria/matrix developed for Sydney Metro does not replace the need for thorough and specific SFAIRP (So Far As Is Reasonably Practicable) considerations. Rather, it provides guidance on prioritisation of risk for further treatment activity.

B2 Risk Assessment

Risk assessment is the underpinning process for risk management. The following steps collectively constitute the Risk Assessment process. The quality of these processes must be assured to achieve a reliable outcome. Key to achieving a quality outcome includes ensuring that teams performing the risk assessment collectively have all the knowledge, skills and experience for the scope of the assessment and that the risk assessment facilitator is trained in the risk assessment process to be used.

B3 Risk Identification

Risk identification needs to be undertaken to develop a comprehensive list of sources of risks and events that may have an impact on objectives. [SM RM-ST-201 Risk Management Standard](#) defines minimum requirements for this step of the process. Risk identification must be undertaken as a continuous, ongoing activity.

Risk identification shall be an ongoing and continual process across Sydney Metro. Risk identification shall be formally carried out at a frequency and level as appropriate to the general needs of the business or as relevant to the specific risk assessment being carried out. For all activities, areas and project phases, formal Risk Workshops are required to be performed (preferably in accordance with specific milestones) to provide the opportunity for rigorous assessment of existing risks and opportunity to identify any further risks.

During the risk identification stage the following components of a risk should be ascertained:

- A source of risk – the thing which has intrinsic potential to impact or harm.
- An event or incident – something that occurs such that the source of risk has the impact concerned.
- A consequence, outcome or impact as a result of the risk.
- A cause (what and why, usually a string of direct and underlying drivers) for the presence of the uncertainty or the risk event occurring.
- Current controls and their effectiveness.
- When could the risk occur and where could it occur.
- Who is the risk owner - All risks identified must have a risk owner assigned.

General questions also to be considered include:

- What is the reliability of the information?
- How confident are we that the list of risks is comprehensive?
- Is there a need for additional research into specific risks?
- Are the objectives and scope covered adequately?
- Have knowledgeable people been involved in the risk identification process?

Documentation of the risk identification step should include:

- The approach or method used.
- The scope covered by the identification.
- The participants and sources of information used.
- Risk information formally captured and inputted into the RMIS when it has been sufficiently verified.

Examples of risk identification techniques and approaches to be used for Sydney Metro include, but are not limited to:

- (a) Focus group sessions/structured risk workshops.
- (b) Use of experienced organisations or individuals.
- (c) Expert judgement.
- (d) Structured interviews.
- (e) Brainstorming.
- (f) Surveys and questionnaires.
- (g) Checklists.
- (h) HAZOPs, etc techniques.
- (i) Audit reports, inspections, analysing the results of incident or near miss investigations, etc.
- (j) Scenario analysis and developing specialist models such as fault/event trees.
- (k) Scanning the external environment for changes to our operational environment, available technology, customer expectations, industry standards, etc.

B4 Risk Analysis

Risk analysis is primarily concerned with developing an understanding of the risk by combining likelihood and consequence. In doing so the level of risk can be ascertained and accordingly help set treatment priorities and options.

There are two approaches to risk analysis:

- **Qualitative** – risk analysis that assesses and ranks risk in accordance with the Sydney Metro Risk Matrix.
- **Quantitative** – numerical approaches to assess risks in specific areas.

Within the Sydney Metro Delivery Office context, the initial approach to risk analysis will be qualitative, although quantitative risk assessment methods are to be used wherever possible and justified; e.g. to evaluate the effect of identified risks on achievement of financial and program or milestone related objectives, or to aid decision-making regarding matters associated with change, project delivery options or strategies.

The level of risk is to be assessed for both the *Current* (pre-treatment) and *Residual* (target post-treatment) levels of risk. Where controls are already in place to manage a risk, these must be taken into account when determining the Current risk rating. The Residual (target post-treatment) risk rating will consider the expected effectiveness of planned treatments in lowering the level of risk by reducing the likelihood and/or consequences of the risk.

Risk analysis may be conducted by a range of methods, including:

- (a) Use of multi-disciplinary groups.
- (b) Specialist/expert judgement.
- (c) Peer review of individual analyses.

Key questions in analysing risks include:

- (d) What are the consequences (may be multiple) if a risk does occur?
- (e) What is the likelihood of a risk happening?
- (f) What factors might decrease the likelihood or consequences of a risk?
- (g) What other factors need to be considered in the analysis?
- (h) What drives uncertainty, variability, etc?
- (i) What is the confidence level in judgements and assumptions made?

Finally, documentation of the risk analysis step should include (by updating the risk register):

- (j) Key assumptions and limitations.
- (k) Sources of information used.
- (l) Existing controls and their effectiveness.
- (m) Description of severity of consequences.
- (n) Likelihood of these specific occurrences.
- (o) Resulting level of risk.
- (p) Effect of uncertainty.

Current and Residual Risk Ratings

The level of risk is to be assessed for both the Current (pre-treatment) and Residual (target post-treatment) levels of risk. Where controls are already in place to manage a risk, these must be taken into account when determining the Current risk rating. The Residual (target post-treatment) risk rating will consider the expected effectiveness of planned treatments in lowering the level of risk by reducing the likelihood and/or consequences of the risk.

As the potential exists for multiple consequence-likelihood pairs for each risk (i.e. financial, reputation, safety, etc), for overall risk ranking purposes, the highest risk score must be recorded/reported. In identifying the consequence to be rated within a risk assessment the following should apply:

- The most credible outcome for each relevant type of consequence should be identified given the controls that are currently in place.
- Where multiple consequences can arise, use the highest rated consequence for rating purposes.

B5 Sydney Metro Risk Matrix

Common consequence and likelihood tables will be used for all Sydney Metro risk analyses, based on the TfNSW Risk Matrix (refer to), enabling a common understanding of their magnitude and allowing different risks to be compared or evaluated.

B6 Risk Evaluation

The risk evaluation needs to consider, based on quality risk analysis, the following matters:

- (a) Whether a risk needs treatment
- (b) Whether an activity should be undertaken
- (c) How the risk analysis informs decision making on the project
- (d) Priority setting for risk treatments.

Risks will naturally fall into one of two broad categories, those being “generally intolerable” or “tolerable”. “Generally intolerable” risks must not be accepted and this should remain the case if all reasonable measures to reduce the risk still do not result in the revised rating reducing to “tolerable” levels. Risks falling into the tolerable category should always be reduced further to the extent possible by employing all reasonably practicable measures including reasonable cost.

[SM RM-ST-201 Risk Management Standard](#) provides high level guidance as to risk tolerability and required management response. There is no single correct way of taking decisions regarding risk, but the underlying principles can be considered to be:

- doing what is reasonable;
- seeking the correct combination of compliance with rules, adoption of good practice, quantitative analysis and respect for ethical responsibilities and commercial considerations;
- ensuring that the decision is taken, not allowed to go by default, and that it is taken at the appropriate level in the organisation; and

- recording the decision, the evidence on which the decision was based and the reasoning that was applied to that evidence.

Sydney Metro will comply with legislated requirements to ensure that all safety risks are eliminated So Far As Is Reasonably Practicable (SFAIRP) or, if elimination of the safety risk is not reasonably practicable, minimise the risk SFAIRP. Further details are contained within the [Sydney Metro Project Safety Management Plan](#), including relevant provisions of the Rail Safety (Adoption of National Law) Act and Work Health & Safety (WHS) Act 2011 dealing with the “So Far As Is Reasonably Practicable” standard.

In essence, the SFAIRP standard requires weighing the severity and likelihood of the risk against the resources needed to eliminate or reduce the risk. It does not require every possible measure to be implemented to eliminate or reduce the risk, but it places the onus on the person holding the duty to demonstrate (or be in a position to demonstrate) that additional measures to control the risk (over and above those risk controls already in place) would be grossly disproportionate to the benefit of the risk reduction associated with the implementation of the additional risk control. Specific considerations include measures of reasonableness and practicability related to:

- The severity of the risk.
- The state of knowledge about the risk (and any ways of removing and/or mitigating).
- The availability and suitability of ways to remove or mitigate.
- The cost of removing or mitigating.

In a properly established framework, risks will naturally fall into one of two broad categories, those being “generally intolerable” or “tolerable”. “Generally intolerable” risks must not be accepted and this should remain the case if all reasonable measures to reduce the risk still do not result in the revised rating reducing to “tolerable” levels. Risks falling into the tolerable category should always be reduced further to the extent possible by employing all reasonably practicable measures including reasonable cost.

B7 Risk Treatment

Risk Treatment will involve identifying the range of options for treating risks, assessing these options and the implementation of treatment actions. Selecting the most appropriate option involves SFAIRP considerations first and foremost and then a comparative value for money assessment. Available risk treatments can be classified as *risk avoidance*, *risk reduction*, *risk transfer* (or sharing), and *risk retention*.

