|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Contractor Environmental Management Plan compliance checklist | 905 |
| Regional Maintenance |  | For information about this form see procedure: OCP-04 Contractor management |

|  |
| --- |
| RM Project Engineer to strike through [~~strike through~~] non- applicable requirements before issuing to the Contractor.  Project Engineer to check for compliance when completed and returned by the Contractor. **(Delete this box before sending to the Contractor).** The generic version of this checklist has been developed against G36 Ed 4 Rev3 |

**This document is to be completed by the Contractor to show how their documentation complies with RMS requirements.**

**Contract**

**Contractor**

|  | **To be completed by Contractor** | **To be completed by RM**  |
| --- | --- | --- |

| **RMS Spec****Clause** | **Requirement** | **Y/N** | **Reference to clause/page in your EMP** | **Complies****Y/N****Comments/Actions (where there is non-compliance)** |
| --- | --- | --- | --- | --- |
| **G36 3.2** | PLANNING |  |  |  |
| **3.2.1** | ENVIRONMENTAL RISK ASSESSMENT WORKSHOP |  |  |  |
|  | Have details of when and how an Environmental Risk Assessment meeting will be held been included (if required under Annexure A)? |  |  |  |
| **3.2.2** | **REGULATORY REQUIREMENTS AND COMPLIANCE** |  |  |  |
|  | Are details and copies of any licences, permits or approvals that must be obtained for the works included? |  |  |  |
|  | Has a compliance tracking program for any requirements under the licence/approval/permits been included? |  |  |  |
| **3.2.3** | **ENVIRONMENTAL OBJECTIVES AND TARGETS** |  |  |  |
|  | Have environmental objectives and targets been included for work under the Contract, which take into account:* The desired environmental outcome for the works
* The results of any risk assessment workshop
* Any legal or other requirements
* Any technological, operational or other constraints.
 |  |  |  |
| **G36 3.3** | RESOURCES |  |  |  |
|  | Does your CEMP indicate the names, responsibilities and authority of your site management personnel who have primary responsibility for implementation and control of works? |  |  |  |
|  | Has a full time member of the site management team been nominated as environmental site representative (ESR)?  |  |  |  |
|  | Does the ESR have suitable environmental qualifications and recent environmental management experience on construction sites? |  |  |  |
| **G36 3.4** | **SUBCONTRACTORS** |  |  |  |
|  | Have any of the activities you will be undertaking been approved to be subcontracted out? |  |  |  |
|  | If yes, have you included details of how the environmental aspects of these activities will be controlled, recorded and the effectiveness monitored? |  |  |  |
| **G36 3.5** | **COMPETENCE, TRAINING AND AWARENESS** |  |  |  |
|  | Has a site specific induction and training plan relevant to the activities being undertaken been included? |  |  |  |
| **G36 3.6** | **WORKING HOURS** |  |  |  |
|  | Are details provided of approved hours of work, and how any approved extended working hours would be notified to affected parties? |  |  |  |
| **G36 3.7** | **COMMUNICATION** |  |  |  |
|  | Is a current list of relevant contact names and phone numbers for the project included? |  |  |  |
|  | Are details of how changes in environmental management documentation will be identified and communicated to relevant personnel included? |  |  |  |
| **G36 3.7.1** | **LIAISON WITH EPA** |  |  |  |
|  | Are two people identified who will be available to the EPA on a 24 hour basis and who have authority to take any required action immediately? |  |  |  |
| **G36 3.7.2** | **COMMUNITY LIAISON AND / OR NOTIFICATION** |  |  |  |
| **3.7.2.1** | **New or Changed Construction Activities** |  |  |  |
|  | Are details provided of how affected parties would be notified of any new or changed construction activities which may affect them, at least five working days before the start of such activities? |  |  |  |