- *Risk avoidance* which involves eliminating exposure to the risk, including, where applicable, avoiding the risk by deciding not to start or continue the activity that creates the risk.
- *Risk reduction* means any action which reduces the risks by reducing the consequences and/or frequency of the incident.
- *Risk transfer* includes all means of shifting to a third party the cost of recovery (or some part of it) following the loss. The most common examples of risk transfer are insurance and/or contract provisions. A key part of any risk transfer is ensuring risk controls and tasks are allocated to those most able to address them.
- *Risk retention* refers to the circumstances under which the risk is neither removed nor transferred. This is often referred to as the residual risk and may require

allowances or contingencies in order to adequately cover the potential consequences of a given risk.

All Sydney Metro risk treatment plans are to include the following aspects:

- (a) Costs associated with all treatment plans for risks and opportunities must be budgeted for within the cost plan.
- (b) Nomination of risk treatment owners.
- (c) Assignment of due dates for risk treatment actions.
- (d) Consideration of treatment options and where appropriate, corresponding value-for-money/cost-benefit analysis.
- (e) Ability to actually control the risks.

If elimination of a hazard is not possible, the risk still exists, and consideration is required in terms of developing risk treatment controls that may reduce consequence and/or likelihood. The potential for the introduction of new risks as a result of the proposed controls/treatments needs to be considered.

In terms of health and safety risks, where risk treatment involves control measures, the risk should be minimised by using the next most effective method in the hierarchy of control. The hierarchy is the preferred way to eliminate or reduce exposure to a hazard, and is implemented in the following order of preference:

- Elimination of hazard.
- Reduction of the hazard through use of less hazardous equipment, material and/or processes.
- Applying engineering controls, such as isolation of the hazard using barriers.
- Reduction of the risk through administrative controls (e.g. safe work procedures, signs, training to improve the awareness of hazards and personal judgment regarding actions to reduce the associated risks, etc).
- Reduction of the risk through the use of Personal Protective Equipment (PPE).

In many cases it will be necessary to implement a combination of these measures to reduce the risk to an appropriate level.

The potential for the introduction of new risks as a result of the proposed controls/treatments also must be considered.

Appendix C: Risk Monitor, Review & Reporting

C1: Risk Monitoring and Review

Given the competing demands on individuals within the Sydney Metro Delivery Office, there is a need to ensure the strategy and approach for risk reviews is streamlined and as efficient and effective as possible. Respective risk owners and treatment owners are responsible for their risks and conducting regular reviews. This is typically undertaken through a series of facilitated monthly risk reviews with individuals, teams, major contract risk workshops, and other ad-hoc risk based review activities. This Risk Management Standard defines the minimum risk workshop/review requirements to be performed. These are:

1. Risk Owner Risk Reviews.
2. Responsible Manager Monthly Risk Reviews.

In addition to these, the following risk reviews will be conducted:

1. Major Contract Risk Workshops and ensure effective risk management practice during the delivery phase.
2. Sydney Metro Executive Risk Workshops.

Risk reviews will be based on the information within the applicable risk register, which is to be updated with the outcomes of the review.

All identified risks (and associated controls and treatments) must be subject to detailed periodic review, the frequency of which will be determined by the Current risk rating (refer to [Appendix B: Sydney Metro Risk Matrix](#)):

Rating	Descriptor	Review frequency
A	Very High	Monthly
B	High	Monthly
C	Medium	Two Monthly
D	Low	Quarterly

Risk reviews will be based on the information within the applicable risk register, which is to be updated with the outcomes of the review. In addition to defined periodic reviews, certain events or situations may trigger a review of risks and/or controls. These triggers include but are not limited to:

- Incidents and investigation findings.
- Audit or review findings (including observations, recommendations and non-compliances).
- New requirements and constraints.
- Concerns, ideas, alternatives or options raised by staff, management, contractors and third parties.
- External factors that could impact on the organisation or project delivery.
- Any significant changes to the Sydney Metro Northwest project (as part of defined change control/management processes)

Risk Owners' Risk Review

Each risk owner is required to perform a review of their assigned risks, either individually or as part of a wider risk review. The review frequency for individual risks is determined by the current risk rating, with more frequent reviews required for higher rated risks and less frequent for lower rated risks (as detailed in Table 1).

Monitor and Review Activities	Participants	Review Frequency
<ul style="list-style-type: none"> Detailed structured review of each risk according to risk rating and the associated controls and treatment actions Ensure risks are clearly described and continue to be relevant/current Likelihood and severity of consequence ratings remain valid (Reassessment of risks where applicable) Risk controls are effective and reliable (particularly for high-consequence low-likelihood risks) Treatment tasks identified to further reduce risks are sufficient for the level of risk, and are being performed to time Obtaining further information to improve risk assessment Close out of risk when appropriate Addition of emerging / newly identified / changed risks Identification of any risks for inclusion in key risk reports – monthly reports, etc 	Risk Owner Control Owners Treatment Task owners	A rated – monthly B rated – monthly C rated – every two months D rated – reviewed quarterly

As part of the preparation for this review, Risk Owners should ensure that owners of risk controls have reviewed and documented their assurance of the continued efficacy of the specific control. Risk Owners should also ensure that treatment owners are making suitable progress with implementing their assigned tasks. It is noted that the owner of controls and tasks may be the Contractor or other services providers. Therefore, in preparation for these risk reviews, the risk owner may need to review the relevant contractor's progress report and/or perform the review as part of communications with the contractor. In preparation for the above, the Risk Register will be circulated to all Risk Owners and Control Owners for their reference and initial review. Following the validation of risks at reviews and workshops, Risk Owners should ensure any necessary updates are captured in the Risk Register, providing general details of any updates and the date the Risk Register is updated.

Responsible Manager Monthly Risk Review

Responsible Managers are to hold monthly reviews with direct reports and the owners of risks within their domain. Responsible Managers are defined as:

- Owners of Sydney Metro Delivery Office domains – Program Executives, Contract Directors and Principal Managers; and
- Project Directors of Major Contracts.

This review enables the Responsible Manager to understand, confirm and endorse each risk and the associated treatment actions and is the basis for determining future risk management activities. The format of these sessions varies across the project team, sometimes being held in conjunction with the risk owner reviews, as part of standard monthly team meetings, or as stand-alone meetings.

Monitor and Review Activities	Participants	Review Frequency
<ul style="list-style-type: none"> • Ensure there is sufficient breadth of risks identified for the domain of concern • Ensure that identified risks are clearly described and continue to be relevant • Review key risks (as a minimum those with a current risk rating of 'Very High' or 'High'), controls and treatment actions within their area of accountability • Identification of changed, emerging and new risks • Validation of any new, changed or emerging risks raised previously in the month (including Acceptance of 'Draft' risks raised by the team) • Formal closure (but not deletion) of risks which have expired • Identification of any risks for inclusion in key risk reports – monthly reports, etc 	<ul style="list-style-type: none"> • Program Executives • Direct reports to Program Executives • Other team members (as deemed required) 	<ul style="list-style-type: none"> • Monthly

Major Contract Risk Workshops

Monthly risk workshops are to be held focused on risks related to the major work packages for Sydney Metro. Each workshop is attended by key individuals from across the various project team functions. The purpose is to ensure cross functional management and help inform decisions and risks for resolution, escalation and monthly reporting. Major Contract Risk Workshops also complement the Sydney Metro Assurance Framework and the activities of the Assurance Sub-Committee and Compliance Working Groups. A key input into these workshops (and the Contract level risk registers) is the Major Contractor's monthly risk report and Risk Register, which is provided to the Sydney Metro Delivery Office as part of standard monthly reporting. This should provide a valuable insight into the key risks and changes perceived by the contractor.

Monitor and Review Activities	Participants	Additional Notes
<ul style="list-style-type: none"> • Review of the significant risks (minimum "A" and "B" rated risks and risks requiring "Immediate" or "Within 3 Months" resolution) against each contract package • Risk rating profile, controls and treatments tested • New and emerging risks identified • Key risks agreed for reporting and escalation • Review Contractors' risk profile and changes for potential escalation into Sydney Metro Risk Register 	<ul style="list-style-type: none"> • Key individuals related to each package representing various disciplines and functions, e.g. • Program Executives; Contractor Directors; Design; Safety, Sustainability & Environment, Commercial; Risk; Delivery; Communication & Engagement; Product; Commercial & Risk, etc. • Principal Manager, Program Risk and Implementation Group Risk Managers. 	<ul style="list-style-type: none"> • Workshop participation across all Sydney Metro Workstreams.