| **3.7.2.2,3,4** | **Extended Working Hours**  |  |  |  |
|  | Is a procedure included for notifying the RM representative in advance of any proposed extension to the approved hours of work?  |  |  |  |
| **G36 3.7.3** | **COMPLAINTS MANAGEMENT** |  |  |  |
|  | Is a complaints procedure included, which includes keeping a Complaints Register and the requirement to notify the RM representative by a written report within one working day of receiving a complaint, and a final report detailing measures to prevent re-occurrence within five working days? |  |  |  |
| **G36 3.8** | **EMERGENCY PLANNING AND RESPONSE** |  |  |  |
|  | Are details of key emergency personnel with phone numbers, emergency services numbers and a communications strategy included? |  |  |  |
|  | Are containment measures in the event of an emergency and procedures for restoration included? |  |  |  |
|  | Is the on site location of the Safety Data Sheets included? |  |  |  |
|  | Is an incident response, management and reporting procedure included? |  |  |  |
| **G36 3.9** | **MONITORING, INSPECTION AND AUDITING** |  |  |  |
|  | Is a checking procedure that includes periodic inspections to check compliance with the environmental requirements of the contract included? |  |  |  |
|  | Have inspections of identified high risk environmental activities and work in environmentally sensitive areas been specifically addressed? |  |  |  |
|  | Does the inspection schedule include inspections of preparations for adverse weather conditions including adequacy of environmental controls and availability of emergency equipment? |  |  |  |
|  | Is a method of addressing any environmental issues identified by RMS inspections of your activities, within specified timeframes, included? |  |  |  |
|  | Has a risk based environmental auditing program to verify that the work under the Contract meets the requirements of the specification been included, specifying the type, scope and frequency of audits? |  |  |  |
| **G36 3.11** | **RECORDS OF ENVIRONMENTAL ACTIVITIES** |  |  |  |
|  | Are details of the environmental records that will be kept included? These must include: * Site environmental inspection reports
* Environmental monitoring data and reports
* Internal and external audit reports
* Incident reports
* Environmental complaints
* Induction training and records.
 |  |  |  |
| **G36 4** | **OPERATIONAL CONTROL** |  |  |  |
| **G36 4.1/ G38 3.1** | **SOIL AND WATER MANAGEMENT MEASURES** |  |  |  |
| **G38 3.1.1** | **EROSION AND SEDIMENTATION CONTROL** |  |  |  |
|  | Have details of how work activities will be planned and carried out to avoid erosion and the loss of sediment from site been included? (This should include an Erosion and Sediment Control Plan which addresses the requirements of Specification G38). |  |  |  |
|  | Is information on inspection and maintenance of ESC measures, dates of discharge, flocculation, discharge water quality, volumes of sediment removed from devices and daily rainfall collected in a register? |  |  |  |
| **G38 3.2** | **STOCKPILE MANAGEMENT** |  |  |  |
|  | Have details of erosion and sedimentation control, capture and maintenance methods to divert offsite water, manage on site stormwater runoff and stabilise stockpiles been provided? |  |  |  |
| **G38 3.3** | **TANNIN MANAGEMENT** |  |  |  |
|  | Has a procedure been prepared to manage the use and stockpiling of mulch on site to reduce the risk of tannin leachate from mulch flowing into waterways? |  |  |  |
| **G38 3.4** | **WATER EXTRACTION** |  |  |  |
|  | Have details of any proposed water sources which will be used for construction activities been included?  |  |  |  |
|  | If the proposed source is other than a town supply or natural water source, have details of procedures for testing to ensure the water is not hazardous to health and the environment been included? |  |  |  |