In order for each Workshop to be effective, a list of required and optional attendees from across the project team is to be maintained by the relevant risk functional manager for each contract.

Sydney Metro Executive Risk Workshops

Sydney Metro Executive risk reviews/workshops are held quarterly or as required by the Sydney Metro Program Director. These workshops are further supported by an agenda item at the monthly Sydney Metro Executive Committee Meeting. These workshops are attended by the Sydney Metro Executive Team with the purpose of:

- reviewing the current risk profile on the program;
- identifying new/emerging risks across the program;
- reviewing and validating top risks, ensuring that appropriate risk controls and treatments are in place and risk are being are effectively managed; and
- agreeing and having a common understanding of what the 'key risks' are for Sydney Metro that require focused management attention and effort over the coming period

The workshops will be coordinated and facilitated by the Principal Manager, Program Risk and outcomes recorded in the Risk Register.

C2: Risk Reporting

Risk reporting must ensure that information is formally communicated to senior management, across the Delivery Office and wider stakeholders. Reports must be timely, succinct and adequate, i.e. they must be fit for purpose.

Internal Risk Reporting

Defined risk reporting requirements including roles and responsibilities and frequency for risk reporting within and across the Sydney Metro Delivery Office are detailed below.

Report	Report By	Report To	Frequency
Sydney Metro Key Risks/Top Risks (for inclusion in various reports, reviews, etc)	Principal Manager, Program Risk	Sydney Metro Executive Members	As required, minimum monthly
Sydney Metro Risk Report (part of the Sydney Metro Monthly Report)	Principal Manager, Program Risk supported by Sydney Metro Executive Members	Sydney Metro Program Director	Monthly
Major Contract Risk Report (as part of the Sydney Metro Monthly Report)	Contract Director supporting by contract Commercial/Risk Manager	Sydney Metro Program Director	Monthly
Major Contract Risk Management Reports	Major Contractors	Sydney Metro Principal Representative	Monthly
Sydney Metro Risk Register – full register	Principal Manager, Program Risk	Members of the Delivery Office	Ongoing, as required
Emerging 'A' level Risks	Responsible Managers	Sydney Metro Program Director	Within 24 hours
	Risk identifiers/Line	Responsible	Within 24 hours

Report	Report By	Report To	Frequency
	Managers	Managers	
Emerging 'B' level Risks	Risk identifiers/Line Managers	Responsible Managers	Within 48 hours
Quantitative Risk Assessment Report	Sydney Metro Cost & Commercial Advisors	Principal Manager, Cost, Finance & Program/Principal Manager, Program Risk	Aligned with revised cost plans, revised risks assessment etc
Risk Management Status Report – process, participants and outputs	Principal Manager, Program Risk	Sydney Metro Assurance Sub-Committee	As required
Specialised risk assessment reports	Risk Owners	Sydney Metro Executive Members	As required
Risk allocation matrix – Major contracts	Project Delivery – Transaction	Sydney Metro Executive Members	As required, final prior to contract signing

External Risk Reporting

The Sydney Metro Delivery Office will report key enterprise risks to TfNSW Audit & Risk (TERM Group) for consideration by the TfNSW Executive on a quarterly basis. This reporting will be through the defined TfNSW Risk Management Information System (SAP). The risks to be reported to TfNSW will be agreed by the Sydney Metro Executive in the weeks prior to the reporting due-date, with the Sydney Metro Program Director providing Quarterly Risk Attestation to TfNSW.

Risk reports are provided to other external stakeholders as required. Prior to the distribution of any external risk report, consideration shall be given to the sensitivity of the information in the report.

Only the Sydney Metro Executive are authorised to provide risk information and reports to external stakeholders. All external risk reports must first be endorsed by the Sydney Metro Program Director's Office or Executive Director, Commercial & Risk. Risk reports are also required to be endorsed by the Principal Manager, Program Risk before distribution to external stakeholders.



Transport
for NSW

Audit & Compliance Standard

NWRL QM-ST-202/2.0

Applicable to:

North West Rail Link

NWRL Integrated Management System

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1. Purpose and Scope

The purpose of this Standard is to describe the system for controlling and administering audit and compliance within and by North West Rail Link (NWRL).

This Standard applies to audits undertaken by either external or internal auditors of NWRL. The scope of this standard includes:

- establishing the requirements for audits of external contractors and service providers engaged for the NWRL;
- internal audit of the activities of NWRL;
- compliance management requirements;
- ways in which system failures, defects and deficiencies must be reported in order for corrective action to be taken to prevent recurrence.

2. Definitions

All terminology in this Standard is taken to mean the generally accepted or dictionary definition with the exception of the following terms which have a specifically defined meaning:

Definitions	
AEO	Authorised Engineering Organisation.
ASA	Asset Standards Authority.
Assurance	The process by which an organisation manages its activities to provide accurate, reliable and current information to the management and stakeholders about the efficiency and effectiveness of its policies and operations, and the status of its compliance with the nominated requirements. It is the mechanism that NWRL's project team (and other stakeholders) will use to gain confidence that NWRL and their project delivery partners have met their compliance requirements.
Audit	A systematic and independent examination to determine whether activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.
Audit Plan	A document detailing the parameters of each individual audit undertaken on the auditee's management system, or components thereof.
Audit Team	Personnel designated by the Lead Auditor to carry out a quality audit.
Auditee	The person, persons or party subjected to the audit.
Auditor	A person who has the qualification to perform audits. May also act in the role of Lead Auditor.
AWG	Assurance Working Group.
Compliance	The process by which an organisation meets its obligations by conforming to a rule, law or requirement, e.g. technical requirements, policies, standards, statutes or laws. In simple terms it is working out what must be complied with, who is responsible for compliance, and what records need to be maintained to demonstrate compliance.
CWG	Compliance Working Group.
DPD	Deputy Project Director.

	Definitions
IMS	Integrated Management System.
JAS-ANZ	Joint Accreditation System of Australia and New Zealand.
Inspection	A management self-check for compliance with the safety or environmental management system. An inspection is carried out by supervisors or individual employees.
Lead Auditor	An auditor designated to manage an audit.
Management System	The organisational structure, procedures, processes and resources needed to implement quality, WHS and environmental management for the project.
NWRL	North West Rail Link.
Observation	A statement of fact made as part of the audit process and sustained by objective evidence.
Objective Evidence	Qualitative or quantitative information, records or statements of fact pertaining to the quality of the item or service or for the existence and implementation of a quality system audit, which is based on observation, measurement or test and which can be verified.
ONRSR	Office of the National Rail Safety Regulator (previously ITSR).
Principal Contractor	'Principal Contractor' means the TSC Principal Contractor or the SVC Principal Contractor.
RSNL	Rail Safety National Law 2012.
SVC	Surface & Viaduct Civil works.
TfNSW	Transport for New South Wales.
TSC	Tunnel & Station Civil works.
WHS	Work Health & Safety.
Workplace inspections	On-the-spot inspections of work areas to check such aspects as housekeeping, equipment, work practices, use of personal protective equipment (PPE), emergency equipment, spill kits, etc.

3. Accountabilities

The DPD Safety, Environment & Business Systems is accountable for this Standard including authorising the document, monitoring its effectiveness and performing a formal document review.

The Business Systems Manager is accountable for ensuring the requirements of this Standard are implemented within their area of responsibility.

The Business Systems Manager is accountable for the conduct of the audit program for NWRL activities.

Contract Delivery Managers accountable for specific projects/programs are accountable for ensuring associated contractors comply with the requirements of this Standard.

4. Authority Audits

NWRL will receive authority audits from:

- NSW Audit Office;
- NWRL Advisory Board;
- Transport for NSW (TfNSW);
- Office of the National Rail Safety Regulator (ONRSR);
- Asset Standards Authority (ASA);
- other audits, independent project reviews or health checks initiated by other external authorities.

Such audits or reviews will be managed at the project level by the NWRL DPD Safety, Environment & Business Systems and may require involvement of NWRL senior management and project personnel.

The Project Director, through Safety, Environment & Business Systems, is responsible for coordinating the planning, execution, reporting of results of these audits and reviews, and closing out any findings or outcomes of the audits or reviews.

Lessons learnt from the audit process will be included in the **NWRL Improvement Register** (Objective ID A2238514) for review and action (refer to the **Continuous Improvement Procedure NWRL QM-PW-302**).

5. External Audit

5.1. External Audit Overview – Compliance Working Group

For each major delivery contract a Compliance Working Group (CWG) has been established to oversee the audit and compliance activities for the delivery of the contract. The CWG consists of personnel from the Contractor, Independent Certifier and NWRL personnel. The operation of the CWG is defined in the Terms of Reference established for each Contract.

The CWG will establish a Contract Assurance Framework that has been developed to identify areas that warrant a formal audit process to be carried out. The CWG will determine where audits are required for any element of the delivery of the project, and who will undertake the audit. External audits will evaluate and verify that:

- activities/operations that are subject to the audit comply with planned arrangements;
- the NWRL assurance framework is effective;
- corrective actions are implemented and effective.

External audits will provide feedback on the appropriateness and effectiveness of controls, standards and procedures, while also identifying opportunities for improvement, and the need for training of personnel. External audits may be applied to activities and processes related to specific contracts or to NWRL operations (i.e. compliance with the NWRL IMS).

Audits may be undertaken by the Contractor, Independent Certifier, Independent Safety Advisor or NWRL. The scope of the audit is agreed through the CWG meetings, which are generally held monthly. The nominated auditors shall be agreed through the CWG process. The Business Systems Manager shall brief the nominated auditor in the requirements of the **Audit and Compliance Procedure NWRL QM-PW-301**, and shall ensure all audits conform to the requirements of that Procedure.

5.2. Competence of External Auditors

Personnel conducting external audits must be able to demonstrate they have appropriate competence, including, but not limited to:

- appropriate training in the audit process, with the training to be the equivalent of a five-day Lead Auditor course accredited by Joint Accreditation System of Australia and New Zealand (JAS-ANZ);
- in-depth knowledge of the transport industry, specifically the rail industry;
- Rail Safety Worker recognition, as appropriate; and
- in-depth technical knowledge of international standards and quality requirements specific to the transport industry.

Refer also to the **Training and Competency Procedure NWRL QM-PW-305**.

6. Internal Audit

6.1. Internal Audit Overview – Assurance Working Group

The Assurance Working Group (AWG) has been established to provide a framework for the review of the activities of NWRL in the delivery of the project. The AWG will review the management activities of NWRL and determine where internal audits are to be conducted for a detailed review of the effectiveness of the IMS. The AWG provides independent assurance in relation to the IMS implementation and oversight of the performance of IMS.

The purpose and objective of the internal audit is to:

- identify any gaps in the IMS and ensure that the IMS is in compliance with all regulatory requirements;
- ensure that the requirements and processes set down within IMS Standards and Procedures are being met by the Project Team – audit is considered an important and unbiased tool, helpful in verifying that all NWRL personnel understand and act in accordance with the IMS;
- determine the effectiveness of IMS;
- identify any deficiencies, non-compliance and highlight areas for improvement in current NWRL auditing methods.

Internal audits shall be conducted in accordance with the **Audit and Compliance Procedure NWRL QM-PW-301**.

6.2. Competence of Internal Auditors

To carry out the functions of an Internal Auditor at NWRL the auditor shall meet the following minimum requirements:

- two years experience with exposure to the quality procedures;
- one witnessed internal audit or equivalent previous audit experience;
- basic knowledge and understanding of relevant regulatory requirements.

7. IMS External Reviews

NWRL may engage external service providers to undertake external reviews to assess the effectiveness of project systems and processes being applied for each phase of the project. The DPD Safety, Environment & Business Systems and Business Systems Manager are responsible for:

- engaging and briefing the service providers;
- control of the review process;
- receipt of findings; and
- follow-up actions to address or respond to the review findings.

8. Compliance and Corrective Action

In managing corrective actions, NWRL must comply with legislative or regulatory requirements. A corrective action is a response to an observation, finding or recommendation to manage hazards, improve systems, and lower risk. Corrective action management via tracking actions until closure mitigates the following risks:

- duplication of effort and waste of resources by consolidating information on all safety corrective actions across NWRL;
- incomplete actions by monitoring corrective action progress;
- failure to meet legislative requirements by providing the means to capture and track findings and recommendations, and corrective action implementation.

Every occasion of non-compliance needs to be responded to with corrective actions from the auditee.

The Business Systems Manager is responsible for:

- checking the action progressing and audit analysis;
- preparing the Assurance Performance Report and Actions Tracker;
- reporting to the Project Director on a bi-weekly basis.

The performance of the audit should be reviewed by Safety, Risk and Assurance Sub-Committee.

9. Measure, Audit, Review and Improve

In line with the **Continuous Improvement Procedure NWRL QM-PW-302** there is an integrated approach to continuous improvement.

- Internal and external audits are conducted using appropriately qualified personnel, sets of standards, risk register controls and regulatory compliance.
- Audit findings are addressed in a timely manner, their progress tracked and ANY failures to comply reported to the accountable manager so that they may be remedied.
- Regular reviews of the IMS are undertaken to ensure its effectiveness in meeting its intent, targets and in line with continuous improvement principles
- Senior management monitor the implementation of the IMS and use the data collected when it is time for the IMS to be reviewed.

Refer to **Continuous Improvement Procedure NWRL QM-PW-302**.

10. Related Documents and References

Related Documents and References

- Integrated Management System (IMS) Guide NWRL IM-SG-001
- Audit and Compliance Procedure NWRL QM-PW-301
- Continuous Improvement Procedure NWRL QM-PW-302
- Integrated Management System (IMS) Review Procedure NWRL QM-PW-304
- Training and Competency Procedure NWRL QM-PW-305

11. Superseded Documents

Superseded Documents

Safety Audit and Compliance Management

12. Document History

Version	Date of approval	Summary of change
1.0	1 January 2014	New IMS Standard.
2.0	11 April 2014	Reviewed by NL.



Transport
for NSW

Sydney Metro Requirement – Workforce Development and Industry Participation – Demolition (SMR W)

Document Number A5391492

Date of issue:

11th August 2016

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1. Introduction

1.1. Purpose

This Sydney Metro Requirement – Workforce Development and Industry Participation - Demolition (SMR W) describes requirements and processes the Contractor must comply with. This SMR W must be read in conjunction with the Contract.

1.2. Interpretation

Unless identified otherwise, wherever used in this SMR W, words and phrases have the meaning given to them in the General Conditions or the SMR Prelude.

2. Workforce Development & Industry Participation Requirements

2.1. General Requirements

- (a) The Contractor must develop, implement and maintain governance structures, processes and systems that ensure integration of the workforce development and industry participation requirements during the Contractor's Activities as they apply across the Supply Chain and include them in the specific related Management Plans detailed in SMR PA.
- (b) The Contractor must nominate a workforce development and industry participation resource to establish, monitor and implement strategies relating to workforce development and industry participation.
- (c) The Contractor must assess current and future workforce development and industry participation needs and must submit to the Principal's Representative, the following completed templates for review in accordance with the Contract:
 - i. a completed Workforce Profile and Gap Plan Template, 60 Business Days after the Contract date;
 - ii. a completed Workforce Development & Industry Participation Output Summary and Delivery Profile, 60 Business Days after the Contract date;
 - iii. estimated Workforce numbers that will participate in the Sydney Metro Industry Curriculum Program, 60 Business Days after the Contract date;
 - iv. prior to Completion, a NSW APiC Aboriginal Participation Report Template; and
 - v. a NSW APiC Aboriginal Participation Plan Template, 60 Business Days after the Contract Date.
- (d) The Contractor must ensure that employment conditions for all Trainees and Apprentices meet or exceed the obligations and expectations of the Australian Apprenticeships National Code of Good Practice, including pay rates reflecting individual awards or the national minimum wage for Trainees where no award or agreement exists.
- (e) The Contractor must comply with the Reference Documents listed in Annexure A.

- (f) The requirements defined in this document SMR W apply across the Supply Chain.
- (g) The Contractor is also encouraged to:
 - i. provide opportunities for Workforce Upskilling including the Australian Government CPC41013 Certificate IV in Demolition;
 - ii. provide employment opportunities for Apprentices and Trainees; and
 - iii. participate in meetings and working groups relating to Sydney Metro City & Southwest Skills and Employment Advisory Group (SEAG) and relevant subgroups.

2.2. Workforce Development & Industry Participation Outputs

- (a) The Contractor must, as a minimum, achieve the following Workforce Development and Industry Participation outputs:
 - i. engage a minimum of 5 Australian and New Zealand Small and Medium Enterprises (ANZ SME) in the Supply Chain;
 - ii. ensure that a minimum of 3 ANZ SMEs in the Supply Chain must be Local ANZ SMEs;
 - iii. a minimum of two of the 5 ANZ SMEs in the Supply Chain must be Certified Aboriginal Businesses;
 - iv. 20% of the total Workforce must be Local; and
 - v. 2.5% of the total Workforce must be Aboriginal.
- (b) All job Vacancies in the Workforce must be posted on the Sydney Metro Website (Job Portal pages).