| **G38 3.5** | **CONSTRUCTION SITE DEWATERING** |  |  |  |
|  | Has a Work Method Statement been prepared for any dewatering activities that will be undertaken? |  |  |  |
|  | Has a recording system been established to detail:* Date and time for each discharge location?
* Water quality test results for each discharge?
* Personnel approving dewatering activities?
* Evidence of discharge monitoring?
* Any other EPA licence requirements where issued?
 |  |  |  |
| **G38 3.6** | **WORK IN WATERWAYS** |  |  |  |
|  | Has a Work Method Statement been prepared for any work that will be undertaken within waterways? |  |  |  |
|  | Have operational controls for any works in waterways been included that detail how impacts on water quality, flora and fauna will be mitigated? |  |  |  |
|  | Has consultation with EPA, Dept of Primary Industries (Fisheries) and NSW Office of Water been included? |  |  |  |
| **G38 3.6.2** | **TEMPORARY WATERWAY CROSSINGS** |  |  |  |
|  | If a temporary crossing is required, has it been designed to maintain fish passage and using hard, uncontaminated rock and materials that will not result in fine sediment entering the waterway? |  |  |  |
|  | Have erosion and sediment controls been provided at entry/exit points of the crossing to minimise mud tracking? |  |  |  |
| **G38 3.7** | **SEDIMENT BASINS** |  |  |  |
|  | Are details provided of operational or construction basin construction that are in accordance with the Drawings and stabilise any disturbed areas on completion? |  |  |  |
| **G38 3.7.3** | **INLETS, OUTLETS AND SPILLWAYS** |  |  |  |
|  | Are details provided of construction of inlets, outlets and spillways? |  |  |  |
| **G38 3.7.4** | **FLOCCULATION** |  |  |  |
|  | Where flocculation will be necessary, are details of flocculants, amounts and water quality testing methods prior to discharge, provided? |  |  |  |
| **G38 3.7.5** | **MAINTENANCE OF SEDIMENT BASINS** |  |  |  |
|  | Are details of when and how basins will be cleaned out provided? |  |  |  |
| **G38 3.7.6** | **REMOVAL OF BASINS** |  |  |  |
|  | Are details provided of when basins will be removed following upstream stabilisation, and how the ground disturbed by construction will be restored? |  |  |  |
| **G36** **4.2** | **CONTAMINATED LAND** |  |  |  |
|  | Have details of control measures to be implemented to manage contaminated land, including notification to RM, should it be discovered, been included? |  |  |  |
| **G36** **4.3** | **SPILLAGE PREVENTION AND RESPONSE** |  |  |  |
|  | Has work been planned to minimise the possibility of pollution from storage or use of chemicals, dangerous goods and other potential contaminants? |  |  |  |
|  | Have details of where any fuels, chemicals and lubricants will be stored on site, which must be within suitably located and bunded areas at least 50m from aquatic habitat, flood prone areas and not on slopes steeper than 1:10, been included? |  |  |  |
|  | Have measures been included to prevent spillage during refuelling or maintenance works on plant and equipment? |  |  |  |
|  | Is a spill prevention, containment, clean up and reporting procedure included? |  |  |  |
| **G36** **4.4** | **AIR QUALITY** |  |  |  |
|  | Are details included of construction methods that will be employed to keep air pollution (eg dust control) as a result of the activities to a minimum? |  |  |  |
| **G36** **4.5** | **FIRE PRECAUTIONS** |  |  |  |
|  | Are appropriate precautions included for where there is a risk of fire being caused by work such as welding, cutting, grinding or heating? |  |  |  |
|  | Are personnel involved in such activities trained in fire prevention, fire safety and basic fire fighting skills? |  |  |  |
| **G36** **4.6** | **NOISE CONTROL** |  |  |  |
|  | Are details of actions that will be taken to minimise the impact of noise generated by the activities included? |  |  |  |
| **G36** **4.7** | **GROUND VIBRATION AND AIR BLAST** |  |  |  |
|  | Have details of measures that will be put in place to prevent damage to adjacent public utilities, structure and buildings resulting from construction vibration and air blast been included?  |  |  |  |
| **G36** **4.8** | **BIODIVERSITY** |  |  |  |
|  | Has an Environmental Work Method Statement for clearing and grubbing activities been prepared? |  |  |  |
|  | Have details of measures that will be put in place to safeguard trees and other vegetation on site that could be affected by your activities, including delineation of the edge of clearing and erection of signs at least 24 hours prior to clearing, been included? |  |  |  |
|  | Have details been included of how your site personnel will be made aware of and observe the limits of clearing and any important vegetation to be retained? |  |  |  |
|  | Have details of measures that will be put in place on site to prevent possible spread of weeds from your activities been included? |  |  |  |
|  | Have details been included of how any unexpected finds of threatened species on site will be managed? |  |  |  |
|  | Have details of measures that will be taken to protect native fauna from the impact of your activities been included? |  |  |  |
|  | If vegetation that may be fauna habitat is to be removed, have measures been included to survey the area by a qualified ecologist 24 hours prior to removal, and to carry out clearing in the presence of a qualified ecologist if animals remain after 48 hours. |  |  |  |
| **G36** **4.9/****4.10** | **ABORIGINAL and NON ABORIGINAL HERITAGE** |  |  |  |
|  | Have details been included of how safeguards for identified aboriginal and non-aboriginal heritage items on site will be communicated to staff and implemented? |  |  |  |
|  | Has a procedure for managing unexpected aboriginal or non-aboriginal heritage items, including notification to RM, been included? |  |  |  |
| **G36** **4.11** | **WASTE MANAGEMENT AND RESOURCE RECOVERY** |  |  |  |
|  | Has a site waste and recycling system been detailed, which contains measures for waste collection and sorting to reduce, re-use and recycle waste products including soil, road pavement, concrete, oils and vegetation?  |  |  |  |
|  | Has waste data recording been included, with details as per the RM Waste Register (provided)? Are details of when and how the Waste Register will be submitted to RM included? |  |  |  |
| **G36** **4.12** | **USE OF PESTICIDES** |  |  |  |
|  | If pesticides are to be used, have your personnel been appropriately trained? |  |  |  |
|  | Have details of how you will comply with RM’s pesticide management documentation (to be provided) been supplied? |  |  |  |
| **G36** **4.13** | **WORK IN ENVIRONMENTALLY SENSITIVE AREAS** |  |  |  |
|  | Have details of controls in any areas identified by RM as environmentally sensitive been specifically addressed within the environmental protection requirements, with inclusion of a EWMS for work in those areas? |  |  |  |
|  | Have details of the risks of working in or near the environmentally sensitive areas and training on the implementation of protection requirements for your staff been included? |  |  |  |
| **G36** **4.14** | **ENVIRONMENTAL INCIDENT MANAGEMENT, NOTIFICATION AND REPORTING** |  |  |  |
|  | Have details of how and when incidents will be managed and reported to RM, in line with RM Fact Sheet EFS 20 Environmental Incident Management, been included? |  |  |  |
| **G36** **4.15** | **SITE FACILITIES** |  |  |  |
|  | Has the location of your site facilities and how they will be managed been included?  |  |  |  |
| **G36** **4.16** | **RESTORATION OF SITE** |  |  |  |
|  | Have details been included of how all areas disturbed by your activities (both on and off site) will be reinstated to a condition at least similar to prior to works, including remediating any ground contaminated by spills, and revegetation of exposed areas. |  |  |  |