2.3. Mandatory Training Requirements

- a) All of the Workforce is required to complete Sydney Metro Orientation Training prior to commencement on Site.
- b) In addition, the Contractor must participate in the Sydney Metro Industry Curriculum Program provided by the Principal through Industry Curriculum Training Providers, to ensure all of the Workforce comply with the following as a minimum. The Contractor must ensure:
 - i. all New Entrants to the Demolition industry attend the Introductory Skills course;
 - ii. all workers with previous Demolition experience, who are not in a Supervisory role attend the Experienced Worker course;
 - iii. all Demolition Supervisors attend the Nominated Supervisor course;
 - iv. In addition to ii, a minimum of 5 workers that are eligible for the Experienced Worker course, that have not previously held a SafeWork NSW Demolition Licence, must attend the Nominated Supervisor course;

- v. all Frequent Heavy Vehicle Drivers attend the Heavy Haulage Introduction Skills course;
 - vi. all Non-Demolition workers employed on the Site attend the Abridged Introduction Skills course;
 - vii. all Non-Demolition Supervisors attend the Introduction to Leadership course; and
 - viii. all workers in Supervisory roles attend the Cultural Awareness Training to be delivered by a Certified Aboriginal Business.
- (c) All training in the programs listed in clause (b) i. to viii. above must be completed, to the extent they apply, prior to the individuals commencing on the Site.

3. Sustainable Procurement

The Contractor must:

- (a) include workforce development and industry participation requirements in the selection process for its Subcontractors;
- (b) identify and implement sustainable procurement initiatives that provide environmental and social improvement and maximise opportunities for ANZ SMEs;
- (c) advertise all procurement opportunities through the Industry Capability Network Gateway <http://www.icn.org.au>
- (d) provide the Principal all relevant information in order for TfNSW to be able to comply with the *Australian Jobs Act 2013* and other relevant Government requirements;
- (e) comply with the NSW Aboriginal Participation in Construction Policy May 2015; and
- (f) comply with the NSW Procurement Directive PBD-2016-02.

4. Reporting Requirements

- (a) The Contractor must submit a progress report on a monthly basis, to the Principal's Representative for review in accordance with the Contract. The monthly report must be in accordance with the Sydney Metro City and Southwest Workforce Reporting Template SM ES FT – 422.
- (b) The Contractor's monthly progress report must contain the information listed in i to xii below:
 - i. progress against the requirements of clause 2.2.(a) of this SMR W;
 - ii. current Workforce status under the headings listed in A to G:
 - A. total Workforce;
 - B. Local jobs;
 - C. Aboriginals in the Workforce;
 - D. gender ratio and numbers in the Workforce;
 - E. Apprentices with over 26 weeks employment on this project;
 - F. Trainees with over 26 weeks employment on this project; and

- G. Aboriginal Apprentices and Trainees with over 26 weeks employment on this project.
 - iii. numbers of all Apprentices and Trainees employed on the project, regardless of duration;
 - iv. the proportion of the Workforce participating in Nationally Recognised Accredited Training;
 - v. the proportion of the Workforce represented in the following groups, under the following headings:
 - A. women in Non-Traditional Trades;
 - B. women in senior leadership and management roles;
 - C. young people under the age of 25 years;
 - D. Long Term Unemployed;
 - E. Mature Aged Workers;
 - F. people with a registered Disability; and
 - G. young people under the age of 25 years, who have been out of education or training for six months or more.
 - vi. the number of ANZ SMEs participating in the Supply Chain;
 - vii. the number of Local ANZ SMEs participating in the Supply Chain;
 - viii. the number of Certified Aboriginal Businesses participating in the Supply Chain;
 - ix. details of the Workforce participating in the Sydney Metro Industry Curriculum Program;
 - x. details of the Workforce participating in the Pre-Employment Program;
 - xi. details of the Workforce participating in all Sydney Metro Workforce Development Programs; and
 - xii. details of any additional Nationally Recognised Accredited Training undertaken by the Workforce.
- (c) Randomly selected data from the monthly report will be verified on a quarterly basis. Contractors must provide the Principal with evidence associated with the reporting data when requested by the Principal's Representative.

Annexure A: Reference Documents

- Sydney Metro City and Southwest Workforce Reporting Template SM ES FT - 422
- Workforce Profile and Gap Plan Template SM ES-FT-425
- Workforce Development and Industry Participation Output Summary and Delivery Profile Template SM ES-FT-425
- NSW APiC Aboriginal Participation Report Template. SM ES-FT 427
- NSW APiC Aboriginal Participation Plan Template SM ES-FT-426
- Sydney Metro City & Southwest Industry Curriculum Guide - SM ES-FT-428
- NSW Aboriginal Participation in Construction Policy May 2015
http://www.procurepoint.nsw.gov.au/system/files/documents/apic_policy_1_may_2015.pdf
- NSW Procurement Directive PBD-2016-02 <https://arp.nsw.gov.au/pbd-2016-02-construction-apprenticeships>



Sydney Metro Workforce Development Report template

ANZ SMEs: Report on all ANZ SMEs part of the supply chain including certified Aboriginal businesses.
**Note any new ANZ SMEs must also be reported in the appropriate monthly tab.*

SME Subcontractor List

Sydney Metro Industry Curriculum (SMIC) Program: Report on individuals who have completed SMIC training.

SMIC Data

Apprentices & Trainees: All apprentices & trainees regardless of duration to be reported in this tab.

Apprentices & Trainees

Overview of yearly performance against planned and target numbers

2017 Yearly overview

Monthly Tabs:

- January
- February
- March
- April
- May
- June
- July
- August
- September
- October
- November
- December

Instructions: Must be submitted to Sydney Metro before the 5th of every month.

Sydney Metro Workforce Development Report template



Workforce Development & Industry Participation Targets	
	Overall Target

INSERT WORKFORCE TARGETS



Sydney Metro Workforce Development Report template

	XXX 201X Quarterly Targets Report										XXX 201X-201X Quarterly Targets											
	2017					2018					2019											
	Q1		Q2		Q3		Q4		Cumulative Total		Q1	Q2	Q3	Q4	Cumulative Total		Q1	Q2	Q3	Q4	Cumulative Total	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Planned	Planned	Planned	Planned	Planned	Planned	Planned	Planned	Planned	Planned	Planned
Total Workforce																						
Local Workforce																						
Apprentices & Trainees																						
Aboriginal Workforce																						
ANZ SMEs																						
Local SMEs																						
Certified Aboriginal Businesses																						

Cumulative Data vs Project Targets			
	Target	Actual	Planned Q1 2017
Total Workforce			
Local Workforce			
Apprentices & Trainees			
Aboriginal Workforce			
ANZ SMEs			
Local SMEs			
Certified Aboriginal Businesses			

Sydney Metro Workforce Development Report template



XXX Workforce Development Monthly Report

New Local Employment Training Status	New Apprenticeships by the month	Total Workforce / Trainees/workforce numbers	Diversity & Inclusion Statistics
Actual	Actual	Actual	Actual

Local Job	Category	Actual Number	Employer	Occupation	Unique Identifier No.	Gender (M/F)	Postcode Current	Postcode Previous	Start Date	End Date (if applicable)		
Local Job		0										
Non-Local Job		0										

Apprentices & Trainees	Category	Actual Number	Employer	Occupation	Unique Identifier No.	Gender (M/F)	Postcode Current	Postcode Previous	Apprentice / Trainee Start Month (Y)	Start Date	End Date (if applicable)	Local (%)	Non-Local (%)	Training Institution	Apprenticeship or Trainee Program	Non-Completion		
Apprentices & Trainees over 30 weeks		0																

Workforce Skills Development	Category	Actual Number	Employer	Occupation	Unique Identifier No.	Training Type	Training Program	Qualification / Competency Unit #	Training Institution	Training Start Date	Training End Date	Total Number of Training Days	Gender (M/F)	Apprentice / Trainee Start Month (Y)	Non-Completion	Additional Information		
Workforce Skills Development		0																

Diversity & Inclusion	Actual Number	New to Existing Employee (N/E)	Parent Company Name	Occupation	Unique Identifier No.	Postcode Current	Postcode Previous	Apprentice / Trainee Start Month (Y)	Start Date	End Date (if applicable)	Long Term Employee	Young Person Under 25	Mid-Career Worker	Training provided to individual employee in training (over 12 weeks)	Women in non-traditional roles	Partners with a registered disability	Women in Leadership & Management roles		
Diversity & Inclusion	0																		

Equality Check	Category	No. of new SMEs by Month	Company Name	ABN Number
Equality Check	New and SMEs EXCLUDING LOCAL SMEs	0		
	New LOCAL AND SMEs	0		
	New Certified Aboriginal Businesses in the Supply chain	0		

To be shared internally only from the HR Relationship Manager

Program Participation	Category	Actual Number	Employer	Occupation	Unique Identifier No.	Gender (M/F)	Start Date	
Program Participation	Pre-employment Program participants employed on the project	0						

Small Business	Type of expenditure	Workforce	Estimated Amount
Small Business	(i) Direct employment (contracted, apprentices, etc)		
	(ii) Other employment (contractors, goods, services)		
	(iii) Expenses spent on training & development (applies to non-program participants only)		
	(iv) Other type of expenditure applicable to the SME's		
	Total Amount (\$)	1	1

Demolition Workforce Development Output Delivery Profile



Workforce Targets	2017					2018					2019					2020				
	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Annual Summary	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Annual Summary	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Annual Summary	Qtr 1	Qtr 2	Qtr 3	Qtr 4	Annual Summary
Total Workforce																				
Local Workforce																				
Apprentices & Trainees																				
Aboriginal Workforce																				
ANZ SMEs																				
Local SMEs																				
Certified Aboriginal Businesses																				
Sydney Metro Industry Curriculum Profile — Demolition																				
Demolition Workers																				
New Entrants																				
Experienced Worker																				
Nominated Supervisors																				
Non Demolition																				
Non-Demolition Workers																				
Non-Demolition Supervisors																				
Civil Construction																				
New Entrants																				
Experienced Worker																				
Supervisors																				
Heavy Haulage																				
Frequent Heavy Vehicle Drivers																				



Aboriginal Participation in Construction

Participation Report	
Project name	
Contracting agency	
Contractor details	

APIC Category:	<input type="checkbox"/> Category 1 (primarily directed at Aboriginal community) <input type="checkbox"/> Category 2 (over \$10 million) <input type="checkbox"/> Category 3 (\$1 million - \$10 million)				
Total project spend (\$)	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;"></td> <td style="width: 30%; text-align: center;">APIC spend as a per cent (%)</td> <td style="width: 30%;"></td> <td style="width: 10%; text-align: center;">APIC spend (\$)</td> </tr> </table>		APIC spend as a per cent (%)		APIC spend (\$)
	APIC spend as a per cent (%)		APIC spend (\$)		

Direct Expenditure		
Type of expenditure	Recipients (if known)	Estimated Amount
a) Direct employment (employees, apprentices)		
b) Other employment (contractors, group training)		
c) Goods/services bought from Aboriginal businesses		
d) Education expenses		
e) Payments to Aboriginal business/community organisations		
f) Other type of expenditure approved by the agency		
Total Amount (\$)		
Proposed expenditure in participation plan (\$)		

Indirect Expenditure			
Proposed expenditure amount (\$)		Actual expenditure amount (\$)	
<i>Description of activities (include participating business/community group details) and outcomes</i>			

Approved by:



Aboriginal Participation in Construction

Participation Plan	
Project name	
Contracting agency	
Contractor details	

APIC Category: <input type="checkbox"/> Category 1 (primarily directed at Aboriginal community) <input type="checkbox"/> Category 2 (over \$10 million) <input type="checkbox"/> Category 3 (\$1 million - \$10 million)					
Total project spend (\$)		APIC spend as a per cent (%)	1.5% <i>(adjust if higher)</i>	APIC spend (\$)	

Direct Expenditure		
Type of expenditure	Recipients (if known)	Estimated Amount
a) Direct employment (employees, apprentices)		
b) Other employment (contractors, group training)		
c) Goods/services bought from Aboriginal businesses		
d) Education expenses		
e) Payments to Aboriginal business/community organisations		
f) Other type of expenditure approved by the agency		
Total Amount (\$)		
As a per cent of APIC spend (%)		

Indirect Expenditure		
As a per cent of APIC spend (%)		Actual amount (\$)
<i>Description of activities (include participating business/community group details)</i>		

Approved by:

Sydney Metro Industry Curriculum (SMIC) - Demolition Requirements – Guidance Document

SM ES-FT-428/1.0

Sydney Metro Integrated Management System (IMS)

Applicable to:	Sydney Metro City & Southwest – Demolition
Document Owner:	Senior Manager, Workforce Development – Major Contracts
System owner:	Executive Director – Safety, Sustainability & Environment
Status:	Final
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1. Purpose and Scope

The purpose of this document is to provide guidance to the Contractor to achieve compliance with the training requirements for the Sydney Metro Industry Curriculum (SMIC) Program. This document applies to all Contractors and their Subcontractors on Sydney Metro City & Southwest Demolition contracts.

The objective of this guidance document is to outline the process for Contractors to apply SMIC for the Demolition Contract.

2. Definitions

Unless noted otherwise in the SMR Prelude and SMR W, words and phrases have the meaning given to them in Table 1 below.

Table 1: Definitions

	Definitions
Cultural Awareness Training	A structured program that brings employees together for cultural awareness, adding to their cultural knowledge and providing opportunities for staff to develop and apply their cultural and cross-cultural skills. The program must be delivered by a certified Aboriginal business. This is integrated within the Sydney Metro Industry Curriculum Program or will be provided as standalone training for individuals.
Defined Occupation	<ol style="list-style-type: none"> 1) Defined Occupations include: <ul style="list-style-type: none"> • Civil Construction • Demolition • Heavy Haulage • Tunnelling • Rail 2) Supervisors across all industry disciplines
Demolition Worker	<p>Means any worker who actively participates in Demolition activity on Site. This also includes activities such as:</p> <ul style="list-style-type: none"> • The installation and maintenance of temporary works to maintain the physical integrity of a structure during active demolition works (temporary braces, propping, shoring, falsework or guys) • Any work that requires the stripping, removal and/or dismantling of materials, fixtures, fittings, plant, or building components, including hazardous materials
EEW	Early and Enabling Works
Frequent Heavy Vehicle Driver	<ul style="list-style-type: none"> • all excavated material removal vehicle drivers; • all concrete mixer vehicle drivers; and • any driver of a Heavy Vehicle over 4.5 tonnes GVM either supplying or removing equipment, plant and materials, or people from the site who makes 5 or more round trips in any 12 month period to any Sydney Metro worksites for any part of the program.
IMS	Integrated Management System (IMS)
Nominated Supervisor	A person who is licenced to carry out demolition works as defined by Work Health & Safety Regulations 2011.
Non-Demolition Worker	Means any worker who supports Demolition activities on Site but does not directly participate in Demolition works.
Recognition of	A process for giving candidates credit for skills, knowledge and experience gained through

(Uncontrolled when printed)

Prior Learning	working and learning
SafeWork NSW Nominated Demolition Supervisor Licence	As per training requirements set by SafeWork NSW http://www.safework.nsw.gov.au/licences-and-registrations/licences/demolition-licences
Supervisor	All workers who act in a supervisory capacity on Site from level one upwards (incl. leading hand)

3. Overview

3.1. Background

Sydney Metro is committed to improving the skills and competence of industry and creating a better qualified workforce. This will be achieved by Sydney Metro setting minimum competency requirements for defined workers who are actively engaged on our Sites.

Minimum competency requirements must be met prior to commencing on Site or within a specified timeframe for Defined Occupations. Competency is evidenced through nationally recognised Units of Competency, which also support the transferability of skills and the worker to pursue further learning.

Sydney Metro has taken a risk-based approach in structuring this program, addressing any areas that pose a significant safety risk to the project, or areas with critical skill gaps. By improving the competence of the workforce the project will see improvements in safety, quality, productivity, leadership, environmental and cultural awareness.

3.2. SMIC Defined Occupations & Roles

Demolition

- Demolition Workers
- Nominated Supervisors

Tunnelling

- Tunnelling Workers
- Specialist Workers - Shot-crete Operators

Civil Construction

- Civil Construction Workers
- Civil Construction Supervisors

Heavy Haulage

- Frequent Heavy Vehicle Operators

Rail

- Worksite Protection Officers
- Rail Supervisors



Figure 1: Sydney Metro Industry Curriculum (SMIC) Overview

4. Workforce Requirements

4.1. Workers

Workers include those in Defined Occupations on Site who are engaged by the contractor to undertake work on Sydney Metro, including subcontractors. These workers will need to be screened by the Principal Contractor to identify the appropriate course. Advice and assistance will be provided by Sydney Metro.

4.2. Exempt Workers (Pre-existing Qualifications)

Where a worker already holds the relevant Units of Competency, they will not be required to undertake the nominated SMIC course. Evidence of certification will be required by Sydney Metro to grant an exemption. All workers will be required to undertake the Sydney Metro Orientation Training (SMOT) prior to commencing on Site.

4.3. Recognition of Prior Learning

Where contractors believe that a worker has pre-existing skills and competency, but does not hold the relevant Unit of Competency, they should seek Recognition of Prior Learning (RPL) through an accredited training provider. Evidence of certification will need to be provided to Sydney Metro by the contractor, prior to the worker commencing on Site.

4.4. Application for Exemptions

Where a contractor may seek an exemption from SMIC requirements, they will be required to submit an application, for approval by the Principal's Representative.