Contractor Verification

|  |
| --- |
| The Contractor or Contractor’s representative who completes the checklist completes this section to confirm that their documentation complies with RMS requirements. |
| Contractor name: |  | Position: |  |
| Company name: |  | Contact Phone: |  |
| Email: |  |
| Signature: |  | Date: |  |

Project Engineer Assessment

|  |
| --- |
| **Note:** For estimated contract values over $10M, the contractor must have a certified EMS and must prepare a Contractors Environmental Management Plan. |
| Environmental Management Plan is assessed as complete for the project? | Yes | □ | No | □ |
| Contractor to work under their own Environmental Management plan? | Yes | □ | No | □ |

If there are non-compliances or if there are specific sections of the RM Environmental Management Plan the contractor is required to work under, list these below. Hard copies of RM RSMP/PSP (or sections thereof) provided to the Contractor must be controlled.

|  |  |  |  |
| --- | --- | --- | --- |
| PE name: |  | Date: |  |
| PE signature: |  |

**Guidance notes (delete this section prior to sending to the contractor)**

1. This checklist is prepared by the RM Project Engineer and used once the successful contractor is selected and a Form-901 *Contractor Pre Engagement Questionnaire* has been completed.
2. The intention of this checklist is for the Contractor to list where their Environmental Management Plan meets RMS requirements. It will also identify if there are any deficiencies in the Contractor’s Environmental Management Plan that need to be supported by RM to ensure compliance in the delivery of works. If only part compliant, or if there are specific sections of the RM EMS that the Contractor is required to work to, these are listed above.
3. The Project Engineer must verify the Contractor’s Environmental planning documents using this form prior to commencement of work on site.
4. Once the Checklist is completed and returned by the Contractor, retain a copy for your site records and send a copy to the Procurement Unit.
5. Responsibility to assess Contractors documentation and to carry out surveillance and audit against RMS and RM’s requirements for safety, environmental and quality management as follows:

|  |  |
| --- | --- |
| Type of contractor | Responsibilities |
| Panel contract | **Procurement Unit** – as part of the evaluation the contractor’s system certification, prequalification and registration evidence and currency (where applicable) and the contractor’s standard management plan documents (Q, E, S) are assessed against RMS requirements. The Procurement Unit will work with contractor to close-out any standard deficiencies.**Procurement Unit** – approve the standard documents that meet RMS requirements, which is conditional for the contractor to become eligible to deliver works and services under the panel.**Project Engineer** – prior to commencing, project specific Quality, WHS and Environmental requirements are assessed and compared against any standard documents approved through the Procurement Unit. Any site specific matters are recorded and mitigated in the management plans including, but not limited to, the risk assessment, staff and equipment details, ITPs, SWMS, Emergency Plan, CEMP, EWMS, TCPs, VMPs. Deficiencies in plans are communicated to the contractor, resubmitted, assessed and approved prior to the product being delivered or service commencing.**Procurement Unit** – manages the audit program. See QP11 Internal Audit on ROMS.**Project Engineer** – plans for and manages surveillance of the contractor. |
| Stand alone contract | **Procurement Unit** – as part of the evaluation stage, assess the contractor’s system certification, prequalification and registration evidence and currency where applicable and assesses the contractor’s standard management plan documents (Q, E, S) against RMS requirements. The Procurement Unit will work with the proponent to close-out any standard deficiencies.**Project Engineer** – as part of the transition stage, assesses the project specific requirements against the management plans submitted with the tender, including Quality Plan, ITPs, WHS Management Plan, SWMS, CEMP, TCPs, VMPs and authorise suitable for use on the project.Deficiencies must be communicated to the contractor, resubmitted, assessed and approved prior to that product or service being delivered.**Project Engineer** – plans for and manages surveillance of the contractor.**Regional SEQ Systems staff** – manages the audit program. |
| All Contracts and Panels | **Project Engineer** – manages contractor on site including monitoring system implementation requirements. Release management plan, technical, process and corrective action hold points. |
| All Contracts and Panels over $50,000 and all Tier 2 & Tier 3 Asphalt projects | **Project Engineer** - completes a Contractor Performance Report (CPR) in accordance with the requirements of ICP 08 Contractor [Performance Reporting on Contractors to the Construction Industry](http://home.rta.nsw.gov.au/intranetsitesearch/viewDocument.jsp?cid=viewDocument&viewDocument:Query=Contractor%20Performance%20Report%20%20&viewDocument:QueryParser=Internet_AdvancedWeb&dtype=K2V_DocNative&viewDocument:DocumentKey=..%2Foriginal%2Ficprocedures%2Ficp-08.pdf%40crd2) including specified reporting intervals.**Project Engineer** – supplies the fully completed CPR to the Procurement Unit upon completion of the works.**Procurement Unit** – enters CPR report into CM21.**Procurement Unit and Region:** work together to address unacceptable performance reported in the CPR. |

See OCP-04 Contractor Management for full requirements on specifying system requirements in the contract, assessing contractor’s management systems and managing contractors on site.