For workers that are in a Defined Occupation that cannot satisfy any of the completion requirements, the contractor will be required to submit an exemption, for approval by the Principal Representative. These exemptions will allow for the following:

- Removal of pre-commencement requirements – proof of enrolment into the next available session within an agreed timeframe will be required.
- or
- Full exemption from the program – a case for exemption will be required.

4.5. Stage 1 – Applicable Streams

The Contractor will be limited to SMIC courses based on their scope of works and relevant occupations. The **SMIC Matrix** should be used as a guide to assist in determining which streams are applicable to them based on the Contract.

Table 2: SMIC Matrix

Streams	Demolition
Demolition	Required
Tunnelling	n/a
Civil Construction	Required
Rail	n/a
Heavy Haulage	Required

The Contractor is required to identify workers in Defined Occupations or roles for SMIC and where required allocate the worker to the appropriate course. It is expected the Contractor will follow the process outlined below to ensure that their workers receive the appropriate level of training.

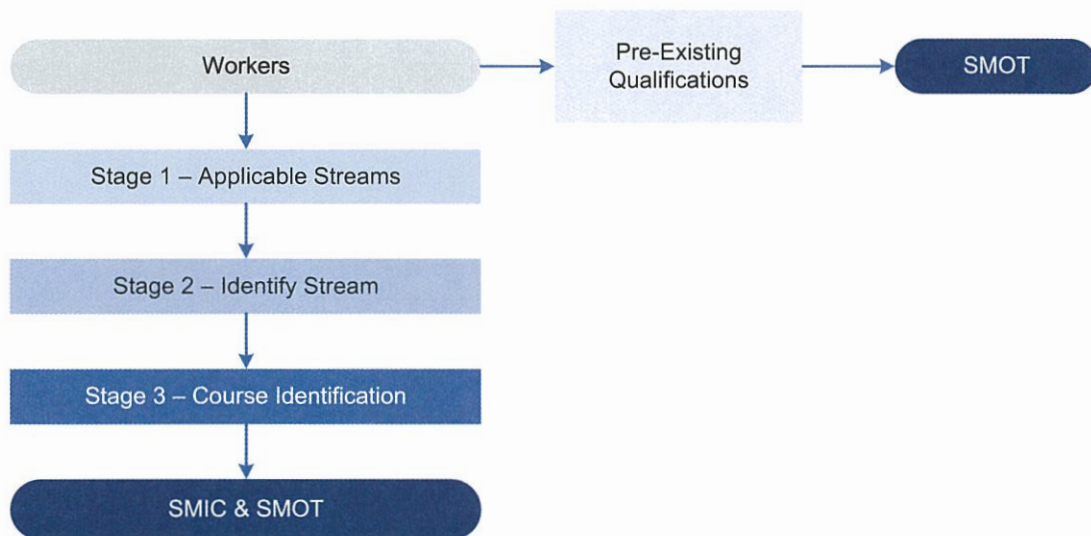


Figure 2: Process Overview

4.6. Stage 2 – Identify Stream

For Contractors with multiple streams, further screening will be required to ensure that their workers are enrolled in the appropriate course. This is achieved by applying the **Stream Identification Workflow**:

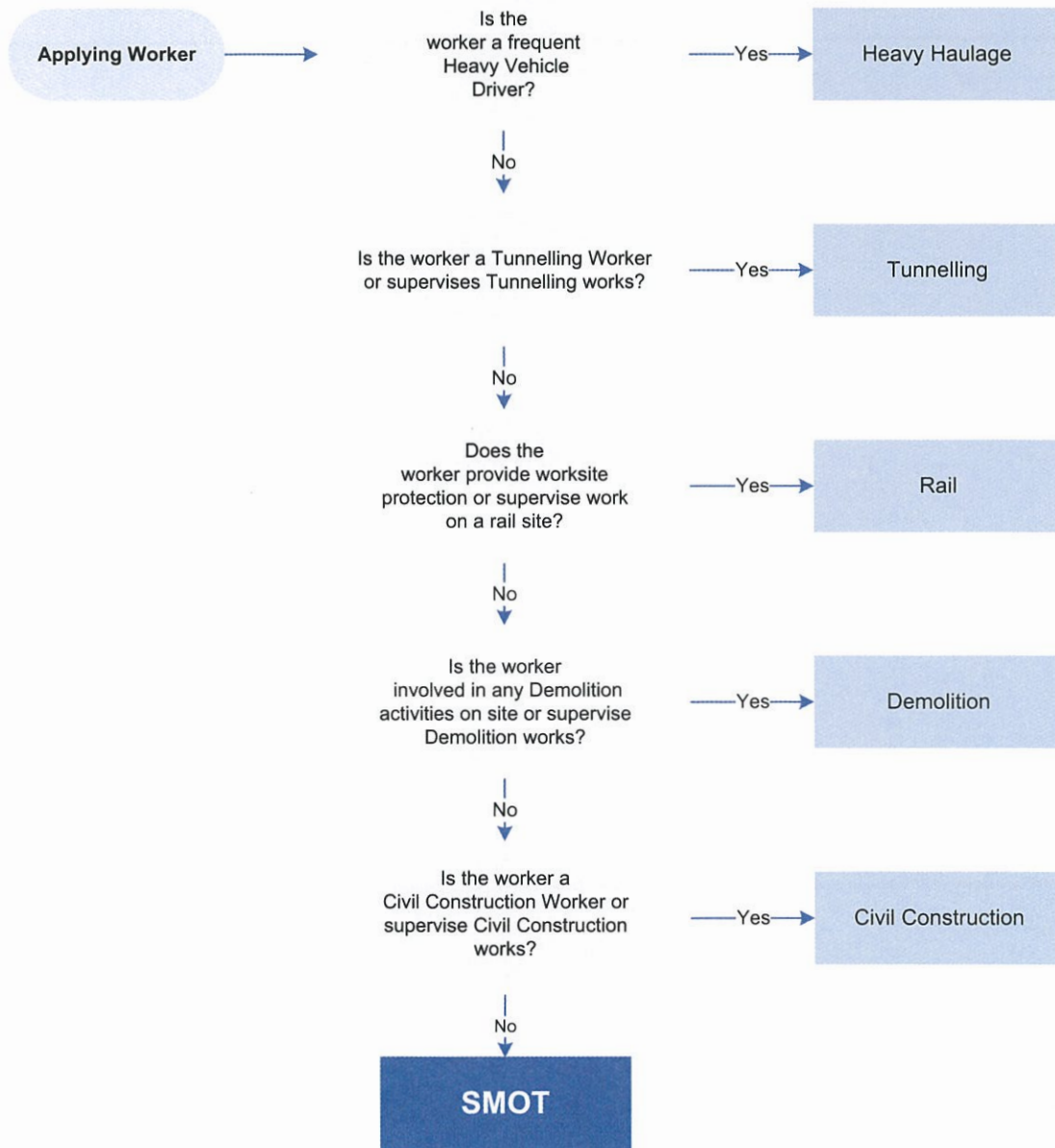


Figure 3: Stream Identification Workflow

4.7. Stage 3 – Course Identification

Once the stream for the worker has been identified, they will be required to enrol into the applicable course based on the guidance provided below. **Course Identification Workflows** need to be applied to identify the appropriate course, where applicable.

4.7.1. Demolition

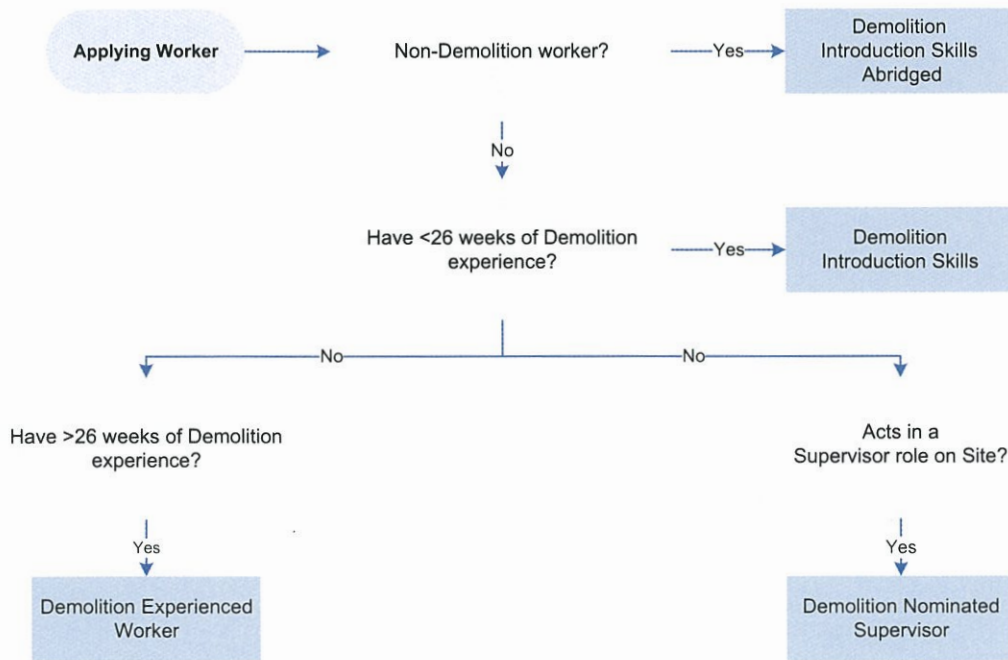


Figure 4: Demolition Course Identification

4.7.1.1. Completion Requirements

All Demolition courses will be required to be completed prior to commencement on Site.

4.7.2. Civil Construction

For all Non-Demolition workers who act in Supervisor role on Site, they will be required to complete the **Abridged Introduction Skills** and the **Introduction to Leadership**.

Introduction to Leadership is required to be completed within 26 weeks of commencing on Site.

4.7.3. Heavy Haulage

All workers identified as Frequent Heavy Vehicle Drivers will be required to participate in **Heavy Haulage Introduction Skills**.

4.7.4. Cultural Awareness

All workers who act as a Supervisor in Defined Occupations will be required to complete the **Cultural Awareness Training**.

4.8. Enrolment

Sydney Metro will provide registration and enrolment services.

The contractor must provide at least 14 days' notice to access training. The contractor should arrange for enrolment as soon as possible, to avoid delays due to sessions becoming fully booked.

5. Course Information

5.1. Sydney Metro Orientation Training (SMOT)

The SMOT is a short course aiming to inform all workers about Sydney Metro's vision, values and legacy. All workers are required to complete SMOT prior to commencing on Site.

All workers who participate in a SMIC course will undertake SMOT as an embedded component of the course. Workers' who hold all the required Units of Competency for their applicable occupation will be required to complete SMOT as a standalone program.

The SMOT will be available through various channels, which will be made available upon contract award.

5.2. Introduction Skills

All on Site Demolition Workers who have less than 26 weeks experience working in the Demolition industry must demonstrate competency through existing qualifications or complete the **Introduction Skills** course. This training will provide essential knowledge and skills for workers engaged in Defined Occupations to work on the project. Workers are required to achieve competence in the following learning outcomes prior to the individual commencing.

Table 3: Introduction Skills

Stream	Duration	Units of Competency
Demolition*	3 Days	<p>CPCCOHS2001A Apply OHS Requirements, policies and procedures in the construction industry</p> <p>CPCPCDE3016A Identify hazards on demolition sites and apply risk management strategies</p> <p>CPCPCDE3020A Select and use tools and equipment for hot work in the demolition industry</p> <p>CPCPCDE3017A Select and use hand tools and equipment for demolition tasks</p>
Heavy Haulage*	1 Day	<p>TLIF0078 Recognise motor vehicle road crash risks and post-crash actions</p> <p>TLIC3037 Apply safe heavy vehicle driving behaviours</p>

Units subject to change

*Workers who have not successfully completed the above units of competency within the specified duration will be required to undertake an additional day of training, to allow for completion.

5.2.1. Abridged Introduction Skills

All Non-Demolition workers on Site are required to participate in the **Abridged Introduction Skills**. This module comprises the first day of the **Introduction Skills** and aims to raise the awareness of all Non-Demolition workers about risks within a Demolition site. All training is required to be completed prior to the individual commencing on Site.

Table 4: Abridged Introduction Skills

Stream	Duration	Units of Competency
Demolition*	1 Day	<p>CPCCOHS2001A Apply OHS Requirements, policies and procedures in the construction industry</p> <p>CPCCDE3016A Identify hazards on demolition sites and apply risk management strategies</p>

Units subject to change

5.3. Experienced Worker

All on Site Demolition Workers who have more than 26 weeks experience working in the Demolition industry must demonstrate competency through existing qualifications or complete the **Experienced Worker** course. All training is required to be successfully completed prior to the individual commencing on Site.

Table 5: Experienced Worker

Stream	Duration	Units of Competency
Demolition*	3 Days	<p>CPCCBC4012B Read and interpret plans and specifications</p> <p>CPCCDE3016A Identify hazards on demolition sites and apply risk management strategies</p> <p>CPCCDE3019A Demolish small buildings and structures using hand tools and small plant and equipment</p> <p>CPCCDE3018A Select and use small plant and equipment for demolition tasks</p> <p>CPCCDE3020A Select and use tools and equipment for hot work in the demolition industry</p> <p>CPCCDE3017A Select and use hand tools and equipment for demolition tasks</p>

Units subject to change

5.4. Introduction to Leadership

All Non-Demolition Supervisors must demonstrate competency through existing qualifications or complete the **Introduction to Leadership** course. This course aims to provide participants with a range of leadership skills focusing on communication, risk and leadership in the workplace. The **Introduction to Leadership** course will also include the **Cultural Awareness Training**. Training is required to be completed prior to the individual's commencing on Site.

This course should be completed in addition to the **Abridged Introduction Skills**.

Table 6: Introduction to Leadership

Stream	Duration	Units of Competency
Civil Construction*	3 Days	BSBRSK401 Identify risk and apply risk management processes BSBMGT401 Show leadership in the workplace
		Cultural Awareness Training

5.5. Nominated Supervisor

All on Site Demolition Supervisors are required to complete the **Nominated Supervisor** course. All training is required to be completed prior to the individual commencing on Site.

In addition, a minimum of 5 workers who are eligible for the **Demolition Experienced Worker** course and have not previously held a SafeWork NSW Demolition license are required to participate in the **Nominated Supervisor** course. All training is required to be completed prior to the individual commencing on Site.

Table 7: Nominated Supervisor

Stream	Duration	Units of Competency
Demolition	6 Days	<p>CPCCOHS2001A Apply OHS Requirements, policies and procedures in the construction industry</p> <p>CPCCBC4002A Manage occupational health and safety in the building and construction workplace</p> <p>CPCCDE3016A Identify hazards on demolition sites and apply risk management strategies</p> <p>CPCCDE3018A Select and use small plant and equipment for demolition tasks</p> <p>CPCCDE3020A Select and use tools and equipment for hot work in the demolition industry</p> <p>CPCCDE3019A Demolish small buildings and structures using hand tools and small plant and equipment</p> <p>CPCCDE3022A Manage demolition recyclables and waste materials using loading shifting equipment</p> <p>CPCCBC4012B Read and interpret plans and specifications</p> <p>CPCCDE4001A Plan and prepare for activities on demolition sites</p> <p>CPCCDE4002A Plan and supervise demolition works to minimise environmental and public health and safety impact</p> <p>CPCCDE4003A Supervise individual activities on demolition sites</p> <p>CPCCDE4004A Finalise demolition activities and supervise property handover</p>

6. Tender Costing

6.1. Cost of Lost Time

The lost time incurred for participating in SMIC should be costed in the tender; this cost will be borne by the successful tenderer. Tenderers will be required to identify the number of workers who need to undertake training and provide a breakdown based on the following:

- Number of workers.
- SMIC course.
- Cost of labour (per day).

6.2. Cost of Training

The cost of all training under the SMIC program will be borne by Sydney Metro.

7. Governance & Reporting

7.1. Governance

7.1.1. Site Access

Any worker in a Defined Occupation, who fails to comply with any of the completion requirements outlined by the program, will have their access to site withheld until all requirements have been satisfied.

7.1.2. Audit

Randomly selected data from the monthly reporting will be verified by a Sydney Metro representative on a quarterly basis. The contractor will be required to comply with any requests for evidence.

7.1.3. Surveillance

In addition to quarterly audits, regular surveillance will also be undertaken by Sydney Metro representatives.

7.2. Project Plans

The contractor will be required to submit estimated workforce numbers participating in the SMIC, as part of the Workforce Development & Industry Participation Plan. The plan must be provided within 60 days of Contract award and updated on an annual basis until contract completion.

7.3. Reporting

The Contractor will be required to submit a progress report on a monthly basis, to Sydney Metro for review, in accordance with the **Sydney Metro City and Southwest Workforce Reporting Template SM ES FT – 422**.

For the SMIC program the following elements are required to be reported on:

- Number of workers who have completed the SMIC program for the reporting month and contract-to-date
- Breakdown of occupations completing SMICs course for the reporting month and contract-to-date

In addition to regular reporting, the contractor will be required to use Sydney Metro's competency management system through the nominated access control system.



Schedule D2. Workplace Relations Management Plan Assessment

(Clause 9.7(g))

